

## EXECUTIVE

<b>Date:</b>	<b>Wednesday 5th February, 2025</b>
<b>Time:</b>	<b>5.00 pm</b>
<b>Venue:</b>	<b>Mandela Room</b>

## AGENDA

1. Welcome and Fire Evacuation Procedure

In the event the fire alarm sounds attendees will be advised to evacuate the building via the nearest fire exit and assemble at the Bottle of Notes opposite MIMA.

2. Apologies for Absence

3. Declarations of Interest

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### THE MAYOR

5. Corporate Performance Q3 2024/25 7 - 44

### EXECUTIVE MEMBER - ENVIRONMENT AND SUSTAINABILITY

6. Linthorpe Road Cycleway 45 - 238

### EXECUTIVE MEMBER - FINANCE

7. 2024/25 Quarter 3 Revenue and Capital Monitoring and Forecast Outturn 239 - 300
8. 2025/26 Budget and MTFP 301 - 462
9. Prudential Indicators and Treasury Management Strategy - 2025/26 463 - 492
10. Council Tax Reduction scheme 2025/2026 493 - 586
11. Customer Strategy 587 - 618

12. Any other urgent items which in the opinion of the Chair, may be considered.

Charlotte Benjamin  
Director of Legal and Governance Services

Town Hall  
Middlesbrough  
Tuesday 28 January 2025

### MEMBERSHIP

Mayor C Cooke (Chair) and Councillors T Furness, P Gavigan, L Henman, J Ryles, P Storey, J Thompson and N Walker

### **Assistance in accessing information**

**Should you have any queries on accessing the Agenda and associated information please contact Scott Bonner / Chris Lunn, 01642 729708 / 01642 729742, [scott\\_bonner@middlesbrough.gov.uk](mailto:scott_bonner@middlesbrough.gov.uk) / [chris\\_lunn@middlesbrough.gov.uk](mailto:chris_lunn@middlesbrough.gov.uk)**

**EXECUTIVE**

A meeting of the Executive was held on Wednesday 8 January 2025.

**PRESENT:** Mayor C Cooke (Chair) and Councillors T Furness, P Gavigan, L Henman, J Ryles, P Storey, J Thompson and N Walker

**ALSO IN ATTENDANCE:** D Hodgson (Local Democracy Reporter)

**OFFICERS:** M Adams, C Benjamin, S Bonner, B Carr, G Field, R Horniman, A Hoy, A Humble, E Scollay and J Tynan

**APOLOGIES FOR ABSENCE:** None

24/63 **DECLARATIONS OF INTEREST**

There were no declarations of interest received at this point in the meeting.

24/64 **MINUTES - EXECUTIVE - 4 DECEMBER 2024**

The minutes of the Executive meeting held on 4 December 2024 were submitted and approved as a correct record.

24/65 **COMMUNITY RECOVERY FUND**

The Executive Member for Neighbourhoods submitted a report for Executive's consideration.

The report sought approval to spend £655,000 of grant funding provided by the Ministry of Housing, Communities and Local Government (MHCLG) to support the recovery of the recent riots that took place in Middlesbrough on Sunday 4 August 2024.

On Sunday 4 August 2024, Middlesbrough was the focus of a protest originally linked online to an incident in Southport. Protests were planned to take place in several other areas across the country. Approximately 400 people attended the protest and marched through the centre of Middlesbrough. The protest led to a riot occurring within the town that lasted late into the evening.

The riot caused significant damage to property and caused a high level of fear and alarm amongst many citizens who live and work in the affected areas. Over £300,000 of damage was caused to Teesside University buildings alone, multiple streets in the centre of Middlesbrough were targeted with houses and vehicles being damaged. Cars were set on fire and businesses looted. Some residents were at home during the riots with children and families and were terrified by the damage to their homes and property. Many residents, particularly those from ethnic minority communities, remain distressed by the violent disorder they witnessed and the fear they experienced at the time.

The day after the riots Middlesbrough showed its true nature and over 300 volunteers arrived at the entrance to Albert Park to help clean up and show support for those impacted. Many had been out earlier that morning and began the clean-up work and to begin the repair of those communities that suffered from the effects of the riot.

Later that week misinformation spread of a repeat of the riots and businesses, educational establishments and health providers closed their doors and the town emptied in fear. Thankfully this did not transpire.

MHCLG originally allocated £600,000 to Middlesbrough Council via the Community Recovery Fund (CRF). MHCLG said the funding should be used as areas best saw fit, in partnership with local communities. More recently MHCLG has provided an additional £55,000 in revenue funding, bringing the total grant to £655,000.

## OPTIONS

The alternative was to not accept the grant funding, however this was not recommended as the impact was still evident and the grant funding would help key partners to respond to the riots and support the recovery.

## ORDERED

That Executive approve the spend outlined in the report on the £655,000 grant funding provided by MHCLG to support the recovery of the riots that took place in Middlesbrough on Sunday 4th August 2024.

## REASONS

The Council and its partners established a multi-agency recovery structure, with Gold and Silver recovery groups set up to work on a plan to support residents and find a way of returning to a state of normality.

The constituents of the Gold recovery group included senior representatives from the following organisations: Middlesbrough Council; Thirteen Group; Cleveland Police; Office for the Police and Crime Commissioner; Teesside University; Tees Esk and Wear Valley Mental Health Trust; Middlesbrough Voluntary Development Agency; Probation Service and Cleveland Fire Brigade.

This group set the key objectives for silver group along with the three key areas of focus for grant funding:

1. Engagement
2. Events within neighbourhoods
3. Youth Provision

It was imperative that the Council and its partners worked 'with' the community and not do things 'to' them. Therefore, Gold group asked Silver to develop key areas of work that fit into the three key areas of focus for the grant funding. This resulted in the subgroups being established as set out in paragraph 3.4 of the report. Gold group then approved the recommendations put forward from Silver group as set out in paragraph 4.7 of the report. A proportion of the funding would be distributed in the form of grants, direct to community groups, to allow them to lead on activities.

The constituents of the Silver group included representatives from the following organisations: Cleveland Police; Middlesbrough Council; Office for the Police and Crime Commissioner; BME Network; Thirteen Group; Fire Brigade; Teesside University; Local Resilience Forum; Mayors Office; Exec member for Community Safety. The following voluntary and community organisations were also included in Silver group: MVDA; Streets Ahead; Amal Project; Investing in People and Cultures; Localmotion; Hindu Cultural Centre; Mosques; Caritas and Ubuntu. This group had established the following multi agency subgroups that had an input into the proposals for spending the £655k grant funding:

- Communications Group
- Young People and engagement
- Community Conversations
- Hate Crime and Community Tensions
- Community Engagement and Participation
- Victims and Perpetrators

The proposals set out in paragraph 4.7 of the report were in line with the conditions of the grant. Those grants supported a range of projects that would help the town in respect of increasing its level of resilience and community cohesion.

and the impact it had on the preparation of the Publication Local Plan.

In January 2024, the Executive approved the Draft Local Plan. This was a non-statutory stage that enabled community engagement on the plan between 1 February and 15 March 2024. The Draft Local Plan was made available online and in various Council buildings and libraries, and there was a series of 17 drop in events held across Middlesbrough.

During the consultation, over 2,000 responses were received on the Draft Local Plan, along with 4 petition-style responses, all of which were being considered in preparing the Publication Local Plan. To address some of the issues raised and ensure a robust evidence base, further work had been completed in house or commissioned, including:

- Transport Assessment
- Strategic Flood Risk Assessment
- Viability Assessment
- Gypsy & Traveller Site Assessment
- Habitats Regulation Assessment
- Heritage Impact Assessment
- Infrastructure Delivery Plan

The Local Development Scheme, which set out the timetable for preparing the Local Plan, indicated that the Publication Local Plan would be prepared for January 2024 and that is what the Council had been working towards.

A Member commented that this process was an important part of the Council's re-set priorities.

## **OPTIONS**

**Not to progress the Publication Local Plan under transitional arrangements. This would mean the Council would no longer progress the Local Plan as agreed previously by the Council and would retain existing out-of-date policies for longer. Work on the Local Plan would have to restart in order to meet the requirements of the new NPPF. This would involve updating the evidence base in full. It was anticipated that this would take approximately 2-3 years and come at significant financial cost to the Council.**

**AGREED that Executive:**

- 1. Notes the issues arising from the new National Planning Policy Framework and endorses the revised approach to preparing the Publication Local Plan as set out in this report.**
- 2. Notes that a new timetable for preparing the Local Plan will be set out in a revised Local Development Scheme.**
- 3. Notes the update regarding Teessaurus Park.**

## **REASONS**

**It was a statutory requirement to prepare a Local Plan that identified land for development and could be used as a basis for determining planning applications. The Local Plan was critical for delivering some of the Council's key strategic objectives, in particular population retention, increasing the housing supply and supporting economic growth. The development it would help secure would make a positive contribution to the financial sustainability of the Council.**

**Following earlier stages of plan preparation, including two separate periods of public consultation, the Local Plan was now being finalised for 'Publication' stage. This was a statutory stage, the purpose of which was to make the Local Plan available for inspection and invite formal representations upon it. It would provide the opportunity for interested parties and stakeholders to make formal representations, which must relate only to matters of soundness or legal compliance.**

**The Government published its revised National Planning Policy Framework (NPPF) on 12th December 2024. This set out new planning policies that needed to be taken into consideration when preparing Local Plans and making decisions on planning**

applications. Critically, it placed new requirements on Council's regarding the level of housing they needed to plan for in their areas.

To avoid returning to an earlier stage in the plan making process and accommodate the new national planning policies, it will be necessary to reach 'Publication' stage no later than 12th March 2025. This will allow the Plan to progress under transitional arrangements and be examined under the previous NPPF.

24/67 **ANY OTHER URGENT ITEMS WHICH IN THE OPINION OF THE CHAIR, MAY BE CONSIDERED.**

24/68 **EXCLUSION OF PRESS AND PUBLIC**

**ORDERED** that the press and public be excluded from the meeting for the following items on the grounds that, if present, there would be disclosure to them of exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972 and that the public interest in maintaining the exemption outweighed the public interest in disclosing the information.

24/69 **EXEMPT - RESTORATION OF THE OLD TOWN HALL: HERITAGE LOTTERY FUNDING**

The Executive Member for Development submitted a report for Executive's consideration.

**ORDERED**

**That the recommendations of the report be approved.**

**REASONS**

The decision was supported for the reasons outlined in the report.

All decisions will come into force after five working days following the day the decision(s) was published unless the decision becomes subject to the call in procedures.

<b>MIDDLESBROUGH COUNCIL</b>	
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<b>Report of:</b>	Chief Executive
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<b>Relevant Executive Member:</b>	The Mayor
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<b>Submitted to:</b>	Executive
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<b>Date:</b>	5 February 2025
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<b>Title:</b>	Corporate Performance: Quarter Three 2024/2025
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<b>Report for:</b>	Decision
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<b>Status:</b>	Public
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<b>Council Plan priority:</b>	All
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<b>Key decision:</b>	No
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<b>Why:</b>	Decision does not reach the threshold to be a key decision
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<b>Subject to call in:</b>	Yes
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<b>Why:</b>	All Executive decisions that are non-urgent are subject to call in.
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<b>Proposed decision(s)</b>	
That at Quarter Three of 2024-25, the Executive:	
<ul style="list-style-type: none"> <li>• approves the proposed changes to the Executive actions, detailed at Appendix 1</li> <li>• notes the progress and position of the corporate performance disciplines, including the Transformation Portfolio</li> <li>• notes delivery status of the Council Plan 2024-27 supporting workplan at Quarter Three, detailed at Appendix 2</li> <li>• notes the Strategic Risk Register, at Appendix 3</li> </ul>	

## **Executive summary**

This report advises the Executive of progress against corporate performance at Quarter Three 2024-25, providing the necessary information to enable the Executive to discharge its performance management responsibilities against the following performance disciplines:

- Actions pertaining to decisions approved via Executive reports;
- Delivery of the Council Plan 2024-27 and associated outcome measures;
- Strategic Risk Register performance;
- Programme and Project management performance;
- Transformation progress and performance; and
- Other matters of compliance.

Where appropriate, this report seeks approval of any changes or amendments, where these lie within the authority of the Executive.

### **Purpose**

1. This report advises the Executive of corporate performance at the end of Quarter Three 2024/2025, and where appropriate seeks approval of any changes, where these lie within the authority of the Executive.

### **Recommendations**

2. That the Executive:

That at Quarter Three of 2024-25, the Executive:

- approves the proposed changes to the Executive actions, detailed at Appendix 1
- notes the progress and position of the corporate performance disciplines, including the Transformation Portfolio
- notes delivery status of the Council Plan 2024-27 supporting workplan at Quarter Three, detailed at Appendix 2
- notes the Strategic Risk Register, at Appendix 3

### **Rationale for the recommended decision(s)**

3. To enable the effective management of performance and risk in line with the Council's Local Code of Corporate Governance.

### **Background and relevant information**

4. The Council's Scheme of Delegation gives the Executive collective responsibility for corporate strategic performance, together with associated action.
5. This report provides the necessary information to enable the Executive to discharge its performance management responsibilities, setting out progress against priority performance disciplines and other key associated items, together with actions to be taken to address any issued identified.



6. The projected financial outturn at Quarter Three and 2024/2025, is presented separately to this meeting of the Executive, and so not repeated here. There are plans in development to integrate performance, risk and financial reporting for future financial years.
7. As part of continuous improvement in performance and risk management, the Council's Leadership Management Team (LMT) has implemented monthly reviews of corporate performance utilising a Directorate Performance dashboard, drawing data from a range of performance feeder systems.
8. The output from these sessions is reflected through quarterly updates to the Executive and covering in addition, progress in delivering actions agreed by the Executive, key Directorate performance issues and other performance-related matters.

### Overall progress at Quarter Three 2024/25

9. The Council's performance overall at the end of Quarter Three 2024/25 maintained achievement in three of the five corporate performance disciplines as set out in the Council's risk appetite, a similar picture to that reported at Quarter Two 2024/25

Performance discipline	Q3 2024/25	Q2 2024/25	Q1 2024/25	Expected standard	Standard achieved	Trend
Executive actions	<b>51%</b> <b>(32/63)</b>	67% (36/54)	68% (30/44)	90%	No	↓
Council Plan 2024-27 outcome measures	<b>13%</b> <b>(5/39)</b>	13% (5/39)	13% (5/39)	90%	No	↔
Council Plan workplan	<b>100%</b> <b>(55/56)</b>	98% (55/56)	98% (55/56)	90%	Yes	↔
Strategic Risk Register	<b>90%</b>	91%	94%	90%	Yes	↓
Programme and Project Management	<b>100%</b> <b>(14/14)</b>	100% (15/15)	100% (18/18)	90%	Yes	↔

10. It should be noted that performance against Council Plan outcomes for Quarter Three 2024/25 is measured by tracking progress against baseline key performance indicators, as outlined in the Council Plan 2024-27 and its associated workplan. It is expected that over time, 90% of the outcome measures will be achieved.
11. As referenced in paragraph 24, as of Quarter Four 2024/25 progress of the additional proxy outcome measures will be included in these reports to demonstrate incremental progress and impact against Council Plan outcomes.

### ***Progress in delivering Executive actions***

12. Actions agreed by the Executive to deliver approved decisions are tracked by LMT, each month. If following Executive approval, any action is found to be no longer feasible, appropriate, or cannot be delivered within the approved timescales, this report will be used to advise the Executive as such, and to seek approval of alternative actions or amended timescales.
13. At Quarter Three 2024/25, 32 of 63 live actions (51%) were reported as on target to be delivered by the agreed timescales; a significant dip from the 67% reported at Quarter Two 2024/25, continuing to remain below the 90% expected standard of achievement of actions.
14. There are 12 proposed amendments to Executive actions presented for approval at Quarter Three as detailed in Appendix 1. It is assumed that the remainder of Executive actions will be achieved within originally approved timescales and a further update on progress against plans, will be provided at Quarter Three 2024/25.

15. Of those 12 amendments detailed in Appendix 1, the reasons for the proposed amendments are as follows:

- The *Middlesbrough Council: target operating model* report has an action relating to mapping out the next steps to implement the model, delayed from 20/11/2024 to 31/03/2025 due to dependencies on Executive approval of the Customer and Neighbourhood models.
- The *Newham Hall Disposal Options* report has an action relating to the submission of a hybrid planning application for the road and the housing, delayed from 30/09/2024 to 30/04/2025 due to a delay related to securing a value for money masterplan consultant.
- The *Southlands Community Facility and Sporting Hub* report has an action relating to the drafting of the new lease, delayed from 30/11/2024 to 31/01/2025, due to awaiting the legal surrender of the old lease.
- The *Town Centre Strategy* report has an action relating to the completion of various actions in Appendix A of the report, delayed from 31/10/2024 to 31/03/2025 due to a request made by the Executive for a detailed consultation with partners and stakeholders.
- The *Disposal of Land at Hemlington Grange West* report has three actions relating to POS and land appropriation, delayed from 30/08/2024 to 30/06/2025, site investigation work, delayed from 20/10/2024 to 31/09/2025, and development guidance delayed from 25/12/2024 to 31/12/2025 due to staff capacity within the service, resulting in a change to the project milestones.
- The *Developing a New Nunthorpe Community Facility* report has three actions relating to the completion of full construction designs and site investigations, delayed from 08/09/2024 to 01/03/2024; the submission of a planning application delayed from 30/11/2024 to 31/03/2025 and Planning Committee decision, delayed from 22/12/2024 to 31/04/2025 due to the recent identification of a drainage issue, now under investigation.
- The *Middlesbrough Development Company Closure* report has two actions relating to the delivery of the remaining actions in the report and Appendix, delayed due to complexities in the liquidation process that requires further work from both Finance and Regeneration staff to resolve.

**Progress in delivering the Council Plan 2024-27**

16. The Council Plan is the Council’s overarching business plan for the medium-term and sets out the priorities of the Elected Mayor of Middlesbrough and the ambitions for our communities and the ways in which we seek to achieve them.

17. The Leadership Team worked collaboratively with the Mayor and the Executive to develop and shape the Mayor’s priorities for the town, to inform the Council Plan 2024-27.

18. The Council Plan articulates the four priorities of the Mayor and outlines the approach that will be taken to addressing those priorities:

Mayor’s Priority	Description
A successful and ambitious town	Maximising economic growth, employment, and prosperity, in an inclusive and environmentally sustainable way.
A healthy place/	Helping our residents to live longer and healthier lives, improving life chances and opportunities to thrive.
Safe and resilient communities	Creating a safer environment, where residents can live more independent lives.
Delivering best value	Changing how we operate, to deliver the best outcomes for residents and businesses.

19. Supporting initiatives and workplans to support delivery of the Council Plan 2024-27 ambitions and measures of success and the proposed performance and governance arrangements were

approved at a meeting of the Executive on 10 April 2024, to demonstrate a robust approach to the delivery of key priority activities across Council services.

**Council Plan 2024-27: outcomes**

20. Progress of delivery of the Council Plan 2024-27, is monitored via detailed milestone plans which support each initiative under the four priorities and will include the success measures determining the impact upon:
  - the types of businesses being established in Middlesbrough, to ensure that we attract those which will give residents access to well-paid and rewarding careers,
  - healthy life expectancy of residents of Middlesbrough, who currently experience ill-health much earlier than wealthy areas across the UK,
  - community safety, as part of our plans to reduce crime and make residents and communities feel safer,
  - progress against the Council’s governance improvement journey, to provide assurance to members of the public and our partners, that the services we are providing are value for money.
21. Performance management and monitoring of the Council Plan adheres to the corporate programme and project management framework where applicable and is reported to all senior managers and Members as part of this quarterly corporate performance results report, presented to Executive for noting and decision, where applicable.
22. Performance overall against the Council Plan 2024-27 outcome measures at Quarter Three 2024/25, is reported as 4 of 39 (10%) improving or static, against the 90% performance standard.

Outcome Status	Q3 2024/25	Q2 2024/25	Q1 2024/25	Expected standard	Standard achieved	Trend
Number (%age) GREEN	<b>4 / 39 (10%)</b>	4 / 39 (10%)	4 / 39 (10%)	90%	No	↔
Number (%age) AMBER	<b>1 / 39 (3%)</b>	1 / 39 (3%)	1 / 39 (3%)	N/A	N/A	↔
Number (%age) RED	<b>34 / 39 (87%)</b>	34 / 39 (87%)	34 / 39 (87%)	N/A	N/A	↔

23. The expectation that over time and the duration of the Council Plan, 90% of the outcome measures will be achieved, as these are outcome measures predicted over the period of the Council Plan, 2024-27.
24. In the Quarter Two 2024/25 report however, Executive approved an additional set of proxy measures to demonstrate incremental progress of Council Plan 2024-27 outcomes, and which will be updated on a more frequent basis was approved by Executive. During Quarter Three 2024/25, the frequency of data collection has been increased and is being analysed, with a view to presenting progress against these measures to Executive at Year End, Quarter Four 2024/25.

**Council Plan 2024-27: workplan**

25. At Quarter Three 2024/25, performance against the Council Plan workplan is above the corporate standard of 90%, with 100% of all initiatives on target to be achieved in full within approved timescales.

Status	Q3 2023/24 position	Q2 2023/24 position	Q1 2023/24 position	Expected standard	Standard achieved	Trend
COMPLETED	14% (8 / 56)	5% (3 / 56)	2% (1 / 56)	90%	Yes	↑
GREEN	86% (49 / 56)	93% (52 / 56)	98% (55 / 56)			
AMBER	0% (0 / 56)	0% (0 / 56)	0% (0 / 56)	n/a	n/a	↔
RED	0% (0 / 56)	2% (1 / 56)	0% (0 / 56)	n/a	n/a	↑

### **Strategic Risk Register (SRR)**

26. The Strategic Risk Register (SRR) sets out the key risks, which if they occurred, could stop the Council achieving its objectives, as set out in the Council Plan.
27. The Register also sets out control measures in place to reduce the impact and / or likelihood of a risk occurring, as well as further planned actions to manage the risk. Risks in the SRR are identified and managed by the Council's Leadership Management Team in line with the Risk and Opportunity Management Policy, agreed by Executive in 2023. Progress in managing these risks is reported to the Leadership Management Team on a monthly basis, with a full review of the SRR conducted on a quarterly basis. It is the role of the Executive to ensure that this occurs.
28. The more volatile the risk, the more closely it must be monitored and managed. Managers are responsible for identifying and recording the countermeasures / actions required to address risks and opportunities and maintaining those details within the Council's risk management solution. Countermeasures to risk will include actions to terminate, transfer, treat or tolerate the risk. Actions in relation to opportunity will include exploitation (fully or partially) or avoidance.
29. The Strategic Risk Register contained 14 risks at the end of Quarter Three 2024/25, following review of the SRR against the Council Plan's objectives, an update was provided to the Council's Corporate Governance arrangements risk with an additional 14 actions placed against it to strengthen the arrangements in place, as set out below:
- SR-09: *If the Council's Corporate Governance arrangements are not fit for purpose and appropriate action is not taken to rectify this at pace, this could result in censure from the Council's auditors within a public interest report that would damage the Council's reputation and / or, in government formal intervention, including removal of powers from officers and members and direction of council spend.*
30. The following additional actions were identified to manage this risk:
- SR-09f: Continue to implement a scheme of sub-delegations where appropriate to further improve governance around officer delegated decisions.
  - SR-09g: Seek an LGA Corporate Peer Challenge review within the next two years to provide an external review of the Council's corporate governance arrangements.
  - SR-09h: Corporate Governance Improvement Plan and the section 24 action plan put in place to respond to the statutory recommendations of the External Auditor and the governance weaknesses identified by CIPFA, Government and the Council itself.
  - SR-09i: A robust officer scheme of delegations and sub-delegations is required to ensure effective, appropriate, and timely taking of decisions that can be taken by officers. (20/21 action). This will be addressed following the fundamental review of the constitution in 2024.
  - SR-09j: Refreshed approach to consultation and community engagement to be developed in 2024. A revised supporting policy will then be developed.
  - SR-09k: Refresh the Information Strategy during 2024.

- SR-09l: In 2024/5 the Council will continue to deliver against its improvement plan and move towards BAU practices that provide assurance to government that the Council is maintaining a culture of good governance.
- SR-09m: Development of a Workforce Plan to ensure staff at all levels have the skills and capabilities to be successful in their roles.
- SR-09n: Complete the first annual review of the People Strategy.
- SR-09o: Complete recruitment process for all interim appointments in a Leadership Management Team position.
- SR-09p: Complete the first annual review of the Member Development Strategy to assess effectiveness and impact on culture and compliance.
- SR-09q: Commence reporting annually on how the Audit Committee has complied with CIPFA good practice, discharged its responsibilities, and include an assessment of its performance. The report should be available to the public.
- SR-09r: Review current governance arrangements for Audit Committee and make recommendations in relation to inclusion of co-opted independent members for Committee consideration.
- SR-09s: The Council will refresh its approach to customers within a revised Customer Services Strategy that will set out how customer services will be delivered within the Council's target operating model developed within the Transformation programme.

31. During Quarter Three an existing action in relation to an element of community cohesion was deactivated and replaced with risk *SR-15: Threats to Social Cohesion and Democratic Resilience* within the Strategic Risk Register which captures the risk that:

- If Communities feel disconnected and that they do not live in a safe and resilient environment that promotes the best outcomes for citizens of the town. This could lead to local flashpoints which would be damaging to community relations, the reputation and image of a multi-cultural Middlesbrough.

32. Risks within the SRR are scored three times, using the following table: the first score assesses the likelihood and impact of the risk occurring without any control measures in place; the second assesses the impact of the control measures currently in place; and the third sets a target for the management of the risk.

Likelihood (Probability)	Almost Certain >80%	5	Low (5)	Medium (10)	High (15)	High (25)	High (35)
	Likely 51% - 80%	4	Low (4)	Medium (8)	High (12)	High (20)	High (28)
	Possible 21% - 50%	3	Low (3)	Medium (6)	Medium (9)	High (15)	High (21)
	Unlikely 6- 20%	2	Low (2)	Low (4)	Medium (6)	Medium (10)	High (14)
	Rare <6%	1	Low (1)	Low (2)	Low (3)	Low (5)	Medium (7)
			1	2	3	5	7
			Insignificant	Minor	Moderate	Major	Extreme
			Impact				

### Directorate Risk Registers

33. The Strategic Risk Register has a supporting suite of Directorate Risk Registers. Escalations and de-escalations of risk are agreed by the Council's Leadership team. In addition, directorate management teams review their risks, monthly. This and other measures ensure the Council has a grip on its risk management approach. Below is a summary position of actions taken during Quarter Three to manage held at the directorate level:

Directorate Risk Register	Regeneration	Adults	Public Health	Children's Services	Environment	Finance	Legal and Governance Services
New Risks	0	0	1	6	0	1	1
New Actions	1	0	3	13	0	4	10
New Assessments	2	1	1	1	1	0	1
Deactivated Risks	3	0	2	1	1	2	2

### Progress in delivering Programmes and Projects

34. The Council maintains a portfolio of programmes and projects in support of achievement of the Council's strategic priorities. At Quarter Three 2024/25, 100% (14 of 14) of the programmes / projects within the portfolio, remained on-track to deliver against project time, cost, scope, and benefits, remaining above the expected combined standard of 90%.

Status	Q3 2024/25 position	Q2 2024/25 position	Q1 2024/25 position	Expected standard	Standard achieved	Trend
GREEN	93% (13 / 14)	100% (15 / 15)	100% (18 / 18)	90%	Yes	↔
AMBER	7% (1 / 14)	0% (0 / 15)	0% (0 / 18)			
RED	0% (0 / 15)	0% (0 / 15)	0% (0 / 18)	N/A	N/A	↔

### Transformation progress and performance

35. The Council has an established Transformation Programme; *Recover, Reset, Deliver*, which is designed to align with the vision and ambitions of the Council Plan, and aims to deliver tangible outcomes that benefit the people of Middlesbrough whilst delivering value for money and a financially sustainable organisation.
36. The 'Approach to Transformation of Middlesbrough Council' report to full Council on 27 March 2024 outlined the contents of the Transformation Portfolio, which is structured around six themed programmes. These programmes encompass a range of activities, key business changes, and complex projects aimed at addressing the emerging challenges and opportunities.
37. The scope of the Transformation Programme and its associated investment provides assurance on and aims to secure the delivery of all the savings of £21.028m approved by Council at its budget meeting on 8 March 2024. Investment in the resource required to physically deliver, such as programme management, finance expertise and subject matter experts, will support the Council in delivering all approved savings.

Adults	Children's	Property	Customer	Place-based Services	Target Operating Model and Core Services
Improved efficiency of current systems and transformation of delivery model through enhanced early intervention, use of digital technologies, increased reablement and review of accommodation offer.	Improved efficiency of current systems, transformation of delivery model through enhanced early help and prevention, development of new models of placement provision and increased in-house fostering capacity.	A review of Council's asset holdings to identify short-term opportunities to maximise generation of revenue and capital receipts to support organisational transformation.	Transformation of the organisation's approach to engaging with our customers and implementation of a customer-centric end-to-end journey, enabled through a behavioural change.	A review of service accessibility to allow more focused delivery and better meet the needs of residents, alongside transformation of the Council's approach to community engagement with the public.	Design and implementation of a Target Operation Model, alongside a review of the management structure to ensure stability and delivery of core enabling service-related savings.
<b>Programme Sponsor:</b> Director of Adult Social Care and Health Integration	<b>Programme Sponsor:</b> Director of Children's Services	<b>Programme Sponsor:</b> Director of Regeneration and Culture	<b>Programme Sponsor:</b> Director of Finance (S151 Officer)	<b>Programme Sponsor:</b> Director of Environment and Communities	<b>Programme Sponsor:</b> Director of Legal and Governance

38. To ensure the success of the now established governance framework and board structure, key roles and responsibilities have been designated at each layer, with the Executive being the ultimate accountable body for successful delivery of the transformation portfolio, in its entirety.
39. This Executive-approved governance structure ensures that projects and programmes are scrutinised in a uniform way, with exceptions escalated to senior responsible officers to ensure action is taken to bring the portfolio, programmes and projects back on-track, where required and / or necessary.
40. At Quarter Three 2024/25, the position of savings within the transformation portfolio were reported to the Leadership Team and through the Transformation Portfolio governance and performance management reporting cycle arrangements, and split by RAG rating, as follows:

RAG	Savings	24/25 (£m)		25/26 (£m)		26/27 (£m)		Total (£m)		Total (%)	S/O* (£m)
	Approved Budget	(15.302)		(5.151)		(1.967)		(22.420)			
Blue	Benefits and / or saving(s) realised, with evidence provided.	(4.249)	↑	0.000		0.000		(4.249)	↑	19%	(0.909)
Green	Benefits and / or saving delivery on-track, with assured plans in place.	(6.215)	↓	(3.050)	↓	(0.140)	↔	(9.405)	↓	42%	0.000
Amber	Medium-risk to benefits and / or saving(s) delivery. Mitigation in-play, or in development.	(2.917)	↑	(0.896)	↓	(0.262)	↔	(4.075)	↑	18%	0.000
Red	High-risk to benefits and / or saving(s) delivery. Limited scope for mitigation.	(1.648)	↑	(1.205)	↑	(1.565)	↔	(4.418)	↑	20%	0.000
Purple	Benefits and / or saving(s) are undeliverable. Alternative plan / saving required, for Executive approval.	(0.273)	↑	0.000		0.000		(0.273)	↑	1%	0.000
	<b>Total Savings</b>	<b>(15.302)</b>		<b>(5.151)</b>		<b>(1.967)</b>		<b>(22.420)</b>		<b>100%</b>	<b>(0.909)</b>

\* S/O: savings overachievement

41. The position was also be presented at Quarter Three 2024/25, by number of projects within the portfolio broken down by RAG rating, as follows:

Directorate	Benefits and / or saving(s) realised, with evidence provided.		Benefits and / or saving delivery on-track, with assured plans in place.		Medium-risk to benefits and / or saving(s) delivery. Mitigation in-play, or in development.		High-risk to benefits and / or saving(s) delivery. Limited scope for mitigation.		Benefits and / or saving(s) are undeliverable. Alternative plan / saving required, for Executive approval.		Total No. Of Projects 2024/25	
	Blue	Green	Amber	Red	Purple	TOTAL (No.)	TOTAL (%)					
Adults	7	44%	5	31%	1	6%	3	19%	0	0%	16	21%
Children's	4	27%	6	40%	1	7%	3	20%	1	7%	15	20%
Property	0	0%	3	60%	1	20%	1	20%	0	0%	5	7%
Customer	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Place Based Services	2	10%	16	80%	0	0%	2	10%	0	0%	20	26%
Target Operating Model	2	10%	15	75%	2	10%	0	0%	1	5%	20	26%
<b>TOTAL</b>	<b>15</b>	<b>20%</b>	<b>45</b>	<b>59%</b>	<b>5</b>	<b>6%</b>	<b>9</b>	<b>12%</b>	<b>2</b>	<b>3%</b>	<b>76</b>	<b>100%</b>

42. Delegated decision-making powers relating to any required approvals for proposed changes to time, scope, cost and benefit of individual projects programmes, enabling them to be brought back within agreed tolerances are as set out in the Programme and Project Management Framework (PPMF). This is with the exception where such changes are a key or urgent decisions and would require Executive approval through an additional report.
43. During Quarter Three 2024/25 a number of project gateways were approved. Gateway approvals are required project lifecycle stages, which ensure appropriate and robust assurance and challenge has been applied to the scoping, planning and development of the necessary project documentation and delivery plans, which are then monitored through the transformation governance arrangements.
44. The gateway approvals for Quarter Three 2024/27, are summarised below:

Thematic Programme	Project	Gateway approval type	Approved
Place-Based	Resident Parking permits charge	Business Case	Oct
Place-Based	Fortnightly Collections	Change control	
Property	Property Rationalisation	Project Brief and change control	
Property	Property Management	Change control	
Children's	Edge of Care	Project Brief	
Children's	Modernising Fostering	Project Brief	
Children's	Redesign of Short Break Provision	Project on a Page	
Children's	Review Integrated Transport Unit arrangements	Project on a Page	
Target Operating Model	Review Single Person Discounts and Student Exemption for Council Tax	Change control	
Place-Based	Increase in Recycling Education and Enforcement	Business Case	Nov
Place-Based	Charge for Waste Bins on New Developments	Change control	
Place-Based	Town Hall / Theatre	Business Case (Pt.1)	
Place-Based	Replacement Wheeled bins charge	Project on a Page	
Children's	Internal Residential	Change control	
Property	Housing Supply	Change control	
Property	Property Rationalisation	Change control	
Property	Property Management	Change control	
Customer	Customer Programme	Change control	
Place-Based	Chargeable Junk Job collection	Change control	Dec
Place-Based	Alternative operations for Captain Cook Museum	Business Case (Pt.2) and change control	
Place-Based	Fortnightly Refuse Collection	Closure report.	
Target Operating Model	Collection of Business Rates	Change control	
Target Operating Model	Collection of Council debt	Change control	
Target Operating Model	Review of Legal Services	Change control	
Children's	Modernising Fostering	Business Case	
Children's	Edge of Care	Business Case	

### Progress in other corporate performance matters

Status	Q3 2024/25 position	Q2 2024/25 position	Expected standard	Standard achieved	Trend
P 1 / 2 audit actions in time	88%	<b>100%</b>	90%	Yes	↓
FOI / EIR responded to <20 days	69%	<b>61%</b>	90%	No	↑
% live SARs overdue	38%	<b>6%</b>	90%	No	↑
Information security incidents	30	<b>34</b>	N/A	N/A	↓
Incidents reported to the ICO	0	<b>1</b>	N/A	N/A	↑
% complaints closed in time	86%	<b>82%</b>	90%	No	↑

\* Measure reflects actions agreed to be delivered in 2024/25



45. In addition to the above performance and risk issues, the Leadership and Management Team review a range of other performance measures on a monthly basis, including compliance with agreed actions from internal audits, responsiveness to statutory information requests, information security incidents and complaints.

46. At the end of Quarter Three 2024/25, the key points of note in matters of compliance, are:

- There has been a second quarter of improved level of compliance with statutory timescales for FOI and EIRs, however performance continues to remain below acceptable levels. Capacity in services to respond to these statutory requests continues to be impacted by the volume of requests they are also dealing with through the new Members Enquiries system in some areas.
- Compliance with the legal timescales in relation to Subject Access Requests (SARs) relates to a very small number of complex SARs (four). Requesters are receiving information from their requests as it has been prepared and the Council is in ongoing communication with them.
- The 12% of audit actions which were not completed in line with timescales relate to 4 out of the 29 priority two (now called significant in the new audit scoring framework) actions. All four of the priority one actions were completed before deadlines. All actions were completed within 14 days of going overdue.

#### **Other potential alternative(s) and why these have not been recommended**

47. The council is required to operate a performance management framework in order to ensure delivery of its best value duty; to not do so would place the council at risk of failing in its statutory responsibility in this regard.

#### **Impact(s) of the recommended decision(s)**

##### ***Financial (including procurement and Social Value)***

48. There are no direct financial implications rising from the recommendations set out in this report.

##### ***Legal***

49. There are no legal impacts of the proposed decisions or recommendations, and they are consistent with and will promote the achievement of the Council's legal duty to achieve Best Value.

##### ***Risk***

50. The proposed recommendations are key to and consistent with supporting delivery of the Council's strategic priorities and risks, as set out in the Council Plan.

##### ***Human Rights, Public Sector Equality Duty and Community Cohesion***

51. The ambitions of the Council Plan set out how the Council will improve outcomes for all its residents and highlight where additional activity is required to address inequalities in outcomes that exist across groups and individuals. This approach was impact assessed as part of the development of the 2024-2027 Council Plan, which found that the plan would have a positive impact by addressing inequalities.

##### ***Climate Change / Environmental***

52. The ambitions of the Council Plan set out how the Council will protect and improve our environment, as part of the "A healthy place" priority which focuses on improving levels of recycling, protecting and improving parks and open spaces, and improving environment standards of the town. There are no direct impacts on this theme as a result of this and

performance to date is reflected in Appendix 2: Council Plan workplan; progress at Quarter Three 2024/25. Where impact on climate change and environment is considered as part of wider programmes, projects or Executive reports, these will be referenced within the detail of the report.

### **Children and Young People Cared for by the Authority and Care Leavers**

53. The ambitions of the Council Plan set out how the Council will respond and react to Children and Young People cared for by the authority and care leavers, across the " *A successful and ambitious town*", "*A healthy place*", and "*Safe and Resilient Communities*" priorities. There are no direct impacts on this theme as a result of this and performance to date is reflected in Appendix 2: Council Plan workplan; progress at Quarter Two 2024/25. Where impact on Children and Young People cared for by the authority and care leavers is considered as part of wider programmes, projects or Executive reports, these will be referenced within the detail of the report.

### **Data Protection / GDPR**

54. Whenever the council delivers activities and uses data to assess impact, it takes the necessary steps to ensure it complies with the requirements of GDPR In any use of personal data that is undertaken within that work.

### **Actions to be taken to implement the recommended decision(s)**

Action	Responsible Officer	Deadline
Performance management feeder systems to be updated according to approval from Executive.	J Chapman	12/02/2025

### **Appendices**

1	Executive Actions: proposed amendments at Quarter Three 2024/25
2	Council Plan Workplan: progress at Quarter Three 2024/25
3	Strategic Risk Register

### **Background papers**

Body	Report title	Date
Council	The Council Plan 2024-27	08/03/2024
Council	Approach to Transformation of Middlesbrough Council	27/03/2024
Council	Transformation of Middlesbrough Council	24/04/2024
Executive	Quarter One Corporate Performance Report	04/09/2024
Executive	Quarter Two Corporate Performance Report	04/12/2024

**Contact:** Gemma Cooper, Head of Strategy, Business and Customer  
**Email:** gemma\_cooper@middlesbrough.gov.uk

## Appendix 1: Executive Actions: proposed amendments at Quarter Three 2024/25

Executive of	Report	Action	Owner	Agreed Due Date	Proposed Revised Due Date
13/11/2024	Middlesbrough Council: target operating model	Map out next steps at the Target Operating Model Thematic Board.	LGS	20/11/2024	31/03/2025
18/10/2022	Town Centre Strategy	Various actions as identified at appendix A in the report.	REG	31/10/2024	31/03/2025
14/02/2024	Newham Hall - Disposal Options Update	Hybrid Planning Application will be submitted for the road and the housing	REG	31/08/2024	30/04/2025
13/11/2024	Southlands Community Facility and Sporting Hub	Submit Delegated Authority to Legal Services to initiate the drafting of the Lease.	REG	30/11/2024	28/02/2025
24/07/2024	The disposal of land at Hemlington Grange West	POS & Land Appropriation	REG	30/08/2024	30/06/2025
24/07/2024	The disposal of land at Hemlington Grange West	Site Investigation Work	REG	20/10/2024	31/09/2025
24/07/2024	The disposal of land at Hemlington Grange West	Development Guidance	REG	25/12/2024	31/12/2025
22/05/2024	Developing a New Nunthorpe Community Facility	Complete full construction designs and Site Investigations	REG	08/09/2024	31/03/2025
22/05/2024	Developing a New Nunthorpe Community Facility	Submit Planning Application	REG	15/09/2024	31/03/2025
<b>22/05/2024</b>	Developing a New Nunthorpe Community Facility	Planning Committee Decision	REG	22/12/2024	30/06/2025
<b>06/09/2023</b>	Middlesbrough Development Company Closure	Deliver the remaining actions in the Action Plan set out in Appendix 1.	REG	31/03/2024	31/03/2025
<b>20/12/2023</b>	Middlesbrough Development Company Closure	Deliver the remaining actions in the Action Plan set out in the body of the report	REG	30/09/2024	31/03/2025

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## Appendix 2: Council Plan workplan; progress at Quarter Three 2024/25

<b>We will attract and grow businesses to increase employment opportunities</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Implementation of an Economic Growth Strategy and Masterplan for the town, articulating both the aspirations of the Council and key partners and the key future investment priorities.	G	G	G
Expand the towns cultural offer through creation of a Cultural Masterplan, alongside exploration of external investment to ensure long term sustainability.	G	G	G
Increase the local economic impact of new job creation in key sectors.	G	G	G
Improve the range of health and employment related services offered to the public through successful delivery of the Levelling Up Partnership funds.	G	G	G

<b>We will improve attainment in education and skills</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Transform Middlesbrough's approach to delivery of learning through implementation of the Council's Education and Skills Strategy.	G	G	G
Improve outcomes through delivery of the Priority Education Area action plan at key stages 1, 2 and 4.	G	G	C
Increase parental understanding of the importance of literacy for under 5's through a programme of learning	G	G	G
Improve life chances by increasing children's and young people's access to high quality education through delivery of the Learning and Education Strategy.	G	G	G
Develop and deliver a programme of qualifications and learning to support people into / back into employment through Middlesbrough Community Learning.	G	G	G

<b>We will ensure housing provision meets local demands</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Develop and progress a new Local Plan for Middlesbrough which balances growth aspirations with the longer-term needs of the Middlesbrough community.	G	G	G
Continue to grow housing sites and opportunities in Middlesbrough, to enable the development of 450 units of new housing per year.	G	G	G
Establish a strategic leadership role for the provision of housing to ensure that the provision aligns with needs.	G	G	C
Increase pathways offer for homeless households that embody choice; safety and dignity and provide routes into sustainable, long-term accommodation.	G	G	G

<b>We will improve life chances of our residents by responding to health inequalities</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Boost recruitment and retention of practitioners through delivery of the childcare expansion in Early Years	G	G	G
Roll-out the extended childcare entitlement to increased number of children from 9months+, who have access to Early Years provision	G	G	G
Increase outcomes for under 5's through successful delivery of the Best Start Pathway.	G	G	G
Develop research architecture and attract funding, to support development of our local understanding of key issues affecting health inequalities.	G	G	G

Reduce health inequalities caused by excess weight, through implementation of the core Healthy Weight Declaration commitments.	G	G	G
Improve wellbeing in Middlesbrough through embedding a 'health in all' policies approach in all planning and transport decision-making.	G	G	G
Improve health literacy through delivery of a Healthy Start pilot model for prevention of ill-health in schools.	G	G	G
Reduce inequalities through improvements to cancer screening programmes uptake	G	G	G
Improve prevention services delivered in primary and secondary care to increase uptake	G	G	G

<b>We will protect and improve our environment</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Increase the levels of recycling in Middlesbrough from 30% to 38%.	G	G	G
Protect and improve our parks and open spaces through retention of Green Flag Status	G	G	G
Improve environmental standards of the town, through increased levels of environmental enforcement.	G	G	G

<b>We will promote inclusivity for all</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Strengthen our approach to supporting dementia friendly communities programme through increasing voluntary and community sector capacity	G	G	C
Prevent and / or delay the need for formal service provision through improved access to reliable and timely advice and information, to support independent and healthy living	G	G	G
Develop and implement a pilot approach to housing and support, for inclusion health groups ensure this is reflected in the Supported Housing Strategy	C	C	G

<b>We will reduce poverty</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Relaunch Welfare Strategy to support Middlesbrough's vulnerable residents who need financial assistance, advice and support	G	G	G

<b>We will provide support for adults to be independent for longer</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Increase the effectiveness of prevention through the development of more signposting and a consistent strengths-based approach to the promotion of independence at the "front door" of Adult Social Care	G	G	G
Increase the amount of reablement provided to reduce the need for on-going care	G	G	G
Develop an enhanced range of accommodation and support options for adults with a learning disability to promote independence and reduce the reliance on residential care provision	G	G	G
Reduce the need for on-going care through the expanded use of the Connect Service, assistive technology and digital solutions	G	G	G
Re-locate and expand our specialist autism Day Care service	G	G	G





Develop a Community Capacity Building Strategy with focus on social capital and community wealth building	G	G	G
<b>We will Improve transport and digital connectivity</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Implementation of a transformed customer model to achieve improved customer access, outcomes and savings	G	G	G
Improve public highways and infrastructure to support connectivity across Middlesbrough and the Tees Valley	G	G	G
<b>We will promote new ideas and community initiatives</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Introduce a neighbourhood working model to ensure Council services are more closely aligned to community needs	G	G	G
<b>We will reduce crime and antisocial behaviour</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Reduce Crime and Anti-Social behaviours across Middlesbrough through the continued working with the Community Safety Partnership	G	G	G
Improve the safety and health of the public and the environments in which they live and work through review of public protection policies and interventions	G	G	G
Implement a multidisciplinary approach (SHIFT) to increase prevention opportunities through early intervention	G	C	C
Work with partners to ensure safe and effective systems and processes are in place for the protection of victims of domestic abuse and their children	G	G	G
Revise and implement an Empty Homes strategy to support the Councils wider approach to tackling crime and ASB	G	G	G
<b>We will ensure robust and effective corporate governance</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Implement and embed a Member Development Strategy and Programme to extend learning and development opportunities	G	G	G
Develop and implement approach to achieve organisational change through implementation of transformation portfolio of programme and projects and associated governance structure	C	C	C
Refresh the Information Strategy to ensure legal compliance in regard to information governance	A	R	C
<b>We will set a balanced revenue budget and Medium-Term Financial Plan to restore financial resilience and sustainability</b>	<b>Q1 2024/25 position</b>	<b>Q2 2024/25 position</b>	<b>Q3 2024/25 position</b>
Increase internal residential capacity through the purchase of suitable properties	G	G	G
Improve recruitment and retention of social worker related posts through more targeted and effective marketing	G	G	G
Maximise grant opportunities to support service delivery	G	G	G







Implementation of a People Strategy to underpin the Council's cultural transformation ambitions and financial stability	G	C	C
Increase sales and maximise rental income of the Council's asset portfolio to ensure financial sustainability and promote economic growth	G	G	G
Remodel the Council's Planning Service to reflect increasing demand and complexity, address recruitment and retention difficulties, and deliver improved customer service	G	G	G
Complete new delivery model for Procurement and Contract Management across Council services	G	G	G
Increase level of grant income to support development of new service delivery initiatives	G	G	G
Retender pensions administration service, to ensure value for money for fund and scheme members	G	G	G
Implementation and review effectiveness of demand and cost modelling forecast, for high-spend areas to feed into MTFP assumptions	G	C	C
Review of Children's and Young People placements, including processes and procedures to ensure robust decision-making and allocation	G	G	G
Increase internal residential capacity through the purchase of suitable properties	G	G	G






<b>Key:</b>	
<b>C</b>	Complete
<b>G</b>	On-track
<b>A</b>	Some slippage
<b>R</b>	High risk of deliverability
<b>U</b>	Undeliverable







**Appendix 3: Strategic Risk register at the end of Quarter Three 2024/25**





Code	Risk Description	Original Score	Current Score	Target Score	Managed By
SR-01	<p><b>Failure to set a legal and balanced annual budget and to maintain a sustainable Medium Term Financial Plan (MTFP)</b></p> <p>The Council is required to set a legally balanced revenue budget by 11 March in advance of each forthcoming financial year. Failure to achieve this objective will require the s151 Officer to issue a statutory s114 Notice to the Council.</p> <p>The Council has a best value duty to set and maintain a sustainable and balanced Medium Term Financial Plan including maintenance of its reserves position to demonstrate financial resilience to be able to respond to unforeseen and complex financial challenges presented by the wider economic environment.</p>	 <p>35</p>	 <p>28</p>	 <p>21</p>	Director of Finance and Transformation
<b>Current Mitigation</b>		<b>Future Mitigation</b>	<b>Responsible Officer</b>	<b>Director</b>	<b>Target Date</b>
		Development of balanced 2024/25 Budget and MTFP to 2026/27	Director of Finance and Transformation 		11-Mar-2024

<ul style="list-style-type: none"> <li>• Responsibility and Accountability for Financial Management reinforced by Accountability Agreements for all Directors</li> <li>• Monthly budget monitoring, forecasting, and tracking of savings delivery by Directors with accountability to the Interim CEO through LMT and development and delivery of financial recovery plans to control within approved budget</li> <li>• Monthly budget challenge sessions chaired by Director of Finance for all Directorates to enable development of insight, understanding and wider collaboration of colleagues in order to address significant financial risks.</li> <li>• Timely briefing of Mayor and Executive Members on significant financial challenges with agreement for action.</li> <li>• Quarterly budget challenge sessions chaired by the Executive Member for Finance &amp; Governance to engage Executive Members.</li> <li>• Monthly monitoring of income budgets, council tax and business rates collection rates and debt levels.</li> <li>• Update MTFP ahead of Council Planning and budget setting process for 2024/25.</li> <li>• Implementation of budget management Power BI dashboard over Business World financial management system in order to improve accessibility of financial information for Directors, Heads of Service and Budget Manager.</li> <li>• Implementation and expansion of purchase to pay compliance dashboards for use by Directors, Heads of Service and Budget Managers to drive increase in compliant procurement in relation to retrospective ordering, on vs off contract spend and use of purchase cards</li> </ul>	Refresh of the 2025-26 MTPS process	Andrew Humble		Director of Finance and Transformation	28-Jul-2024
	Failure of the Recover, Reset, Deliver Transformation Portfolio	Chief Executive			31-Mar-2025
	Failure of the Recover, Reset, Deliver Transformation Portfolio to identify further savings	Chief Executive			31-Mar-2025
	Monthly budget monitoring to be put in place	Director of Adult Social Care and Health Integration; Director of Children's Care; Director of Children's Services			31-Mar-2024
	MOU surrounding agency costs as a region to be implemented.	Director of Children's Care			30-May-2025
	Monthly budget monitoring to be put in place	Director of Adult Social Care and Health Integration; Director of Children's Care			31-Mar-2024






Code	Risk Description	Original Score	Current Score	Target Score	Managed By
SR-02	<p>Volatility in the demand, complexity and cost of children's social care.</p> <p>The risk that <b>demand and cost of and children's social care</b> continues to escalate on the scale experienced in 2022/23, is the single biggest risk to the Councils financial viability. More financially sustainable solutions for meeting social care needs of children need to be secured with urgency to ensure delivery within the approved budget for 2023/23.</p>	 35	 28	 21	Director of Children's Care; Director of Children's Services
Current Mitigation		Future Mitigation	Responsible Officer	Director	Target Date
<p><b>Children's input</b></p> <ul style="list-style-type: none"> <li>Weekly activity data through Chat reports/ data</li> <li>Monthly financial monitoring with Finance BP</li> <li>Development of demand model</li> <li>Placement review has taken place to manage costs associated with young people.</li> <li>MOU surrounding agency costs as a region to be implemented in April 2025.</li> <li>Recruitment and retention strategy reviewed to increase permanent staff within the local authority.</li> <li>Transformation of Children's Services underway.</li> <li>Access to grants being followed up.</li> </ul>		Weekly placements panel to be put place for high cost placements	Director of Adult Social Care and Health Integration; Director of Children's Care 	Director of Children's Care; Director of Children's Services; Director of Education and Partnerships	30-Jun-2023
		Review Placements Manager post	Claire Walker 		29-Feb-2024
		Monthly budget monitoring to be put in place	Director of Adult Social Care and Health Integration; Director of Children's Care; Director of Children's Services 		31-Mar-2024
		MOU surrounding agency costs as a region to be implemented.	Director of Children's Care 		30-May-2025

Code	Risk Description		Original Score	Current Score	Target Score	Managed By
SR-03	Volatility in the demand and cost of adult's social care	The potential for underlying <b>demand and cost pressures to arise in adult social care</b> presents a significant risk to the Council's overall financial viability and measures must be put in place to manage within approved budget.	 35	 20	 9	Director of Adult Social Care and Health Integration
Current Mitigation		Future Mitigation	Responsible Officer	Director	Target Date	
Local Government settlement		Monthly budget monitoring to be put in place	Director of Adult Social Care and Health Integration; Director of Children's Care	Director of Adult Social Care and Health Integration; Adult Social Care and Public Health Senior Managers	31-Mar-2024	
Budget Management process Contract management processes Savings programme in place		Develop a demand model, that monitors performance across activity demand and unit costing, to understand 'current state'.	Director of Adult Social Care and Health Integration; Dee Evans; Victoria Holmes		31-Mar-2025	
Demand model in place Monthly demand reported to DMT - activity not just finance		Develop a forecast model, that uses the 'current state' model, to predict activity demand and financials across Adults Social Care in the next 1/2/5 years.	Dee Evans; Victoria Holmes		31-Mar-2025	



Code	Risk Description		Original Score	Current Score	Target Score	Managed By
SR-04	Unlawful decision by the Council	If the Council took a decision that was unlawful then there is a risk of legal challenge or regulatory action that could damage its reputation and its financial position.	 <span style="float: right;">35</span>	 <span style="float: right;">10</span>	 <span style="float: right;">6</span>	Director of Legal and Governance
Current Mitigation			Future Mitigation	Responsible Officer	Director	Target Date
Council constitution and supporting policy framework			Refresh the committee report format	Ann-Marie Johnstone	✓	31-Jul-2023
Corporate policies and procedures			Review the report development process	Ann-Marie Johnstone	✓	31-Jul-2023
Compliance checks across key areas including HSE, Risk etc, covering the corporate governance framework			Complete delivery of the Corporate Governance Improvement Plan	Ann-Marie Johnstone	▶	31-Mar-2025
Standard report formats			Complete delivery of the Section 24 Action plan	Ann-Marie Johnstone	▶	31-Mar-2025
Statutory officer posts to oversee governance			Progress report on improvement against the Best Value Notice by the independent Board considered by Council	Ann-Marie Johnstone	✓	31-Mar-2024
Annual Governance Statement assessment process			Progress report on improvement against BV notice considered by Executive	Ann-Marie Johnstone	✓	30-Sep-2024
Internal and external audit processes						
Refreshed whistleblowing policy						
Legal and finance report clearance process						
Regular review of the Council Constitution.						







Code	Risk Description		Original Score	Current Score	Target Score	Managed By
SR-05	Serious accident or death occurred as a result of failure to comply with Health and safety legislation and regulations	If a serious accident or death occurred as a result of failure to comply with Health and safety legislation and regulations, then this could result in financial and reputational damage and individual prosecutions of staff.	 35	 15	 10	Chief Executive
Current Mitigation		Future Mitigation	Responsible Officer	Director	Target Date	
<p>Comprehensive suite of Health and Safety policies and procedures.</p> <p>Mandatory and complimentary Health and safety training for all Council staff.</p> <p>Dedicated HSE Advisor team</p> <p>Incident investigation system (My Compliance) to learn from incidents.</p> <p>HSE intranet page with important HSE information</p> <p>Audit schedule</p> <p>HSE steering group</p> <p>Fire Management System implemented across Council premises.</p>		Fire Safety Management Policy Statement	Director of Regeneration; Gary Welch 	Chief Executive; Director of Legal and Governance; Director of Regeneration	31-Jul-2023	
		CEO to produce H&S Statement of Intent for the Council.	Chief Executive; Gary Welch 		31-Jul-2023	
		Risk from reinforced autoclaved aerated concrete (RAAC) collapsing in maintained schools or other Council assets	Director of Regeneration; Richard Horniman 		31-Mar-2025	
		Implementation of service area audits by the health and safety unit to give further assurance of sound HSMS within directorates.	Gary Welch 		31-Mar-2025	








Code	Risk Description		Original Score	Current Score	Target Score	Managed By
SR-07	Unable to recruit and retain key staff	If the Council is <b>unable to recruit and retain key staff</b> , then this could impact on its' ability to deliver critical services which could cause harm to people and could result in government intervention.	 15	 9	 3	Director of Legal and Governance
Current Mitigation		Future Mitigation	Responsible Officer	Director	Target Date	
Benchmarking salaries against other local authorities and similar roles in other disciplines to remain competitive.  Work/life balance system such as agile working, 9 day fortnight, collaboration areas etc.  Advertising roles on multiple platforms such as LinkedIn and other social networking sites with the aim of reaching target audience.		Benchmark grades and salaries against NE local authorities	Kerry Rowe		Director of Legal and Governance	31-Jul-2023
		Review recruitment process	Nicola Finnegan			31-Oct-2023
		Create new people and cultural transformation strategy	Nicola Finnegan			31-Oct-2023
		review the people strategy after the first year of implementation	Nicola Finnegan			31-Mar-2025
		Recruitment of Chief Executive and S151 Officer	Director of Legal and Governance			31-Mar-2025
		Track delivery of first quarterly report to LMT on delivery against People Strategy	Nicola Finnegan			31-Jul-2024






Code	Risk Description		Original Score	Current Score	Target Score	Managed By
SR-08	Fail to ensure an approach to cyber security that meets good practice standards as set out by the National Cyber Security Centre and other bodies	If the Council <b>fails to ensure a sound approach to cyber security</b> (technology, processes and awareness), then this could result in a cyber-attack which disrupts service delivery, increases risks to service users and incurs significant financial costs to respond to and recover from an attack.	 <span style="margin-left: 100px;">35</span>	 <span style="margin-left: 100px;">14</span>	 <span style="margin-left: 100px;">10</span>	Director of Legal and Governance; Stephanie Bradley; Gemma Cooper; Ben Knudsen
Current Mitigation		Future Mitigation	Responsible Officer	Director	Target Date	
<ul style="list-style-type: none"> <li>* Annual ICT health checks (Internal and external penetration testing).</li> <li>* Compliance with PSN and PCI standards.</li> <li>* Internal scanning as new systems go live.</li> <li>* Robust defence systems including firewalls, content filtering and endpoint protection.</li> <li>* Robust 60 day patching and maintenance cycle.</li> <li>* Test complete and continue to test.</li> <li>* Healthcheck recommendations reviewed and implemented.</li> <li>* Membership of North East WARP and CiSP.</li> <li>* Use of Protective DNS.</li> <li>* Robust backup regime, including off-line tape backups to ensure recovery.</li> </ul>		Review Cyber Security Training Strategy	Stephanie Bradley; Ben Knudsen 	Director of Legal and Governance	31-Jan-2025	
		Benchmark against Cyber Assessment Framework	Stephanie Bradley; Ben Knudsen 		01-Dec-2024	










Code	Risk Description	Original Score	Current Score	Target Score	Managed By	
SR-09	Corporate Governance arrangement not fit for purpose  If the Council's <b>Corporate Governance arrangements are not fit for purpose and appropriate action is not taken to rectify this at pace</b> , this could result, censure from the Council's auditors within a public interest report that would damage the Council's reputation and/or in government formal intervention including removal of powers from officers and members and direction of council spend.	 15	 15	 9	Director of Legal and Governance	
Current Mitigation		Future Mitigation	Responsible Officer	Director	Target Date	
<p>External reports commissioned on Corporate governance and findings reflected within a Corporate Governance Improvement Plan</p> <p>Improvement Board in place</p> <p>Detailed improvement plan in place that has delivered a range of changes to corporate governance processes</p> <p>Annual Governance Statement process and supporting action plan. Draft AGSs in place for both 2021/22 and 2022/23</p> <p>Regular reports to Audit Committee on aspects of corporate governance to provide assurance</p>		Complete delivery of the Section 24 Action plan	Ann-Marie Johnstone		31-Mar-2025	
		Refreshed approach to corporate governance agreed by council	Ann-Marie Johnstone		31-Jul-2023	
		Corporate peer review held to assess process	Ann-Marie Johnstone		31-Jan-2025	
		Develop the detailed delivery plan	Gemma Cooper		Director of Legal and Governance	30-Sep-2023
		Progress report from MIIAB to Council by end March 2024	Ann-Marie Johnstone		31-Mar-2025	
		Progress report from MIIAB to Executive by end July 2024	Ann-Marie Johnstone		31-Jul-2024	
		Continue to implement a scheme of sub-delegations where appropriate	Director of Legal and Governance		31-May-2025	








	to further improve governance around officer delegated decisions.			
	Seek an LGA Corporate Peer Challenge review within the next two years to provide an external review of the Council's corporate governance arrangements.	Director of Legal and Governance		25-Jan-2025
	Continue to be addressed by the Corporate Governance Improvement Plan and the sec 24 action plan put in place to respond to the statutory recommendations of the EA and the governance weaknesses identified by CIPFA, Government and the Council itself.	Chief Executive		31-Mar-2025
	A robust officer scheme of delegations and sub-delegations is required to ensure effective, appropriate and timely taking of decisions that can be taken by officers. (20/21 action). This will be addressed following the review of the constitution in 2024.	Director of Legal and Governance		31-May-2025
	Refreshed approach to consultation and community engagement to be developed in 2024. A revised supporting policy will then be developed	Ann-Marie Johnstone		31-Mar-2025
	Refresh the Information Strategy during 2024.	Ann-Marie Johnstone		31-Mar-2025
	In 2024/5 the Council will continue to deliver against its improvement plan and move towards BAU practices that provide assurance to government that the Council is	Chief Executive		31-Mar-2025

	maintaining a culture of good governance.			
	Development of a Workforce Plan to ensure staff at all levels have the skills and capabilities to be successful in their roles	Nicola Finnegan		31-Mar-2025
	Complete the first annual review of the People Strategy	Nicola Finnegan		30-Apr-2025
	Complete recruitment process for all interim appointments in a Leadership Management Team position	Nicola Finnegan		31-Mar-2025
	Complete the first annual review of the Member Development Strategy to assess effectiveness and impact on culture and compliance	Ann-Marie Wilson		30-Nov-2024
	Commence reporting annually on how the Audit Committee has complied with CIPFA good practice, discharged its responsibilities, and include an assessment of its performance. The report should be available to the public.	Director of Legal and Governance; Ann-Marie Johnstone		31-Mar-2025
	Review current governance arrangements for Audit Committee and make recommendations in relation to inclusion of co-opted independent members for Committee consideration	Director of Legal and Governance		31-Mar-2025
	The Council will refresh its approach to customers within a revised Customer Services Strategy that will set out how customer services will be delivered within the Council's	Janette Savage		30-Nov-2024

	target operating model developed within the Transformation programme			
	Review the Consultation and Engagement policy to ensure it aligns with the wider needs of the organisation that will emerge from the Transformation Programme.	Ann-Marie Johnstone		31-Mar-2025
	Put in place a strategic Partnerships Strategy.	Chief Executive		31-Mar-2025
	Review the process for managing any changes to reports that occur between publication and meetings	Director of Legal and Governance		31-May-2025
	The Council is implementing a Corporate Landlord Model as part of the transformation work. This sets out the framework for property decisions and will be formally considered by Executive prior to full adoption.	David Jamison		30-Nov-2024
	A clear Asset Acquisition Policy reflecting these requirements is integrated into the Corporate Landlord Model framework that will be considered by Executive.	David Velemir		30-Nov-2024





Code	Risk Description	Original Score	Current Score	Target Score	Managed By
SR-10	Negative Impact of Mayoral Development Corporation <p>If the Council's ambitions for town centre regeneration or the wider financial sustainability of the organisation are negatively impacted by the establishment of a Mayoral Development Corporation that would take over some of the Council's existing statutory roles. This could potentially result in a lack of investment in the town, reduction in the Council's business rates income, loss of commercial income and reduction in asset holdings affecting the Council's financial viability. Reputational damage is also possible through the incorrect discharge of responsibilities such as town planning or business rate relief.</p>	 10	 15	 3	Director of Regeneration
<b>Current Mitigation</b>		<b>Future Mitigation</b>	<b>Responsible Officer</b>	<b>Director</b>	<b>Target Date</b>
Council representation on the board of the MDC		Heads of Terms agreed on individual asset transfers	Director of Regeneration 	Director of Regeneration	31-Jul-2025
Pushing for no detriment clauses in the MDC constitution		Delivery of planning functions until robust alternative is in place	Director of Regeneration 		31-Dec-2023
Engagement with TVCA on the development of future MDC projects		Agree robust business rates protocols	Sue Blakey; Janette Savage 		28-Feb-2025

Code	Risk Description	Original Score	Current Score	Target Score	Managed By
SR-11	Failed Partnerships	<p>If the <b>Council and its partners do not have the collective capacity to deliver system wide change to key issues</b> such as public health, crime and safeguarding, then this could result in the population's health, wellbeing and safety declining.</p>  <p>35</p>	 <p>21</p>	 <p>10</p>	Chief Executive
Current Mitigation		Future Mitigation	Responsible Officer	Director	Target Date
<p>Partnership governance register in place.</p> <p>Partnership governance annual assurance report and supporting register in place to assess the health of key partnerships.</p> <p><b>Children's Controls</b></p> <p>All partnerships contain TOR - Partners contribute.</p> <p>External scrutiny of partnerships.</p> <p>New Mayor to chair Corporate Parenting Board.</p> <p>Formal reporting process in place - record of discussion and decision making.</p> <p><b>Adults Controls</b></p> <p>Victim support for those within ASC who require it.</p> <p>Additional resources as required,</p>		Refresh of the Partnership Governance register	Ann-Marie Johnstone	 Chief Executive	31-Dec-2023




Code	Risk Description		Original Score	Current Score	Target Score	Managed By
SR-12	Fail to deliver quality practice within children's safeguarding services	If the Council <b>fail to deliver quality practice within children's safeguarding</b> services, then this may result in further government intervention, serious harm to individuals and loss of financial control.	 35	 15	 10	Director of Children's Care; Director of Children's Services
Current Mitigation		Future Mitigation	Responsible Officer	Director	Target Date	
<ul style="list-style-type: none"> <li>Delivered Children's services improvement plan</li> <li>Monthly performance monitoring boards in place</li> <li>Review to be undertaken of Children's Care</li> <li>Monthly audit activity and reports undertaken to consider the quality of practice.</li> <li>Ongoing monitoring via OFSTED with an annual conversation to take place.</li> <li>OFSTED future inspections to continue.</li> <li>Internal audit to review working practices.</li> </ul>		Implementation of post ILACs improvement plan	Director of Adult Social Care and Health Integration; Director of Children's Care		Director of Children's Care; Director of Children's Services	31-Jan-2024
		Creation and recruitment to the head of Quality Principal Social Work Learning and Review	Director of Adult Social Care and Health Integration; Director of Children's Care			30-Sep-2023
		Review progress in delivery of the ILACS improvement plan to assess progress and impact of actions	Director of Adult Social Care and Health Integration; Director of Children's Care; Director of Children's Services			30-Apr-2024
		Complete delivery of the ILACs improvement	Director of Adult Social Care and Health Integration; Director of Children's Care; Director of Children's Services			31-Jan-2026

Code	Risk Description		Original Score	Current Score	Target Score	Managed By
SR-13	Failure to deliver transformation successfully	If the Council fails to transform its service delivery model to a model that can deliver outcomes for residents at a reduced cost base, then the Council's financial position will become untenable and may result in the issuing of a S114 Notice.	 35	 7	 5	Chief Executive; Director of Finance and Transformation
Current Mitigation		Future Mitigation	Responsible Officer	Director	Target Date	
- PPMF in place - Transformation governance arrangements and reporting cycle agreed - Funding of £4.827m agreed by Council to fund transformation work		Failure of the Recover, Reset, Deliver Transformation Portfolio	Chief Executive	▶	31-Mar-2025	
		Failure of the Recover, Reset, Deliver Transformation Portfolio to identify further savings	Chief Executive	▶	31-Mar-2025	
		Agree the content and approach of the transformation portfolio	Chief Executive	✔	Chief Executive	30-Apr-2024
		First cycle of Transformation governance arrangements scheduled	Gemma Cooper	✔		30-Apr-2024
		Develop specification for transformation resourcing	Gemma Cooper	✔		30-Apr-2024



Code	Risk Description		Original Score	Current Score	Target Score	Managed By
SR-14	Failure to ensure effective governance of the Middlesbrough Development Corporation	If the Middlesbrough Development Corporation fails to reflect the relevant findings from the review of Teesworks governance in its structures, then there is a risk that it could fail to ensure value for money or good governance in its decision making, which will have an adverse impact on the economic vitality of the Town Centre.	 35	 10	 10	Director of Regeneration
<b>Current Mitigation</b>			<b>Future Mitigation</b>	<b>Responsible Officer</b>	<b>Director</b>	<b>Target Date</b>
<ul style="list-style-type: none"> <li>- Teesworks report and commitment from TVCA to reflect findings in the governance arrangements of the MDC</li> <li>- Council representatives on the MDC Board</li> </ul>			Refresh the Local Plan	Paul Clarke 	Director of Regeneration	31-Mar-2025

Code	Risk Description	Original Score	Current Score	Target Score	Managed By
SR-15	Threats to Social Cohesion and Democratic Resilience If Communities feel disconnected and that they do not live in a safe and resilient environment that promotes the best outcomes for citizens of the town. This could lead to local flashpoints which would be damaging to community relations, the reputation and image of a multi-cultural Middlesbrough.	 35	 15	 14	Marion Walker
Current Mitigation		Future Mitigation	Responsible Officer	Director	Target Date
<b>Internal Controls (Current Mitigations in place):</b> <ul style="list-style-type: none"> <li>. Community tension monitoring undertaken.</li> <li>. Community engagement undertaken.</li> <li>. Neighbourhood safety liaison in place.</li> <li>. Prevent operational group risk plans in place</li> <li>. Liaison with policing partners to verify validity of possible demonstrations.</li> <li>. Initial credibility verification through visual audits using CCTV operations and open sources.</li> <li>. Gatekeeping protocols with marketing and communications for potentially controversial communications</li> <li>. Ongoing promotion of education around disinformation and building of media literacy by partners within the local authority and via social media</li> <li>. Monthly meetings held with senior leadership.</li> </ul>		Promote social cohesion through a dedicated local government effort, amplifying and reinforcing democratic freedoms and norms; and supporting evidence-based local cohesion initiatives.	Marion Walker 	Director of Environment & Community Services	30-Aug-2025
		Build resilience in local communities against extremist ideologies and narratives, including conspiracy theories and disinformation (PREVENT).	Marion Walker 		30-Aug-2025
		Engage people utilising the neighbourhood model, tying in with partnership organisations, VCS, local community groups and elected members. We will work to find solutions with communities and not to them.	Marion Walker 		30-Aug-2025
		Develop an early tension warning system that monitors and alerts the local authority and other key local partners about growing tensions.	Marion Walker 		30-Aug-2025

<p>. Gold and Silver recovery group meetings with senior leadership teams across the organisation and partners.</p> <p>. Action plan developed by silver group to be reported to gold with escalations.</p> <p>. Community safety partnership reconstituted to provide greater strategic oversight.</p> <p>. MBC have secured £600k to be spent in response to community tensions as a further control.</p>	<p>Marginalise and isolate extremist and other malign actors to prevent the mainstreaming of extremist ideologies and dangerous conspiracy theories which are causing severe harm and disruption in local areas (PREVENT).</p>	<p>Marion Walker</p> 		<p>30-Aug-2025</p>
	<p>Respond quickly and effectively to flashpoint incidents and triggers.</p>	<p>Marion Walker</p> 		<p>30-Aug-2025</p>
	<p>Repair relationships and engagement between local communities where they have broken down following serious conflict and flashpoint incidents.</p>	<p>Marion Walker</p> 		<p>30-Aug-2025</p>

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<b>MIDDLESBROUGH COUNCIL</b>	
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<b>Report of:</b>	Director of Environment & Commercial Services
<b>Relevant Executive Member:</b>	Executive Member for Environment and Sustainability
<b>Submitted to:</b>	Executive
<b>Date:</b>	5 February 2025
<b>Title:</b>	Linthorpe Road Cycleway Phase 1
<b>Report for:</b>	Decision
<b>Status:</b>	Public
<b>Council Plan priority:</b>	A healthy place
<b>Key decision:</b>	Yes
<b>Why:</b>	Decision(s) will have a significant impact in two or more wards
<b>Subject to call in?:</b>	Yes
<b>Why:</b>	Non-urgent Report

<b>Executive summary</b>	
<p>The report seeks Executive direction following the acceptance of the design submitted and approved by Executive on the current Linthorpe Road cycle lane in December 2024.</p>	
<ol style="list-style-type: none"> <li>1) The cycleway was completed and became operational in September 2022. The project was funded by Department for Transport (DfT) and delivered locally by Middlesbrough Council and Tees Valley Combined Authority (TVCA).</li> <li>2) The project is part of a wider, regional delivery programme of sustainable transport projects; delivered under the 'Local Walking and Cycling Implementation Plan' (LCWIP) that was introduced at a national level by DfT.</li> <li>3) The project has showed positive trends for cycling and pedestrian numbers along the corridor, with a decrease in cycling related road traffic accidents.</li> <li>4) Following public consultation by TVCA with the majority of responses in favour of removal and reinstate previous alignment); the Executive approved a TVCA proposed design for the reinstatement of Linthorpe Road.</li> <li>5) In addition, a business case and associated funding agreement has now been received from TVCA to remove the scheme.</li> </ol>	

## 1. Purpose

1.1 The report seeks Executive direction following the acceptance of the design submitted and approved on the current Linthorpe Road cycle lane in December 2024.

## 2. Recommendations

2.1 That the Executive approve one of the following options on the status of the Linthorpe Road Cycle Lane scheme, based on the information contained within the body of this report;

- Retain the scheme
- Remove the scheme

## 3. Rationale for the recommended decision(s)

### Retain the scheme

- 3.1 Based on the data collected by VivaCity traffic count cameras post-implementation, removal of the cycle lane may result in increase in accidents and injuries witnessed. The usage data indicates that the cycle lane has contributed to not only reducing the number of accidents, but significantly increasing the number of cyclists simultaneously.
- 3.2 The cycle lane has led to an increase in the number of all highway users, which can lead to natural surveillance; assisting in reduction of actual/perceived crime and anti-social behaviour.
- 3.3 The significant increase in cycling along the corridor has not correlated with an increase in accidents.
- 3.4 The proposed area for phase 2 of Linthorpe Road has witnessed a significant decline in all modes of transport and the area has seen the percentage share of all accidents involving cyclists rise from 0% to 11%.
- 3.5 Maintain positive relationship with Active Travel England (ATE), which demonstrates regional commitment to City Regional Sustainable Transport Settlement (CRSTS) programme, which is to see over £300m spent up to 2027.
- 3.6 The cycle lane assists in supporting sustainable transport choices, which is assisting the Council's green strategy. It further supports social mobility, which is a key component for increasing economic activity for the surrounding area, which has typically low car ownership per capita.

3.7 The cycle lane supports those with disabilities by physically segregating cycles from pedestrians; creating additional crossing points and disabled parking spaces along the route, as there currently less junctions for users to navigate and maintains the current vehicular volume on the carriageway.

#### Remove the scheme

3.8 Following public consultation by TVCA, with the majority of responses in favour of removal and reinstate previous alignment; the Executive approved a TVCA proposed design for the reinstatement of Linthorpe Road.

3.9 TVCA commissioned a Road Safety Audit (RSA) into their approved design, which states that the proposed return to original alignment does not pose safety issues.

3.10 TVCA submitted a business case and associated funding agreement to remove the scheme, at no cost to the Council.

#### **4. Background and relevant information**

4.1 The cycleway was completed and became operational in September 2022. The project was funded by Department for Transport (DfT) and delivered locally by Middlesbrough Council and TVCA.

4.2 The project is part of a wider, regional delivery programme of sustainable transport projects; delivered under the 'Local Walking and Cycling Implementation Plan' (LCWIP) that was introduced at a national level by DfT and supported by Active Travel England (ATE).

4.3 The project was approved by the Executive in January 2021, with consultation led by TVCA. Consultation highlighted concerns that some businesses had with the proposals and the scheme was amended to accommodate views and concerns as part of the consultation and final approval. This resulted in retention of car parking spaces on carriageway, and the creation of additional spaces on Woodlands Road.

4.4 Post-implementation, concerns were highlighted regarding safety of pedestrians crossing at non-designated crossing points. As a result, further adaptations to the scheme were implemented to address safety concerns and implemented after agreement with the Council's insurer.

4.5 Since the installation of the cycle lane, travel data collected has shown a 48% increase in cycling and a 9% reduction in cycling related accidents.

4.6 Removal of the cycle lane was identified as a political priority for the Town Centre in early 2023 and again in 2024, due to concerns from local businesses.

4.7 A proposal (with a majority support from public consultation) to remove the cycle lane and reinstate to its previous alignment was submitted by TVCA. The Council approved the submitted plan in December 2024.

4.8 Following the approval, a business case and associated funding agreement was prepared and approved by TVCA to the Council, for the removal of the scheme (appendix 3). This is based on the anticipated income generation associated with increased parking provision.

**5. Other potential alternative(s) and why these have not been recommended**

5.1 The two alternatives for consideration are set out as above

**6. Impact(s) of the recommended decision(s)**

Topic	Impact
Financial (including procurement and Social Value)	<p>The original cycle lane was completed in September 2022 at a cost of £1.7m which was fully financed by capital grant from the DfT via the TVCA. TVCA have provided confirmation that the Council will not be liable for any grant payback.</p> <p>TVCA has provided a Funding Agreement Letter stating that it will provide capital resource totalling £2.17m to remove the infrastructure and complete the re-instatement works. This includes a Quantitative Risk Assessment (QRA) value of £0.286m which can be drawn down by the Council subject to approval of TVCA.</p> <p>The Council will manage the procurement and delivery of removal, which is budgeted for in the above agreement.</p>
Legal	<p>Retain the scheme:</p> <p>There are no legal implications in retaining the cycle lane. The current Traffic Regulation Order (TRO) will remain in place and will not require any amendments.</p> <p>Remove the scheme:</p> <p>Removal of the scheme would be subject to undertaking formal statutory consultation on the amendment to the current TRO.</p> <p>The proposed funding agreement for the removal would also need to be considered by legal.</p>



	<p>The Council’s network management duty set out in s.16 of the Traffic Management Act 2004 should also be considered, and whether the removal or retention of the cycleway would secure “the expeditious movement of traffic on the authority’s road network”, with the term “traffic” also being relevant to pedestrians and cyclists.</p>
<p>Risk</p>	<p>Retain the scheme</p> <p>This would impact negatively on the risk managed within the Regeneration and Culture Directorate Risk Register: O1-070 Town centres Commercial/leisure/retail and residential programme. It could indicate that the Council has disregarded public opinion on the removal of the scheme.</p> <p>Remove the scheme</p> <p>This would impact positively on the above risk. This is aligned with the concerns raised by businesses on the corridor relating to the reinstatement of car parking.</p> <p>This would have a positive effect on public perception of the Council’s reputation, as it has considered public opinion.</p>
<p>Human Rights, Public Sector Equality Duty and Community Cohesion</p>	<p>Retain the scheme</p> <p>The Equality Impact Assessment (EIA) undertaken to install the scheme evidenced that there was sufficient mitigating measures in place to ensure that the scheme did not impact negatively upon all users. The recommended action to retain the scheme maintains this position.</p> <p>Remove the scheme</p> <p>An EIA has been produced by TVCA (part of the business case) to assess the impact of removal of the infrastructure (appendix 3 &amp; 4). Council Officers have completed a stage 1 and stage 2 EIA, which has identified potential impact regarding physical disability. Further work would be required to review and mitigate.</p>
<p>Climate Change / Environmental</p>	<p>Retain the scheme</p> <p>Continuing to support the Council’s Green Strategy.</p> <p>Continuing to support social mobility and access to the local economy.</p> <p>Remove the scheme</p>

	Cyclists will revert to cycling on carriageway.
Children and Young People Cared for by the Authority and Care Leavers	n/a
Data Protection	n/a

### Actions to be taken to implement the recommended decision(s)

Action	Responsible Officer	Deadline
To retain the scheme – no further action required	Craig Cowley	February 2025
To remove the scheme; <ul style="list-style-type: none"> <li>• TVCA funding agreement signed and returned.</li> <li>• Statutory consultation on TRO</li> <li>• Detailed design approved</li> <li>• Procure and appoint contractor to deliver the capital works on behalf of the Council.</li> </ul>	Craig Cowley	January 2026

### Appendices

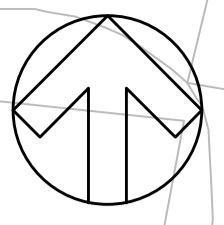
1	Proposed plans for removal of cycleway and reinstatement of previous alignment
2	Findings from Road Safety Audit
3	TVCA Financial Agreement and Business Case
4	Equality Impact Assessments, Stage 1 & 2

### Background papers

Body	Report title	Date
Executive Report	Linthorpe Road Phase 1 Cycleway Design	4 <sup>th</sup> December 2024

### Contact:

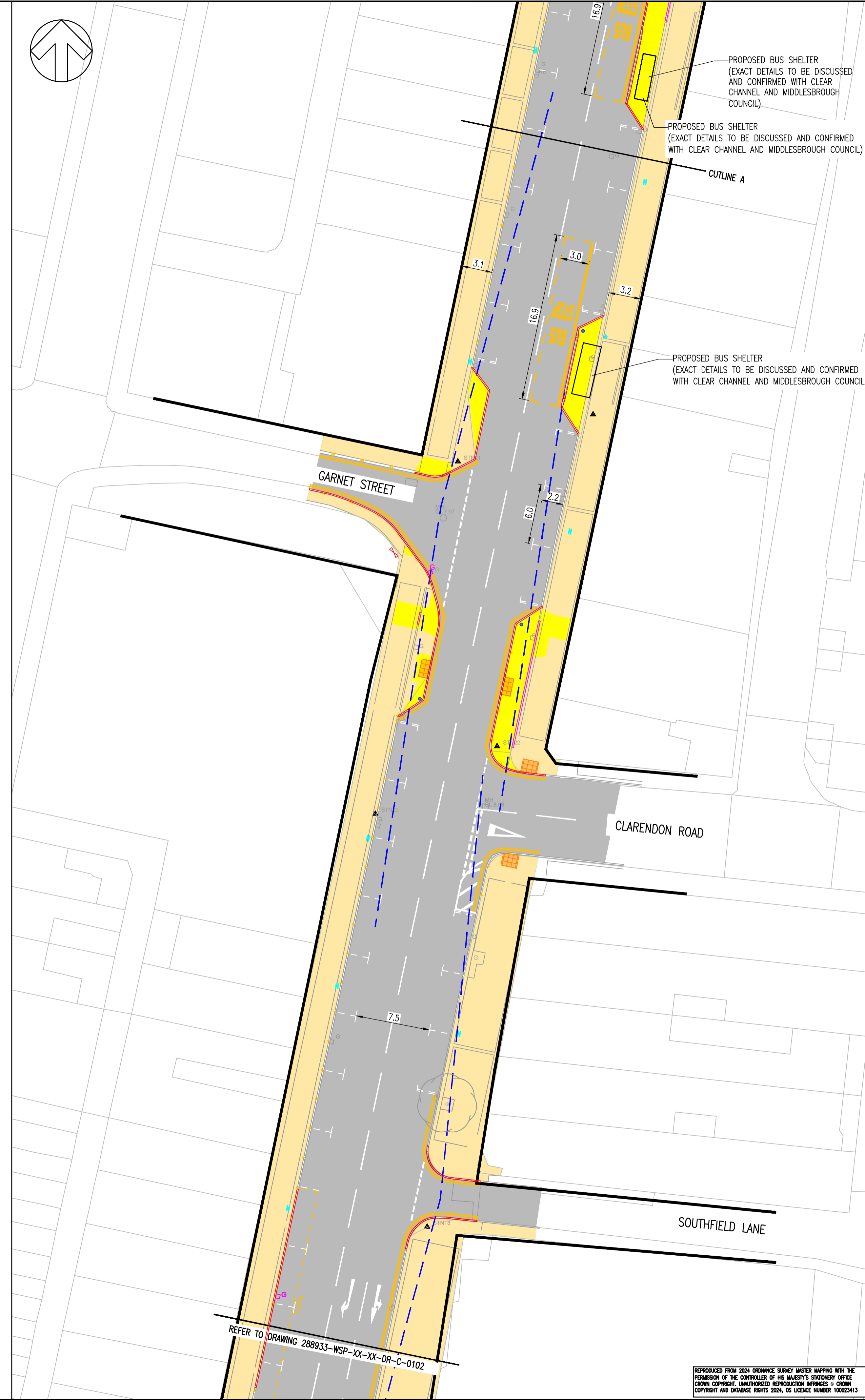
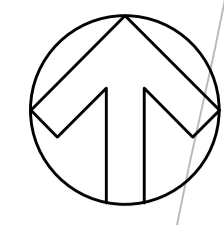
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- EXISTING TREE

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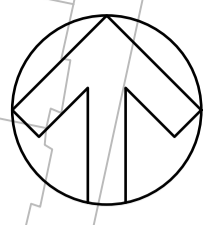
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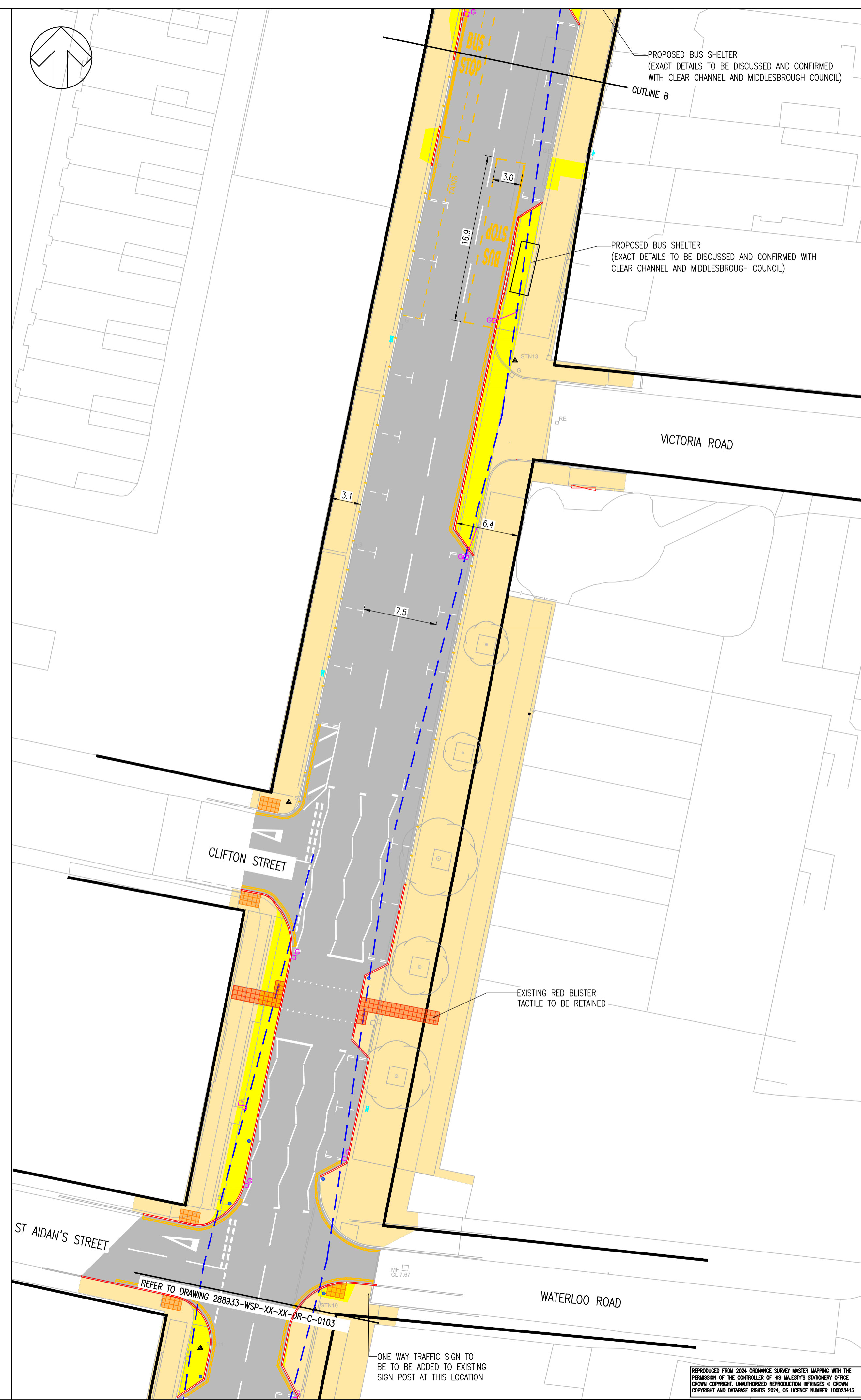
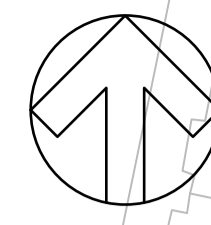
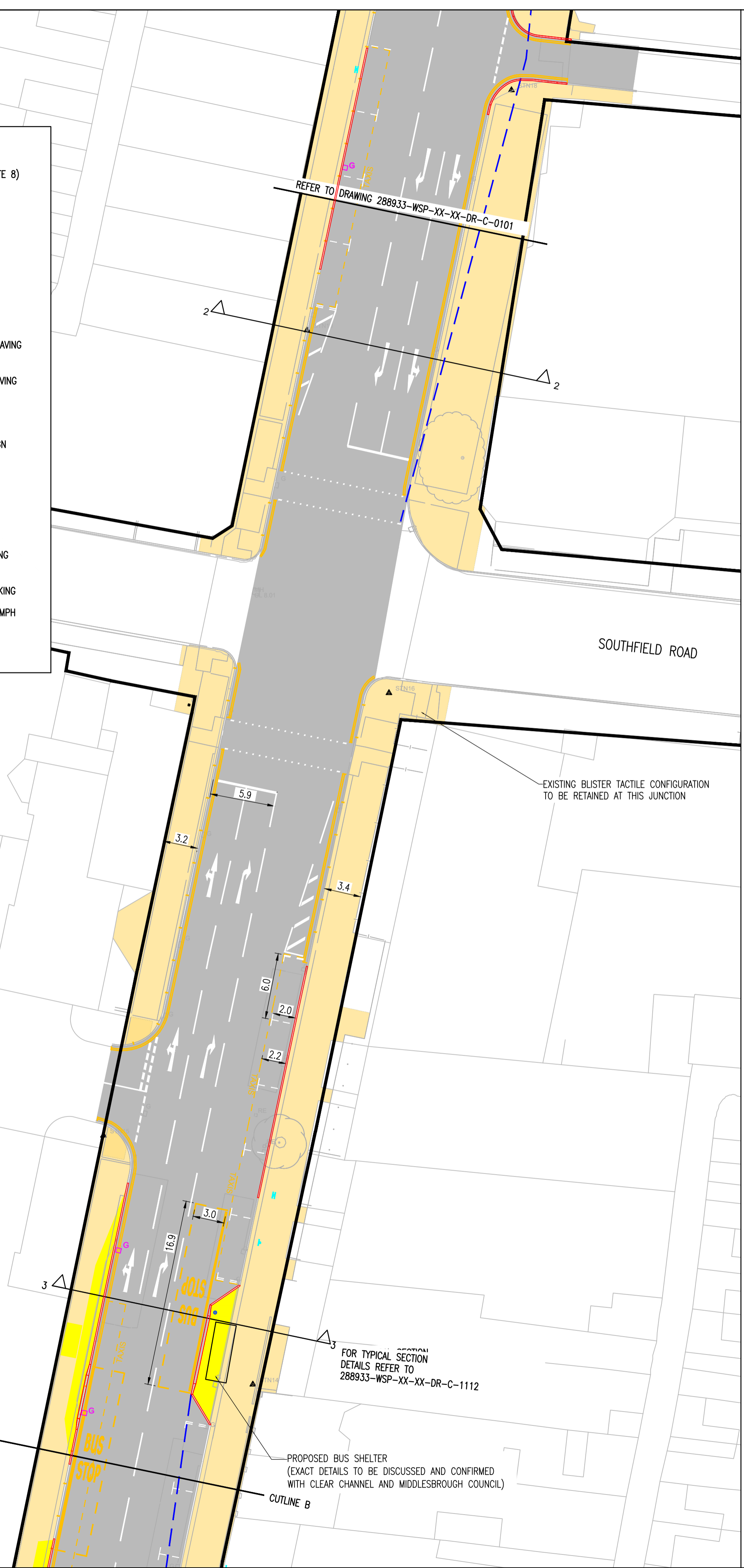
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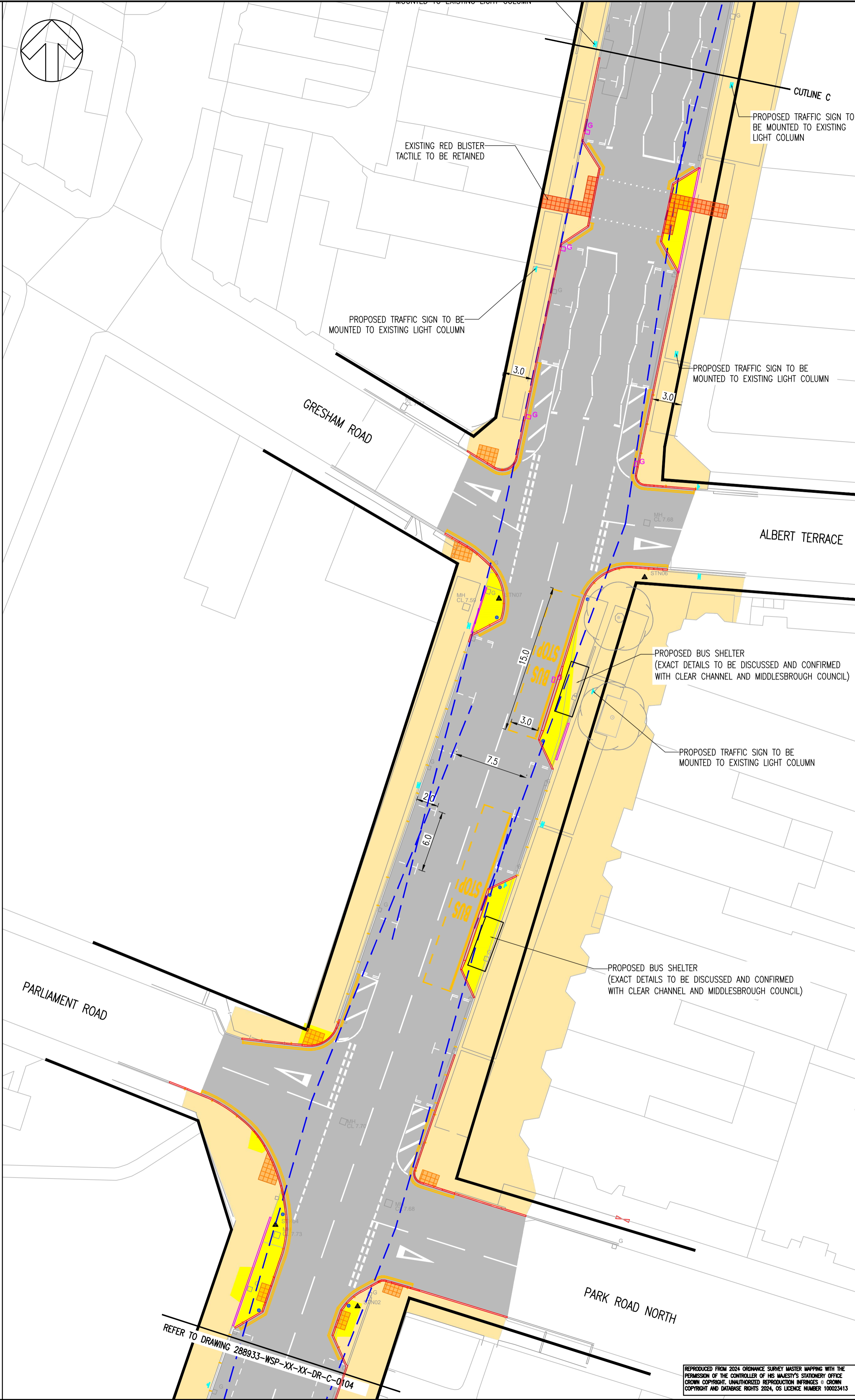
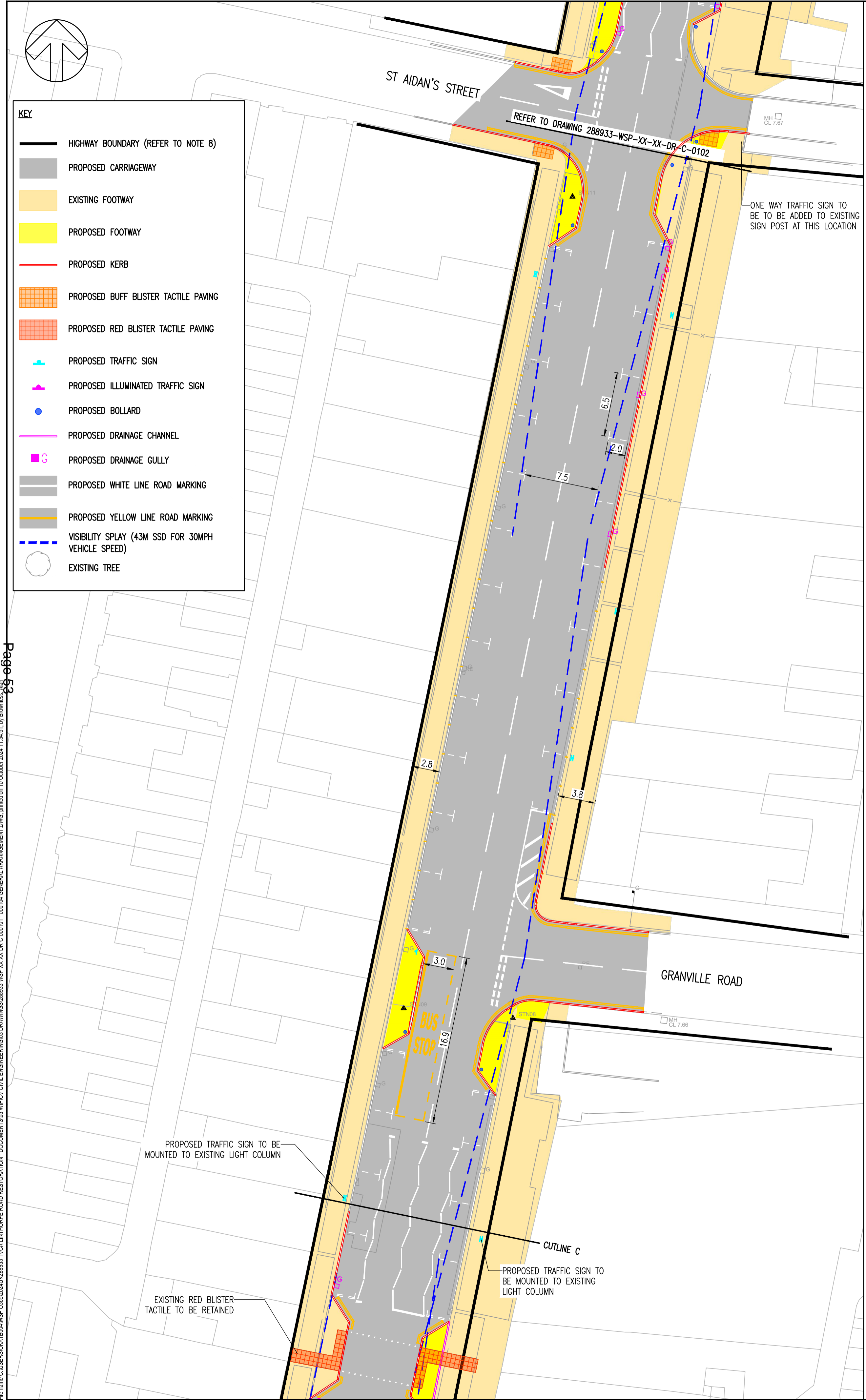


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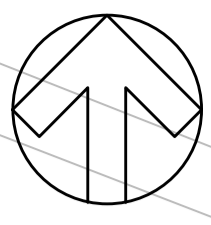
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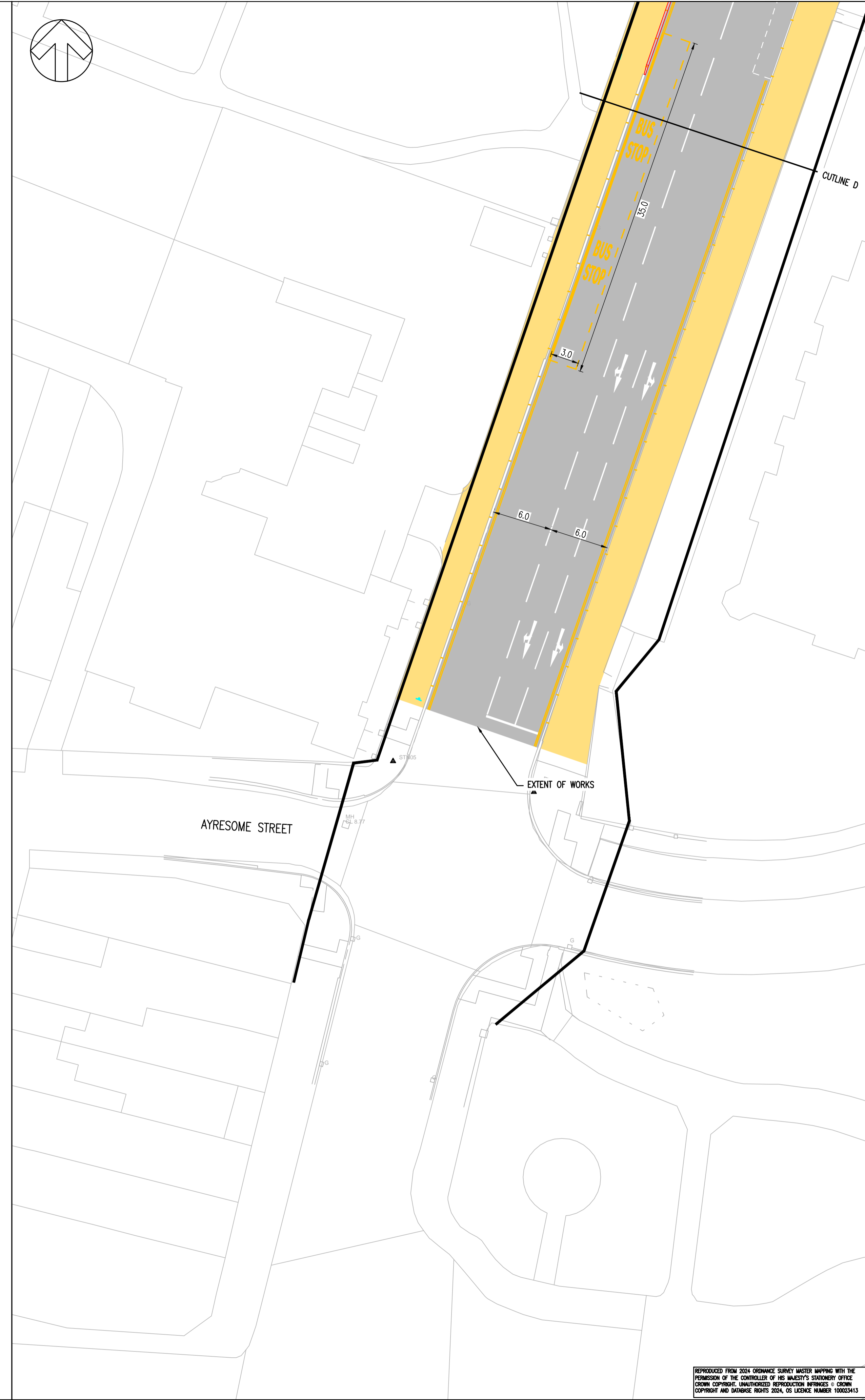
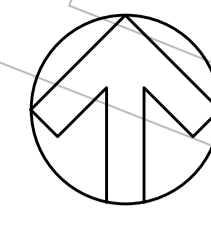
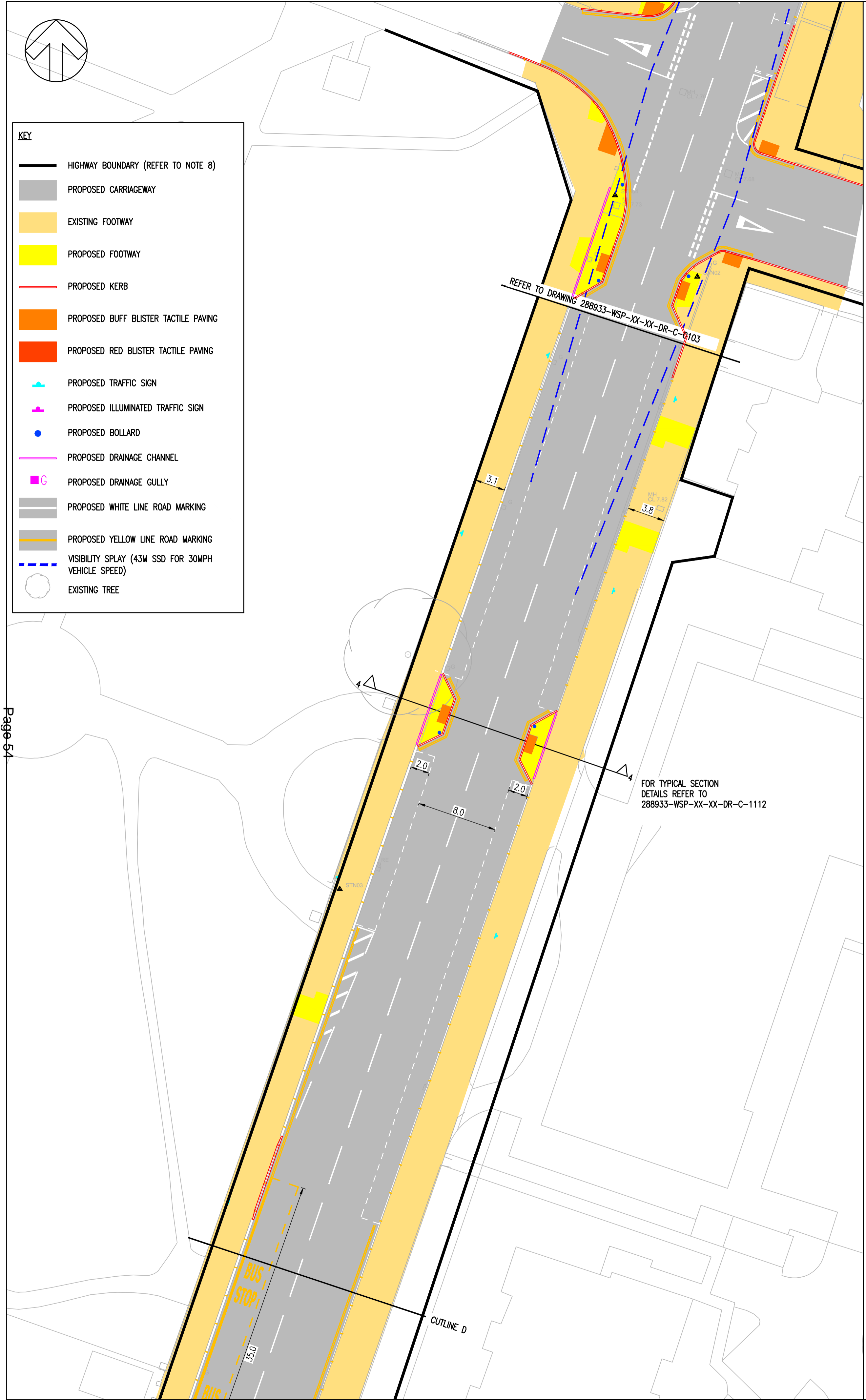
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  4. INFORMATION REGARDING THE LOCATION AND DEPTH OF EXISTING SERVICES CANNOT BE GUARANTEED BY THE STATUTORY UNDERTAKER AND SHOULD BE INVESTIGATED. THE CONTRACTOR SHALL ESTABLISH THE PRECISE LINE AND DEPTH OF ALL EXISTING UTILITIES PRIOR TO COMMENCING ANY EXCAVATION WORK.
  5. THE DESIGN IS BASED ON TOPOGRAPHICAL SURVEY REFERENCE ASS 2963 BY ADH SITE SURVEYS LIMITED RECEIVED FEBRUARY 2021.
  6. REFERENCE SHOULD BE MADE TO INDIVIDUAL DISCIPLINE DRAWINGS AND THE DESIGN RISK MANAGEMENT SCHEDULE FOR FURTHER HEALTH AND SAFETY INFORMATION – NOT ALL RISKS ARE IDENTIFIED IN THIS DRAWING.
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**HEALTH AND SAFETY SYMBOLS LEGEND**

	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION		INDICATES A RESIDUAL RISK FOR INFORMATION
	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		INDICATES A RESIDUAL RISK AS A WARNING
	INDICATES AN ENVIRONMENTAL HAZARD		

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PO4	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
PO3	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
PO1	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	10/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS: **S2 - FOR INFORMATION**

**wsp**

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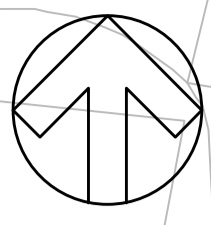
TEES VALLEY

SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

TITLE: **GENERAL ARRANGEMENT (SHEET 4 OF 4)**

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
DRAWING NO:	288933-WSP-XX-XX-DR-C-000104	DATE:	JULY 2024	REV:	P04

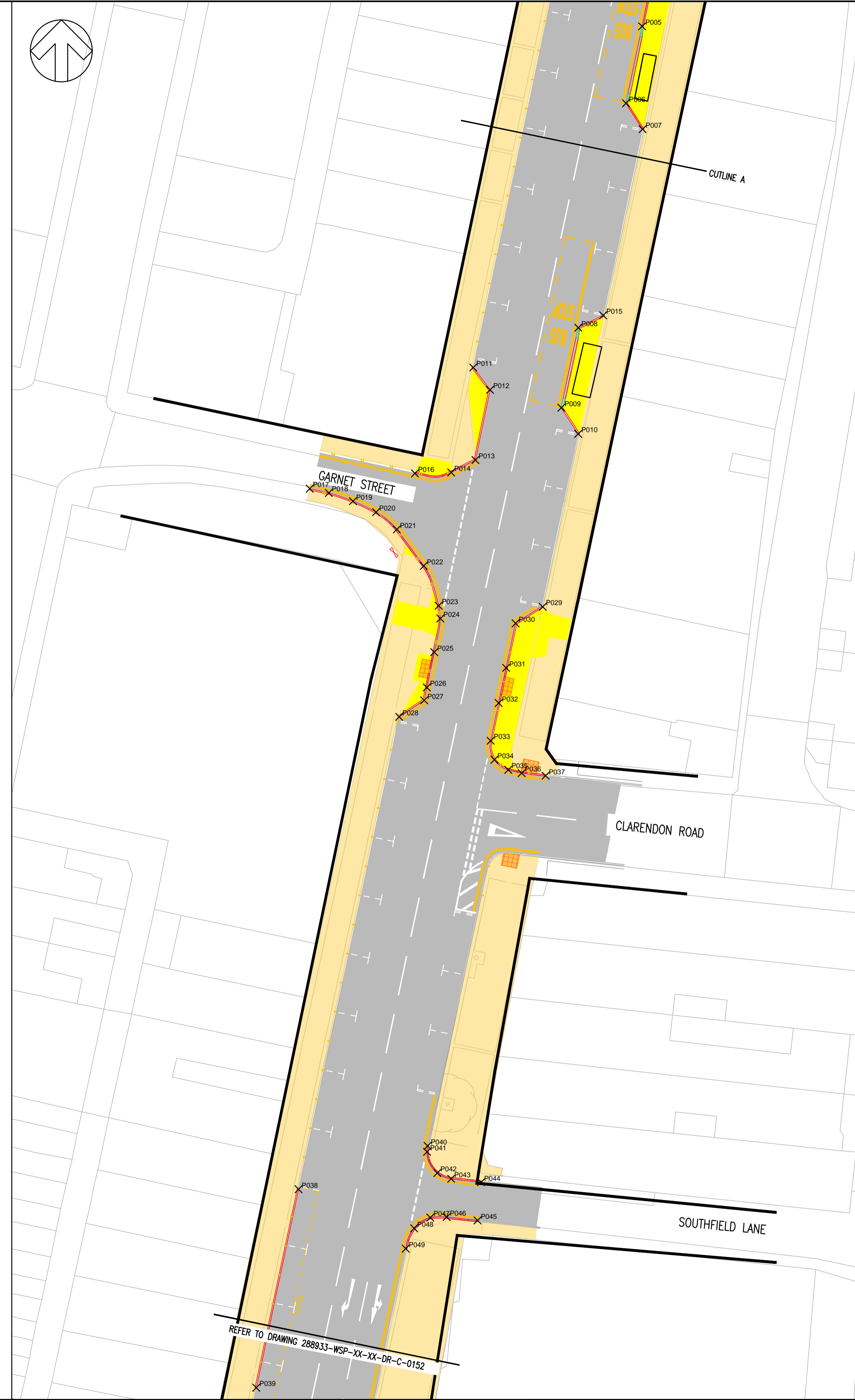
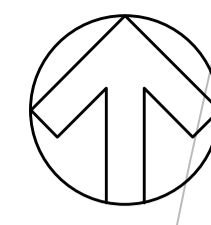
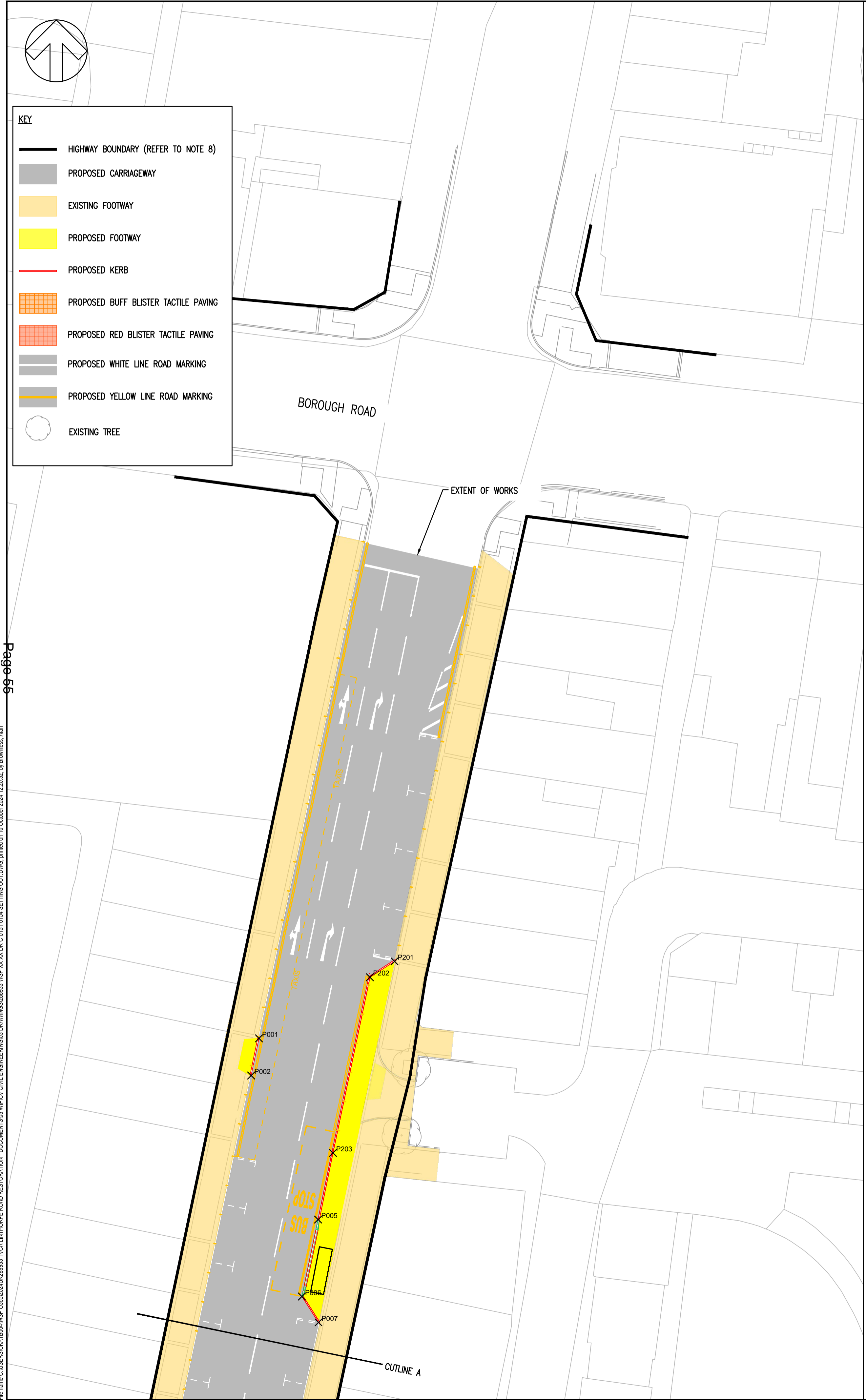
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**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
- EXISTING FOOTWAY
- PROPOSED FOOTWAY
- PROPOSED KERB
- PROPOSED BUFF BLISTER TACTILE PAVING
- PROPOSED RED BLISTER TACTILE PAVING
- PROPOSED WHITE LINE ROAD MARKING
- PROPOSED YELLOW LINE ROAD MARKING
- EXISTING TREE

Page 65  
File name: C:\USERS\WATSON\WSP\_03602024\288933\TVC\LINTHORPE ROAD RESTORATION - DOCUMENTS\01 MP\CV\01 CIVIL ENGINEERING\03 DRAWINGS\288933-WSP-XX-XX-DR-C-0154-SETTING OUT.DWG, printed on 10 October 2024 12:20:32, by: Boudieless, Alan



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	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		INDICATES A RESIDUAL RISK AS A WARNING
	INDICATES AN ENVIRONMENTAL HAZARD		

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PO2	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P01	12/09/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

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SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

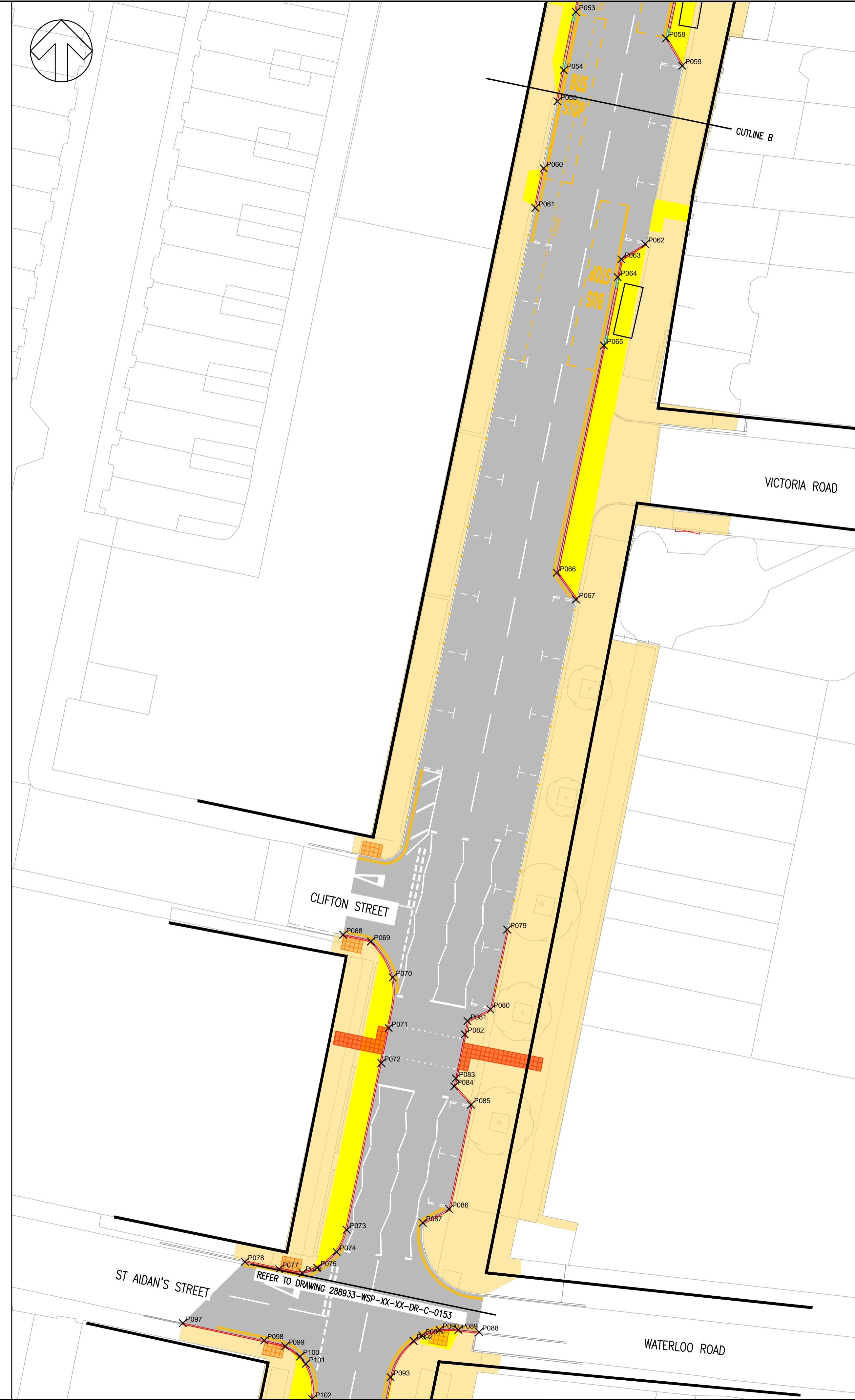
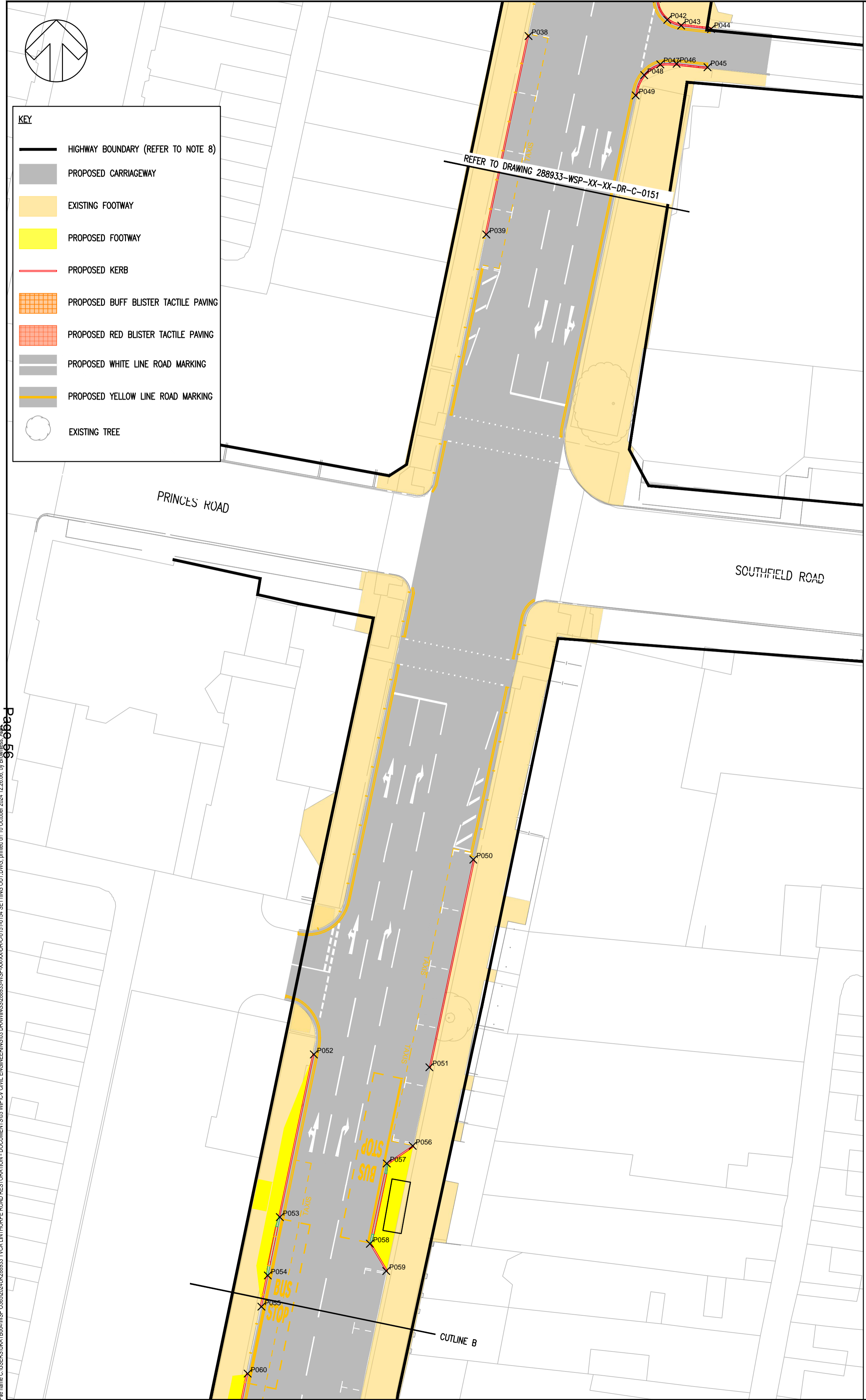
TITLE: **SETTING OUT (SHEET 1 OF 4)**

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
DATE:	JULY 2024				

DRAWING NO:	288933-WSP-XX-XX-DR-C-0151	REV:	P02
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HEALTH AND SAFETY SYMBOLS LEGEND

XXX	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION	XXX	INDICATES A RESIDUAL RISK FOR INFORMATION
XXX	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION	XXX	INDICATES A RESIDUAL RISK AS A WARNING
XXX	INDICATES AN ENVIRONMENTAL HAZARD		

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PO2	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P01	12/09/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

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**TEES VALLEY**

SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

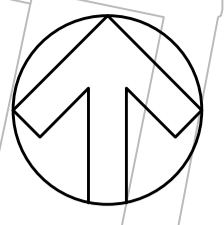
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DRAWING NO:	288933-WSP-XX-XX-DR-C-0152	DATE:	JULY 2024	REV:	P02

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Page 66  
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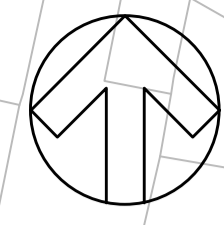
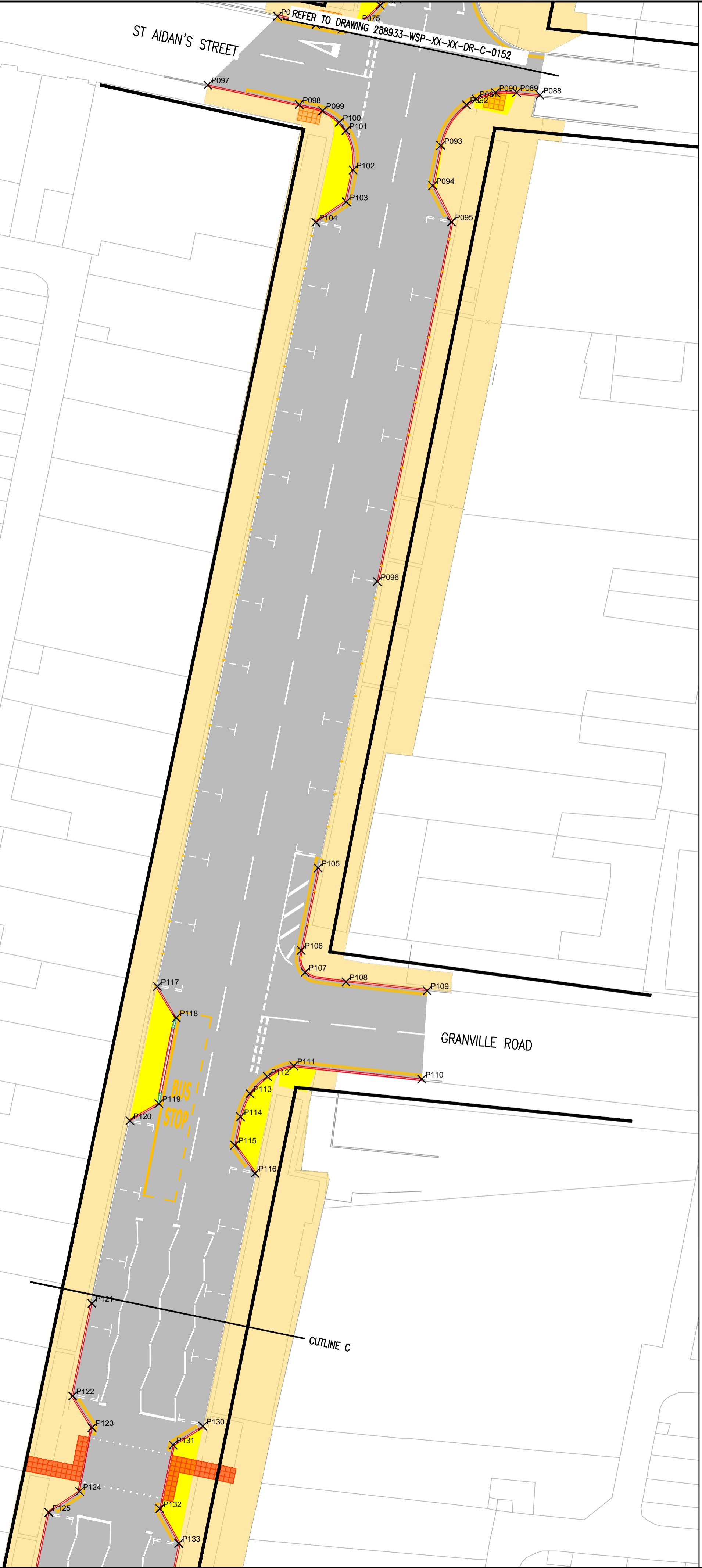




ST AIDAN'S STREET  
REFER TO DRAWING 288933-WSP-XX-XX-DR-C-0152

**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
- EXISTING FOOTWAY
- PROPOSED FOOTWAY
- PROPOSED KERB
- PROPOSED BUFF BLISTER TACTILE PAVING
- PROPOSED RED BLISTER TACTILE PAVING
- PROPOSED WHITE LINE ROAD MARKING
- PROPOSED YELLOW LINE ROAD MARKING
- EXISTING TREE



GRESHAM ROAD

ALBERT TERRACE



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PO2	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P01	12/09/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS: **S2 - FOR INFORMATION**

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wsp.com

CLIENT:

TEES VALLEY

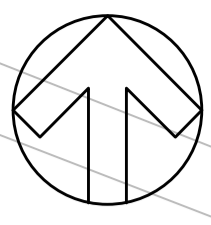
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TITLE: **SETTING OUT (SHEET 3 OF 4)**

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
		DATE:	JULY 2024		

DRAWING NO:	288933-WSP-XX-XX-DR-C-0153	REV:	P02
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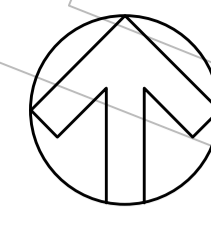
**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
- EXISTING FOOTWAY
- PROPOSED FOOTWAY
- PROPOSED KERB
- PROPOSED BUFF BLISTER TACTILE PAVING
- PROPOSED RED BLISTER TACTILE PAVING
- PROPOSED WHITE LINE ROAD MARKING
- PROPOSED YELLOW LINE ROAD MARKING
- EXISTING TREE

Page 68  
File name: C:\USERS\WATBOW\WSP\_03602024\288933\_TVC\LINTHORPE ROAD RESTORATION - DOCUMENTS\01\_MPC\01\_CIVIL\_ENGINEERING\03\_DRAWINGS\288933-WSP-XX-XX-DR-C-0153\_SETTING\_OUT.DWG, printed on 10 October 2024 12:38:04, by: Ben.Jeffries

REFER TO DRAWING 288933-WSP-XX-XX-DR-C-0153

CUTLINE D



AYRESOME STREET

EXTENT OF WORKS

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PO2	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P01	12/09/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

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CLIENT:

SITE/PROJECT: LINTHORPE ROAD RESTORATION

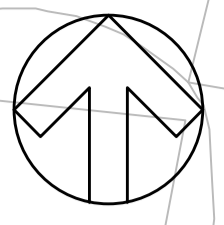
TITLE: SETTING OUT (SHEET 4 OF 4)

SCALE @ A1: 1:250	CHECKED: JS	APPROVED: PWW
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	DATE: JULY 2024	

DRAWING NO: 288933-WSP-XX-XX-DR-C-0154	REV: P02
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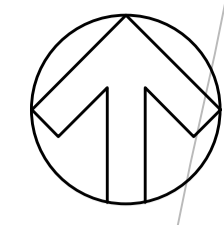


- KEY**
- HIGHWAY BOUNDARY (REFER TO NOTE 15)
  - KERB TO BE REMOVED TO TIP
  - CYCLE LANE SEPARATOR (ORCAS & WANDS) TO BE REMOVED TO STORE
  - TREE PLANTERS TO BE REMOVED TO STORE
  - CYCLE STAND TO BE REMOVED TO STORE
  - G EXISTING GULLY (REFER TO SERIES 500 DRAWINGS)
  - EXISTING DRAINAGE CHANNEL (REFER TO SERIES 500 DRAWINGS)
  - BOLLARD TO BE REMOVED TO TIP
  - ILLUMINATED TRAFFIC SIGN AND POST TO BE REMOVED TO TIP
  - NON ILLUMINATED TRAFFIC SIGN AND POST TO BE REMOVED TO TIP
  - MH EXISTING UTILITY CHAMBER (REFER TO SERIES 500 DRAWINGS)
  - ▨ PAVED FOOTWAY TO BE RE-LAID TO SUIT NEW LEVELS
  - ▨ ASPHALT CARRIAGEWAY/CYCLEWAY SURFACING TO BE REMOVED (FOR RESURFACING)
  - ▨ ASPHALT CARRIAGEWAY/CYCLEWAY TO BE REDUCED TO FORMATION LEVEL AND REMOVED TO TIP
  - ▨ PAVED FOOTWAY TO BE REDUCED TO FORMATION LEVEL AND REMOVED TO TIP
  - ▨ BUS STOP SHELTER TO BE REMOVED (BY OTHERS)

- ⚠ UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS
- ⚠ CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE
- ⚠ POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS
- ⚠ EXCAVATION IN AND AROUND BURIED SERVICES
- ⚠ POTENTIAL FOR CONTAMINATED TAR IN EXISTING ROAD PAVEMENT
- ⚠ UNEXPLODED ORDNANCE MAY BE PRESENT
- ⚠ HIGH PEDESTRIAN NUMBERS IN TOWN CENTRE

● SITE CLEARANCE MAY INCLUDE CONCRETE BREAKOUT WORKS ON EXISTING HIGHWAY

**NOTE:**  
ALL WORKS ON EXISTING CARRIAGEWAY BUILDOUTS MAY INCLUDE REINFORCED CONCRETE BREAKOUT WORKS FROM APPROXIMATELY 100mm FROM SURFACE LEVEL TO SUBBASE / FORMATION LEVEL



**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

HEALTH AND SAFETY SYMBOLS LEGEND

● XXX	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION	ⓘ XXX	INDICATES A RESIDUAL RISK FOR INFORMATION
⊘ XXX	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION	⚠ XXX	INDICATES A RESIDUAL RISK AS A WARNING
⚠ XXX	INDICATES AN ENVIRONMENTAL HAZARD		

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- NOTES**
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-288933-WSP-XX-XX-DR-C-0101-0104  
-288933-WSP-XX-XX-DR-C-1101-1104  
-288933-WSP-XX-XX-DR-C-0501-0504
  2. ALL DIMENSIONS ARE IN METRES UNLESS STATED OTHERWISE.
  3. THE ORIGINAL OF THIS DRAWING WAS PRODUCED IN COLOUR - A MONOCHROME COPY CANNOT BE RELIED ON.
  4. INFORMATION REGARDING THE LOCATION AND DEPTH OF EXISTING SERVICES CANNOT BE GUARANTEED BY THE STATUTORY UNDERTAKER AND SHOULD BE INVESTIGATED. THE CONTRACTOR SHALL ESTABLISH THE PRECISE LINE AND DEPTH OF ALL EXISTING UTILITIES PRIOR TO COMMENCING ANY EXCAVATION WORK.
  5. THE DESIGN IS BASED ON TOPOGRAPHICAL SURVEY REFERENCE ASS 2963 BY ADH SITE SURVEYS LIMITED RECEIVED FEBRUARY 2021.
  6. CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.
  7. ALL ITEMS IN THE KEY ARE EXISTING UNLESS NOTED OTHERWISE.
  8. ALL ITEMS TO BE "REMOVED TO TIP" ARE TO BE MOVED TO THE CONTRACTORS LICENSED TIP OFF SITE.
  9. ALL ITEMS TO BE "REMOVED TO STORE" ARE TO BE STORED TO BE BY THE CONTRACTOR EITHER ON OR OFF SITE UNTIL NEEDED.
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  11. ALL ITEMS NOT HIGHLIGHTED ARE TO BE RETAINED UNLESS NOTED OTHERWISE.
  12. FEED TO ALL ELECTRICAL ITEMS IS TO BE DISCONNECTED PRIOR TO REMOVAL.
  13. FOR LOCATION OF PAVING AND KERB ITEMS TO BE REUSED, REFER TO LANDSCAPE ARCHITECT INFORMATION AND 1100 SERIES DRAWING AND SPECIFICATIONS.
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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	15/07/24	NR	DRAFT ISSUE	JS	PWW

**S2 - FOR INFORMATION**

**wsp**

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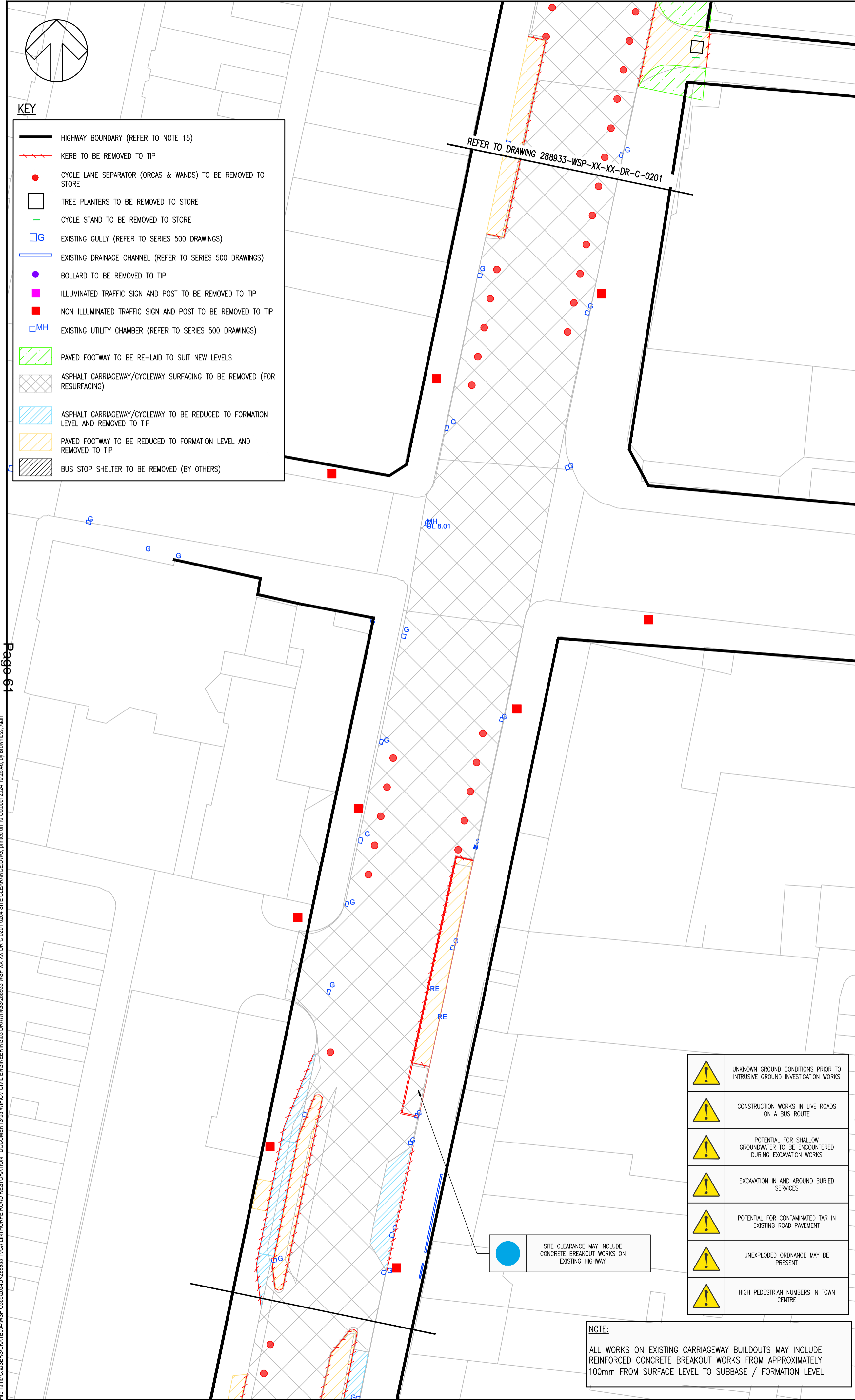
**TEES VALLEY**

SITE PROJECT:  
**LINTHORPE ROAD RESTORATION**

TITLE:  
**SITE CLEARANCE (SHEET 1 OF 4)**

SCALE @ A1:	CHECKED:	APPROVED:	
1:250	JS	PWW	
PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024
DRAWING NO:	REV:		
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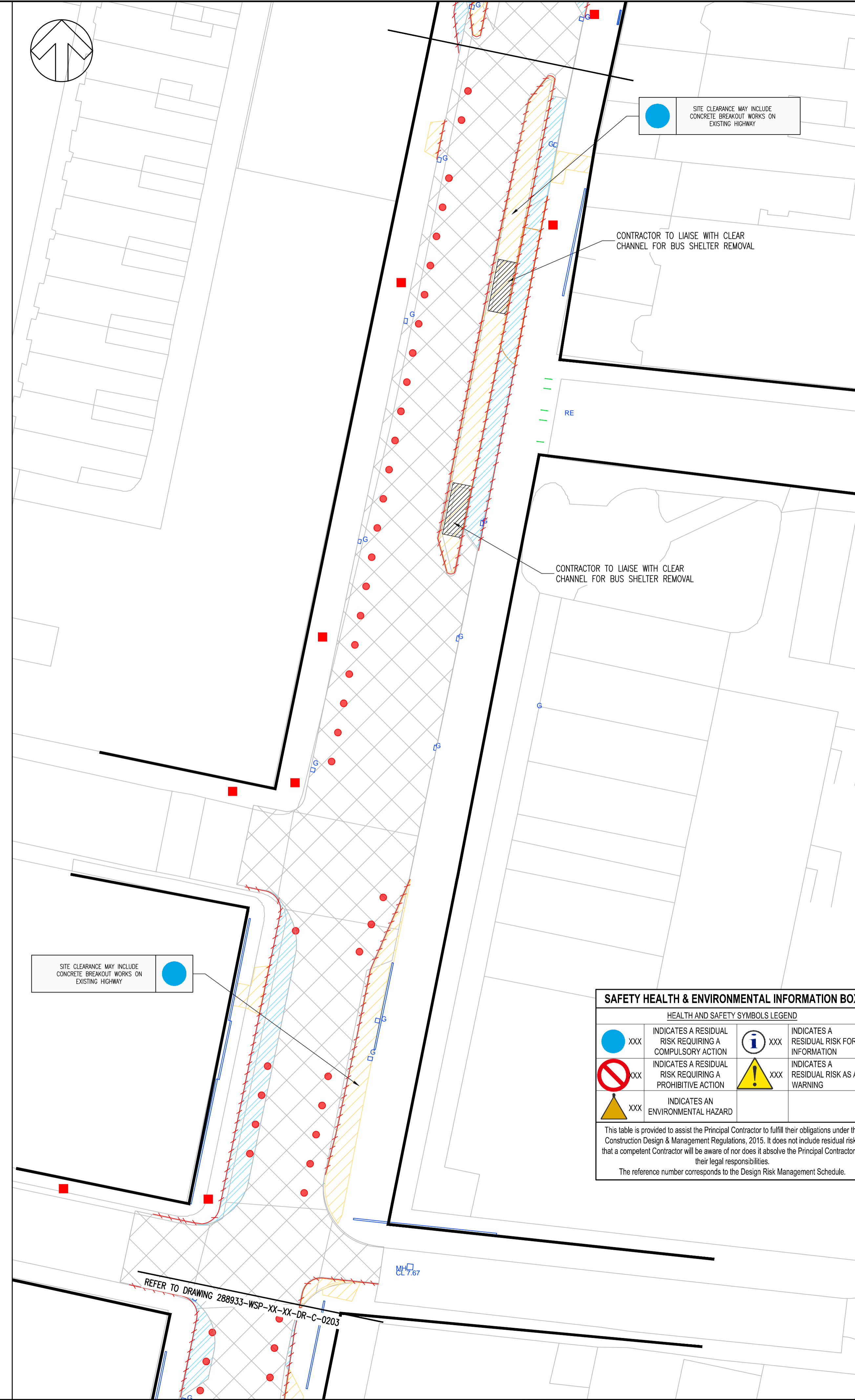
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- KEY**
- HIGHWAY BOUNDARY (REFER TO NOTE 15)
  - KERB TO BE REMOVED TO TIP
  - CYCLE LANE SEPARATOR (ORCAS & WANDS) TO BE REMOVED TO STORE
  - TREE PLANTERS TO BE REMOVED TO STORE
  - CYCLE STAND TO BE REMOVED TO STORE
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  - BUS STOP SHELTER TO BE REMOVED (BY OTHERS)

- UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS
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- POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS
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**NOTE:**  
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**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

HEALTH AND SAFETY SYMBOLS LEGEND

INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION	INDICATES A RESIDUAL RISK FOR INFORMATION
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PO4	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
PO3	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
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PO1	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	15/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS: S2 - FOR INFORMATION

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wsp.com

CLIENT: **TEES VALLEY**

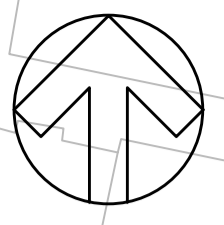
SITE PROJECT: LINTHORPE ROAD RESTORATION

TITLE: SITE CLEARANCE (SHEET 2 OF 4)

SCALE @ A1: 1:250	CHECKED: JS	APPROVED: PWW
PROJECT NO: 2024UK293315	DESIGNED: NR	DRAWN: NR
DRAWING NO: 288933-WSP-XX-XX-DR-C-0202	DATE: JULY 2024	REV: P04

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Page 61  
File name: C:\Users\m1atbow\OneDrive\Desktop\288933-TVC\LINTHORPE ROAD RESTORATION - DOCUMENTS\0 MP\01 CIVIL ENGINEERING\03 DRAWINGS\288933-WSP-XX-XX-DR-C-0201-0204 SITE CLEARANCE.DWG, printed on 10 October 2024, 10:25:48, by Bourdass, Alan



- KEY**
- HIGHWAY BOUNDARY (REFER TO NOTE 15)
  - KERB TO BE REMOVED TO TIP
  - CYCLE LANE SEPARATOR (ORCAS & WANDS) TO BE REMOVED TO STORE
  - TREE PLANTERS TO BE REMOVED TO STORE
  - CYCLE STAND TO BE REMOVED TO STORE
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SITE CLEARANCE MAY INCLUDE CONCRETE BREAKOUT WORKS ON EXISTING HIGHWAY

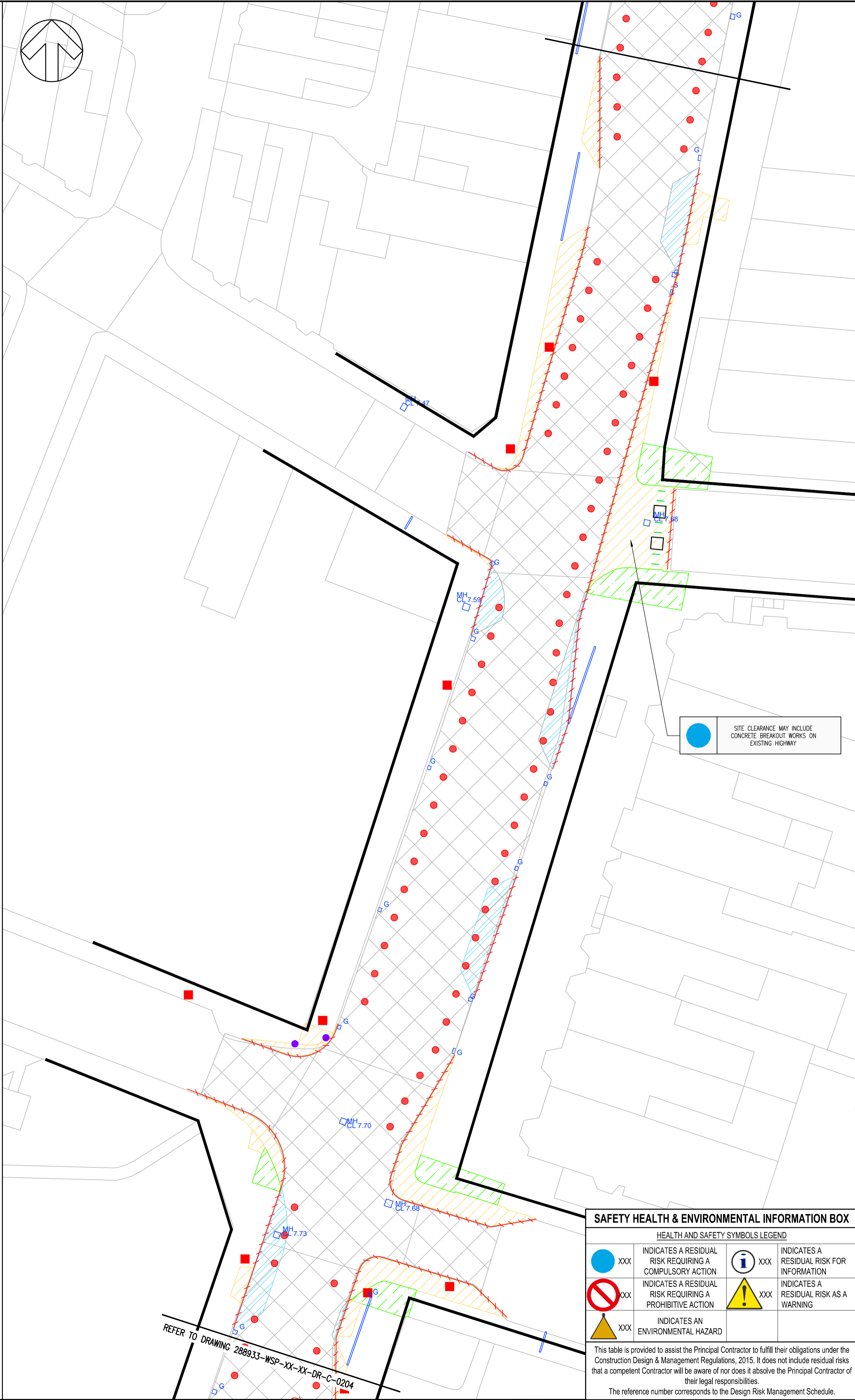
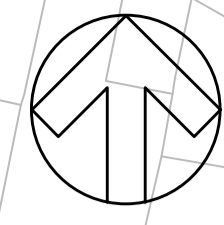
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Page 3 of 3  
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SITE CLEARANCE MAY INCLUDE CONCRETE BREAKOUT WORKS ON EXISTING HIGHWAY

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REFER TO DRAWING 288933-WSP-XX-XX-DR-C-0204

SITE CLEARANCE MAY INCLUDE CONCRETE BREAKOUT WORKS ON EXISTING HIGHWAY

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-288933-WSP-XX-XX-DR-C-0101-0104  
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PO4	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
PO3	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
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PO1	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	15/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

**S2 - FOR INFORMATION**

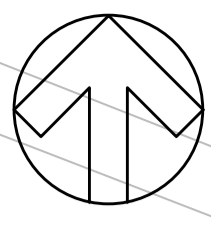
Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
wsp.com

SITE PROJECT:  
**LINTHORPE ROAD RESTORATION**

TITLE:  
**SITE CLEARANCE (SHEET 3 OF 4)**

SCALE @ A1: 1:250	CHECKED: JS	APPROVED: PWW
PROJECT NO: 2024UK293315	DESIGNED: NR	DRAWN: NR
DRAWING NO: 288933-WSP-XX-XX-DR-C-0203	DATE: JULY 2024	REV: P04

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- KEY**
- HIGHWAY BOUNDARY (REFER TO NOTE 15)
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  - CYCLE LANE SEPARATOR (ORCAS & WANDS) TO BE REMOVED TO STORE
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Page 63

File name: C:\Users\A17801\OneDrive\Documents\WSP\Civil Engineering\GIS Drawings\288933\WSP-XX-XX-DR-C-0204 SITE CLEARANCE.DWG, printed on 10 October 2024 10:27 AM by: Broudas, Alan

SITE CLEARANCE MAY INCLUDE CONCRETE BREAKOUT WORKS ON EXISTING HIGHWAY

CONTRACTOR TO LIAISE WITH CLEAR CHANNEL FOR BUS SHELTER REMOVAL

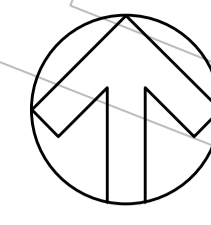
REFER TO DRAWING 288933-WSP-XX-XX-DR-C-0203

CONTRACTOR TO LIAISE WITH CLEAR CHANNEL FOR BUS SHELTER REMOVAL

CONTRACTOR TO LIAISE WITH CLEAR CHANNEL FOR BUS SHELTER REMOVAL

- |  |   |
|--|---|
|  | UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS     |
|  | CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE                             |
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-288933-WSP-XX-XX-DR-C-0101-0104  
-288933-WSP-XX-XX-DR-C-1101-1104  
-288933-WSP-XX-XX-DR-C-0501-0504
2. ALL DIMENSIONS ARE IN METRES UNLESS STATED OTHERWISE.
3. THE ORIGINAL OF THIS DRAWING WAS PRODUCED IN COLOUR - A MONOCHROME COPY CANNOT BE RELIED ON.
4. INFORMATION REGARDING THE LOCATION AND DEPTH OF EXISTING SERVICES CANNOT BE GUARANTEED BY THE STATUTORY UNDERTAKER AND SHOULD BE INVESTIGATED. THE CONTRACTOR SHALL ESTABLISH THE PRECISE LINE AND DEPTH OF ALL EXISTING UTILITIES PRIOR TO COMMENCING ANY EXCAVATION WORK.
5. THE DESIGN IS BASED ON TOPOGRAPHICAL SURVEY REFERENCE ASS 2963 BY ADH SITE SURVEYS LIMITED RECEIVED FEBRUARY 2021.
6. CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.
7. ALL ITEMS IN THE KEY ARE EXISTING UNLESS NOTED OTHERWISE.
8. ALL ITEMS TO BE "REMOVED TO TIP" ARE TO BE MOVED TO THE CONTRACTORS LICENSED TIP OFF SITE.
9. ALL ITEMS TO BE "REMOVED TO STORE" ARE TO BE STORED TO BE BY THE CONTRACTOR EITHER ON OR OFF SITE UNTIL NEEDED.
10. EXISTING DRAINAGE APPARATUS TO BE REMOVED AS SHOWN AND BACKFILLED AS PER SPECIFICATION.
11. ALL ITEMS NOT HIGHLIGHTED ARE TO BE RETAINED UNLESS NOTED OTHERWISE.
12. FEED TO ALL ELECTRICAL ITEMS IS TO BE DISCONNECTED PRIOR TO REMOVAL.
13. FOR LOCATION OF PAVING AND KERB ITEMS TO BE REUSED, REFER TO LANDSCAPE ARCHITECT INFORMATION AND 1100 SERIES DRAWING AND SPECIFICATIONS.
14. NO EXISTING TRAFFIC SIGN OR LIGHTING COLUMN SHALL BE SWITCHED OFF, DISMANTLED OR REMOVED WITHOUT THE PRIOR APPROVAL OF MIDDLESBROUGH COUNCIL.
15. THIS DRAWING IS BASED IN A WHOLE OR IN PART ON INFORMATION AND/OR DATA APPROVED BY A THIRD PARTY INCLUDING MIDDLESBROUGH COUNCIL AND AS SUCH IN CONTINGENT UPON THE ACCURACY AND COMPLETENESS OF THAT INFORMATION AND/OR DATA. WSP UK LIMITED SHALL NOT BE LIABLE IN RELATION TO ANY INACCURACY PRESENTED WITHIN THE DRAWING AND/OR IN RELATION TO ANY DISCREPANCY OR AMBIGUITY WITH ANY OTHER PROJECT DOCUMENTS SHOULD ANY DATA AND OR INFORMATION UPON WHICH RELIANCE HAS BEEN BASED BE INCORRECT OR OUT OF DATE OR HAVE BEEN CONCEALED, WITHHELD OR BE INCOMPLETE, MISREPRESENTED OR OTHERWISE NOT FULLY DISCLOSED TO WSP UK LIMITED.

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PO4	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
PO3	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
PO1	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	15/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS: **S2 - FOR INFORMATION**

**wsp**

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wsp.com

TEES VALLEY

SITE PROJECT: **LINTHORPE ROAD RESTORATION**

TITLE: **SITE CLEARANCE (SHEET 4 OF 4)**

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DATE:	JULY 2024
DRAWING NO:	288933-WSP-XX-XX-DR-C-0204			REV:	P04

**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

HEALTH AND SAFETY SYMBOLS LEGEND

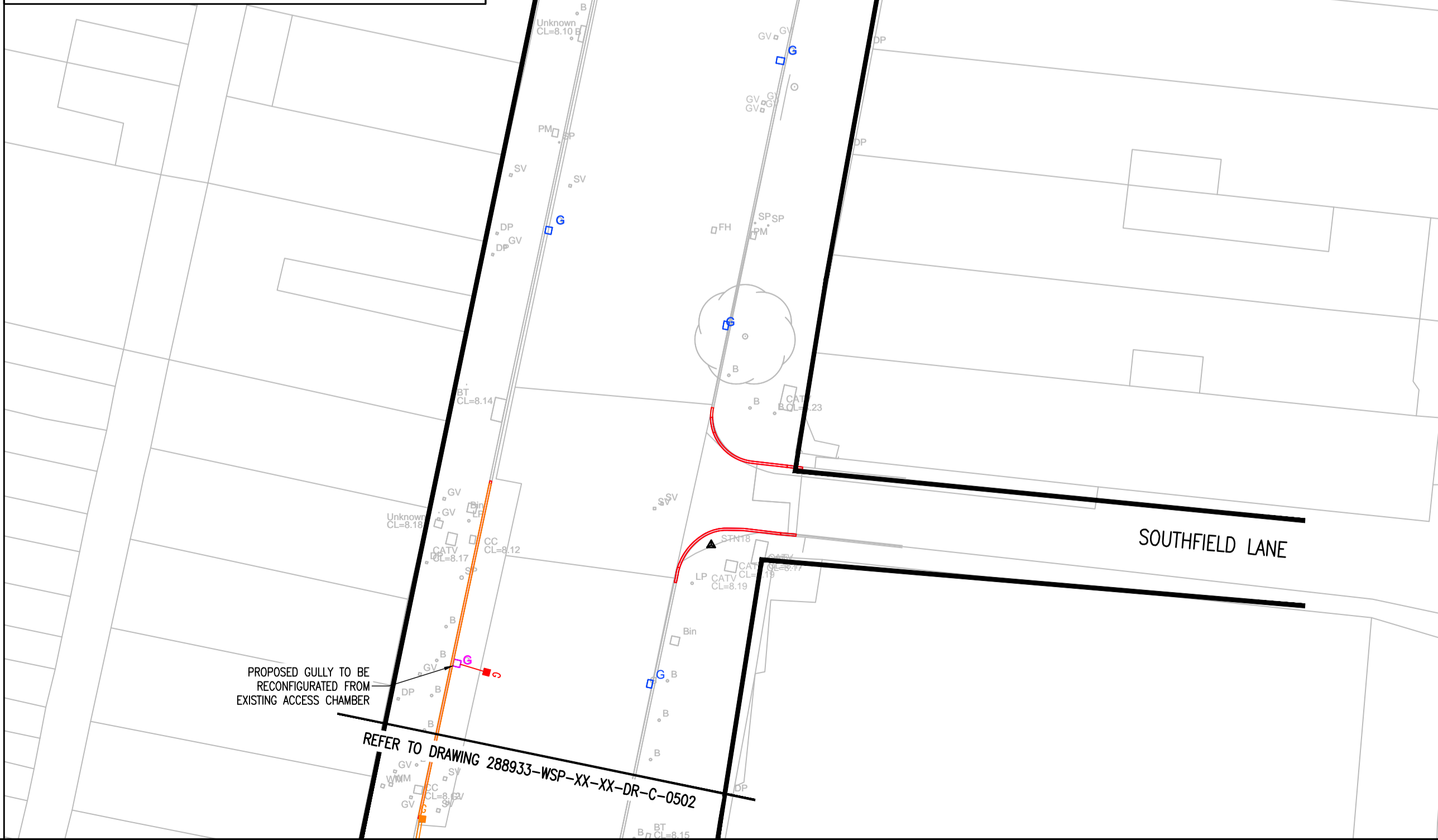
	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION		INDICATES A RESIDUAL RISK FOR INFORMATION
	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		INDICATES A RESIDUAL RISK AS A WARNING
	INDICATES AN ENVIRONMENTAL HAZARD		

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The reference number corresponds to the Design Risk Management Schedule.

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 -288933-WSP-XX-XX-DR-C-0101-0104  
 -288933-WSP-XX-XX-DR-C-1101-1104  
 -288933-WSP-XX-XX-DR-C-0511  
 -288933-WSP-XX-XX-DR-C-0201-0204
  - ALL DIMENSIONS ARE IN METRES UNLESS NOTED OTHERWISE.
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  - THE CONTRACTOR SHALL CONDUCT THE WORKS WITH DUE REGARD TO ANY ECOLOGICAL AND ENVIRONMENTAL REQUIREMENTS OF THE SCHEME. THE CONTRACTOR SHALL TAKE SUCH STEPS TO SAFEGUARD AGAINST CONTAMINATION OF LOCAL WATERCOURSES.
  - UPON COMPLETION OF THE WORKS, THE CONTRACTOR SHALL ENSURE THAT ALL DRAINAGE APPARATUS IS JETTED AND FREE FROM OBSTRUCTIONS AND SUBSEQUENT SUBJECT TO CCTV SURVEY AND TESTING IN ACCORDANCE WITH THE DRAINAGE SPECIFICATION.
  - GRATINGS OF GULLIES LOCATED IN THE CYCLEWAY ARE TO BE CYCLE FRIENDLY. EXISTING GULLY GRATINGS ARE TO BE ASSESSED FOR THE SUITABILITY AND REPLACED WHERE APPROPRIATE
  - NEW DRAINAGE CHANNELS ARE TO BE ACO PARK DRAIN UNIT REFERENCE PD100C 25.1 (SUBJECT TO CONFIRMATION OF CONNECTING CHANNEL SIZES). FOR CONSTRUCTION DETAILS REFER TO WSP DRAWING 288933-WSP-XX-XX-DR-C-0511.
  - WHERE EXISTING GULLY OUTLETS TO BE KEPT LIVE AND GRATING TO BE REPLACED WITH ACCESS COVER, THEY SHOULD BE ADJUSTED TO FINISH LEVEL AND MOVED IF FEASIBLE TO AVOID CLASH WITH KERBLINE.
  - WHERE GULLIES ARE TO BE REPLACED WITH SHALLOW INSPECTION CHAMBERS, THEY ARE TO BE LOCATED OUTSIDE THE CARRIAGEWAY WHERE POSSIBLE AND THE EXISTING GULLY CONNECTION IS TO BE RE-USED.
  - WHERE SHALLOW GULLIES ARE REQUIRED DUE TO EXISTING SHALLOW CONNECTION DEPTHS OR UTILITY CONSTRAINTS, WREKIN GULLY CHUTE CONNECTOR (OR SIMILAR APPROVED) IS TO BE USED.
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  - ALL PROPOSED BELOW GROUND DRAINAGE PIPELINES/GULLY CONNECTIONS TO BE 150MM DIAMETER UNLESS NOTED OTHERWISE.
  - TEMPORARY WORKS DEIGN ASSOCIATED WITH THE CONSTRUCTION OF THE WORKS SHALL BE THE RESPONSIBILITY OF THE CONTRACTOR.
  - ALL GULLIES IN FOOTWAYS ARE TO INCLUDE PEDESTRIAN FRIENDLY GULLY GRATINGS TO REDUCE TRIP HAZARDS



**DO NOT SCALE**

**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 13)
- PROPOSED KERB
- G PROPOSED GULLY
- PROPOSED GULLY CONNECTION
- G EXISTING GULLY TO BE RETAINED
- G EXISTING GULLY TO BE REMOVED
- EXISTING GULLY CONNECTION TO BE REMOVED
- G EXISTING DRAINAGE CONNECTION CHAMBER TO BE RETAINED
- PROPOSED DRAINAGE KERB
- PROPOSED DRAINAGE CHANNEL
- EXISTING DRAINAGE CHANNEL TO BE RETAINED
- EXISTING DRAINAGE CHANNEL TO BE REMOVED
- G EXISTING DRAINAGE MANHOLE CHAMBER
- G EXISTING GULLY TO BE ADJUSTED
- G EXISTING DRAINAGE CONNECTION CHAMBER TO BE ADJUSTED

**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

HEALTH AND SAFETY SYMBOLS LEGEND

XXX	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION	XXX	INDICATES A RESIDUAL RISK FOR INFORMATION
XXX	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION	XXX	INDICATES A RESIDUAL RISK AS A WARNING
XXX	INDICATES AN ENVIRONMENTAL HAZARD		

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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	16/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS: **S2 - FOR INFORMATION**

**wsp**

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 wsp.com

CLIENT: **TEES VALLEY**

SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

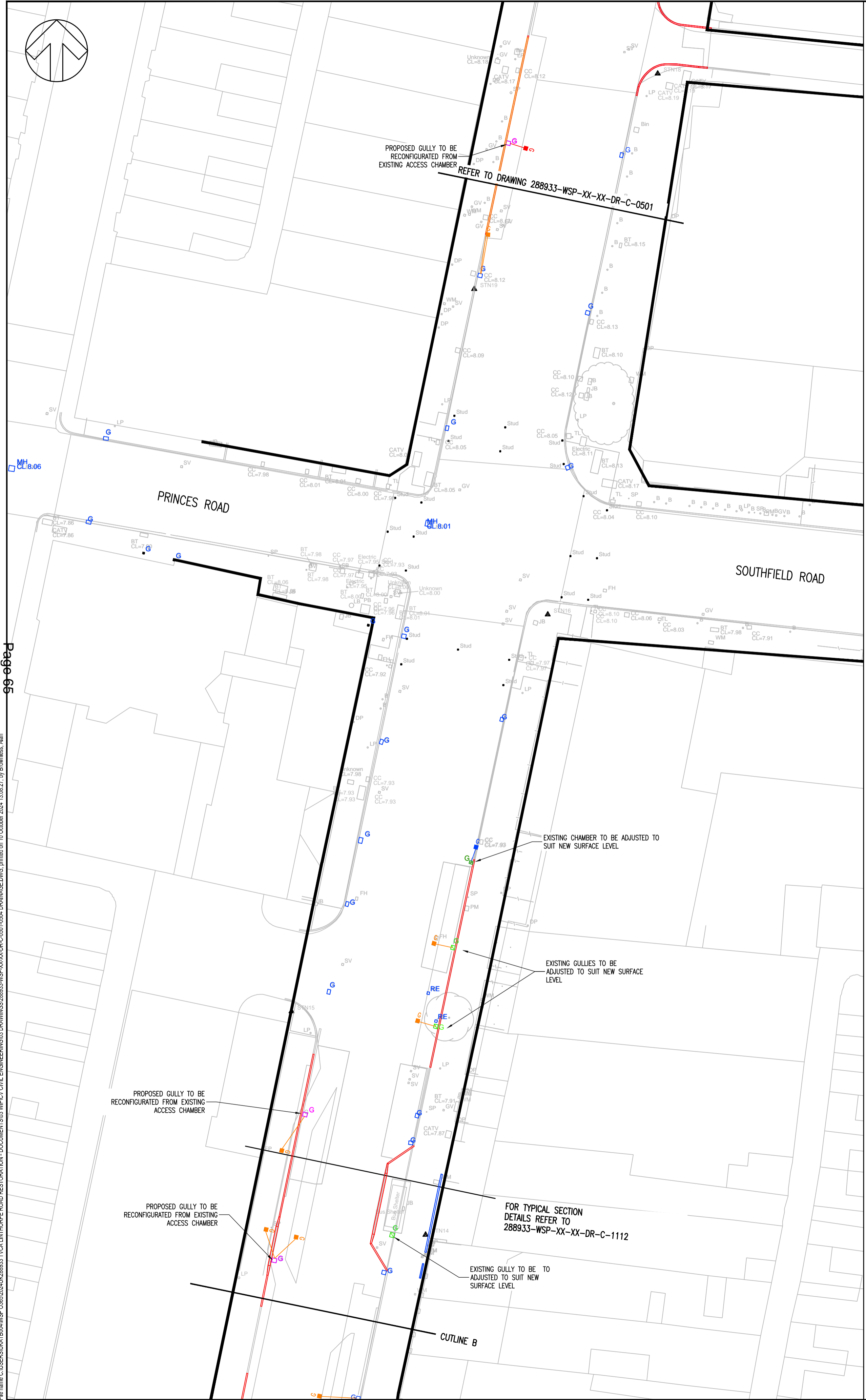
TITLE: **BELOW GROUND DRAINAGE LAYOUT (SHEET 1 OF 4)**

SCALE @ A1: 1:250	CHECKED: JS	APPROVED: PWW
PROJECT NO: 2024UK293315	DESIGNED: NR	DRAWN: NR
	DATE: JULY 2024	

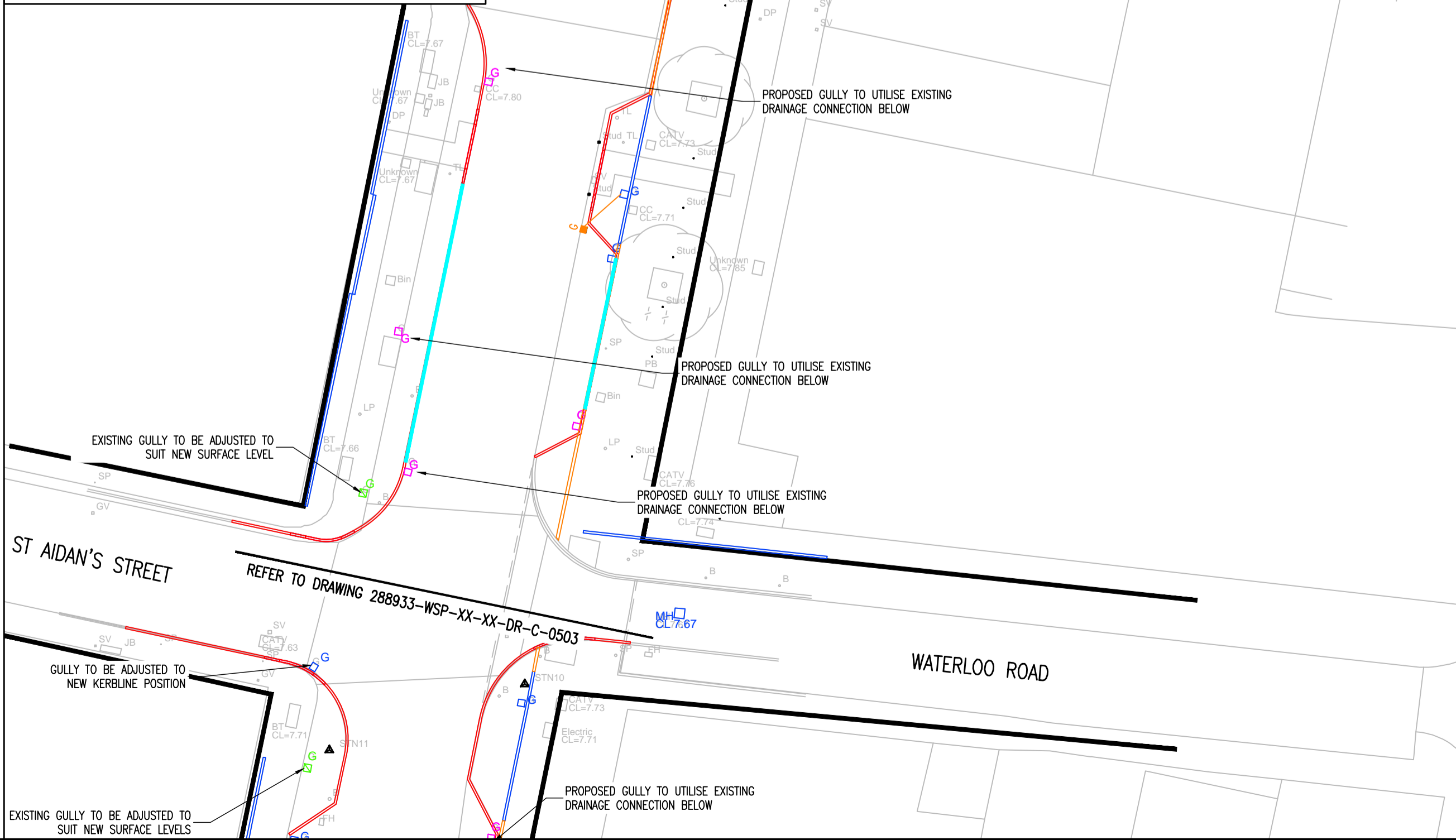
DRAWING NO: **288933-WSP-XX-XX-DR-C-0501** REV: **P04**

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 -288933-WSP-XX-XX-DR-C-0101-0104  
 -288933-WSP-XX-XX-DR-C-1101-1104  
 -288933-WSP-XX-XX-DR-C-0511  
 -288933-WSP-XX-XX-DR-C-0201-0204
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  - ALL PROPOSED BELOW GROUND DRAINAGE PIPELINES/GULLY CONNECTIONS TO BE 150MM DIAMETER UNLESS NOTED OTHERWISE.
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**DO NOT SCALE**

**KEY**

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- PROPOSED KERB
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- PROPOSED GULLY CONNECTION
- G EXISTING GULLY TO BE RETAINED
- G EXISTING GULLY TO BE REMOVED
- EXISTING GULLY CONNECTION TO BE REMOVED
- G EXISTING DRAINAGE CONNECTION CHAMBER TO BE RETAINED
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- PROPOSED DRAINAGE CHANNEL
- EXISTING DRAINAGE CHANNEL TO BE RETAINED
- EXISTING DRAINAGE CHANNEL TO BE REMOVED
- G EXISTING DRAINAGE MANHOLE CHAMBER
- G EXISTING GULLY TO BE ADJUSTED
- G EXISTING DRAINAGE CONNECTION CHAMBER TO BE ADJUSTED

**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

HEALTH AND SAFETY SYMBOLS LEGEND

XXX	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION	XXX	INDICATES A RESIDUAL RISK FOR INFORMATION
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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	16/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS: **S2 - FOR INFORMATION**

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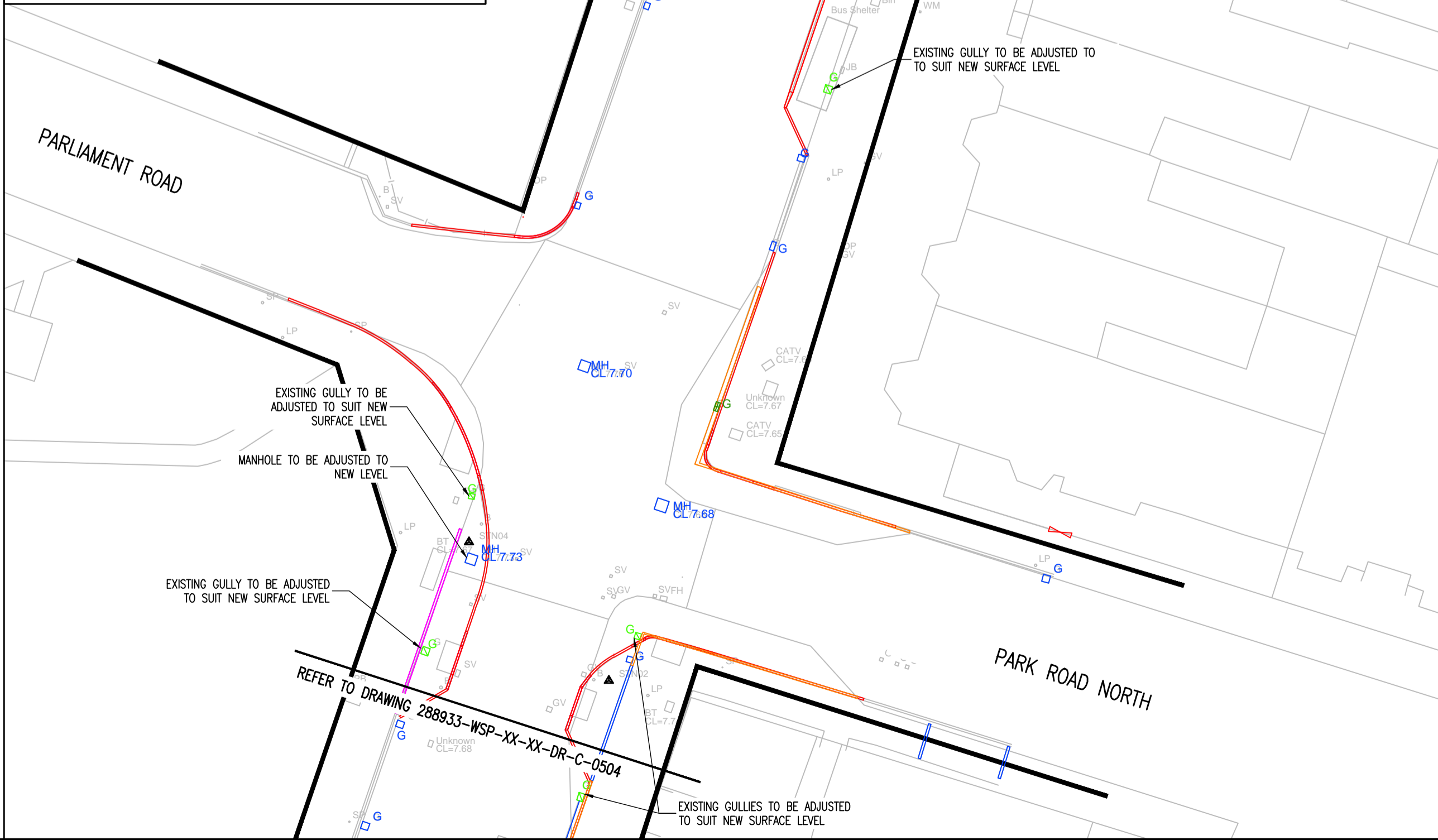
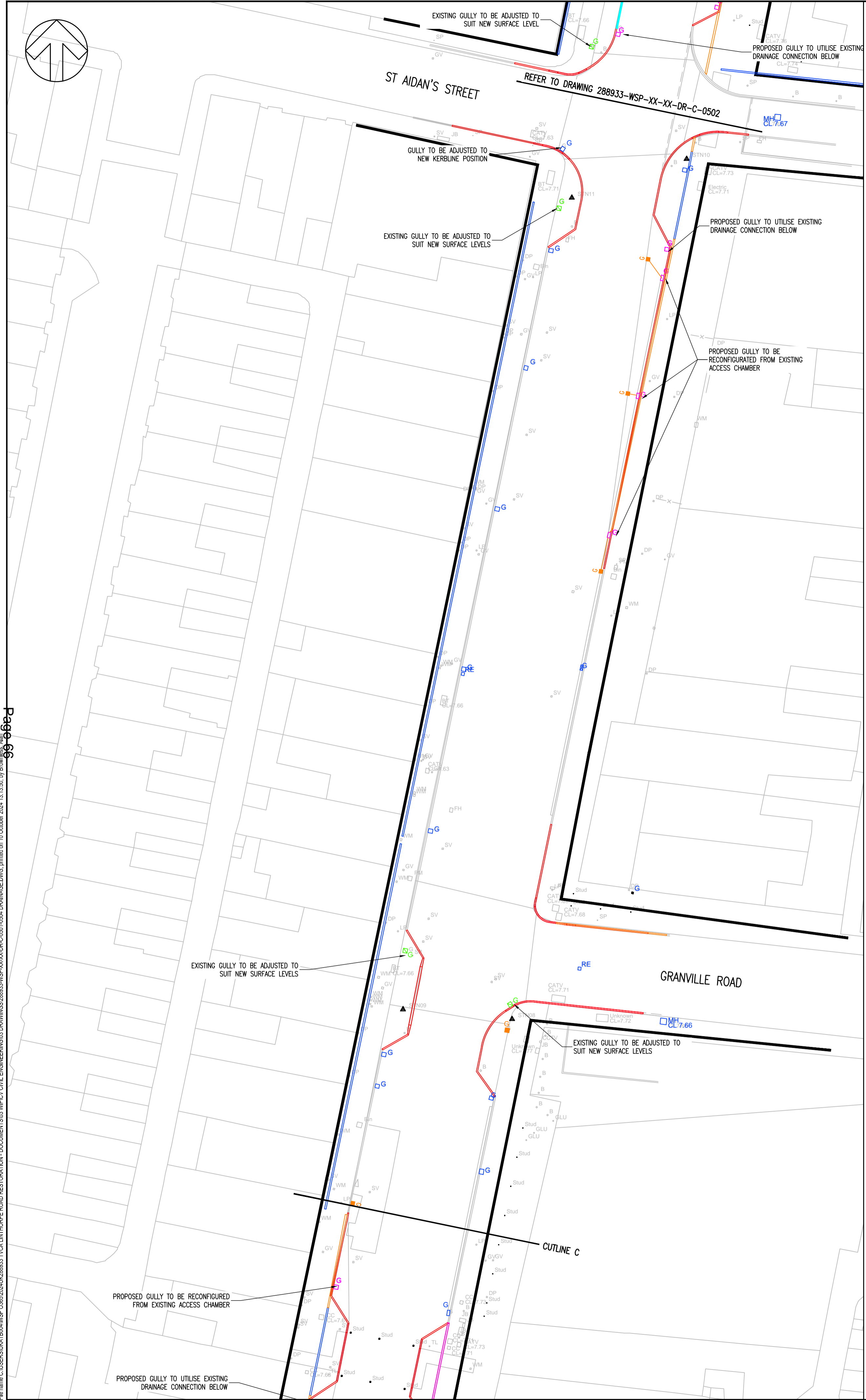
CLIENT: **TEES VALLEY**

SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

TITLE: **BELOW GROUND DRAINAGE LAYOUT (SHEET 2 OF 4)**

SCALE @ A1: 1:250	CHECKED: JS	APPROVED: PWW
PROJECT NO: 2024UK293315	DESIGNED: NR	DRAWN: NR
DRAWING NO: 288933-WSP-XX-XX-DR-C-0502	DATE: JULY 2024	REV: P04

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XXX	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION	XXX	INDICATES A RESIDUAL RISK FOR INFORMATION
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P01	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	16/07/24	NR	DRAFT ISSUE	JS	PWW

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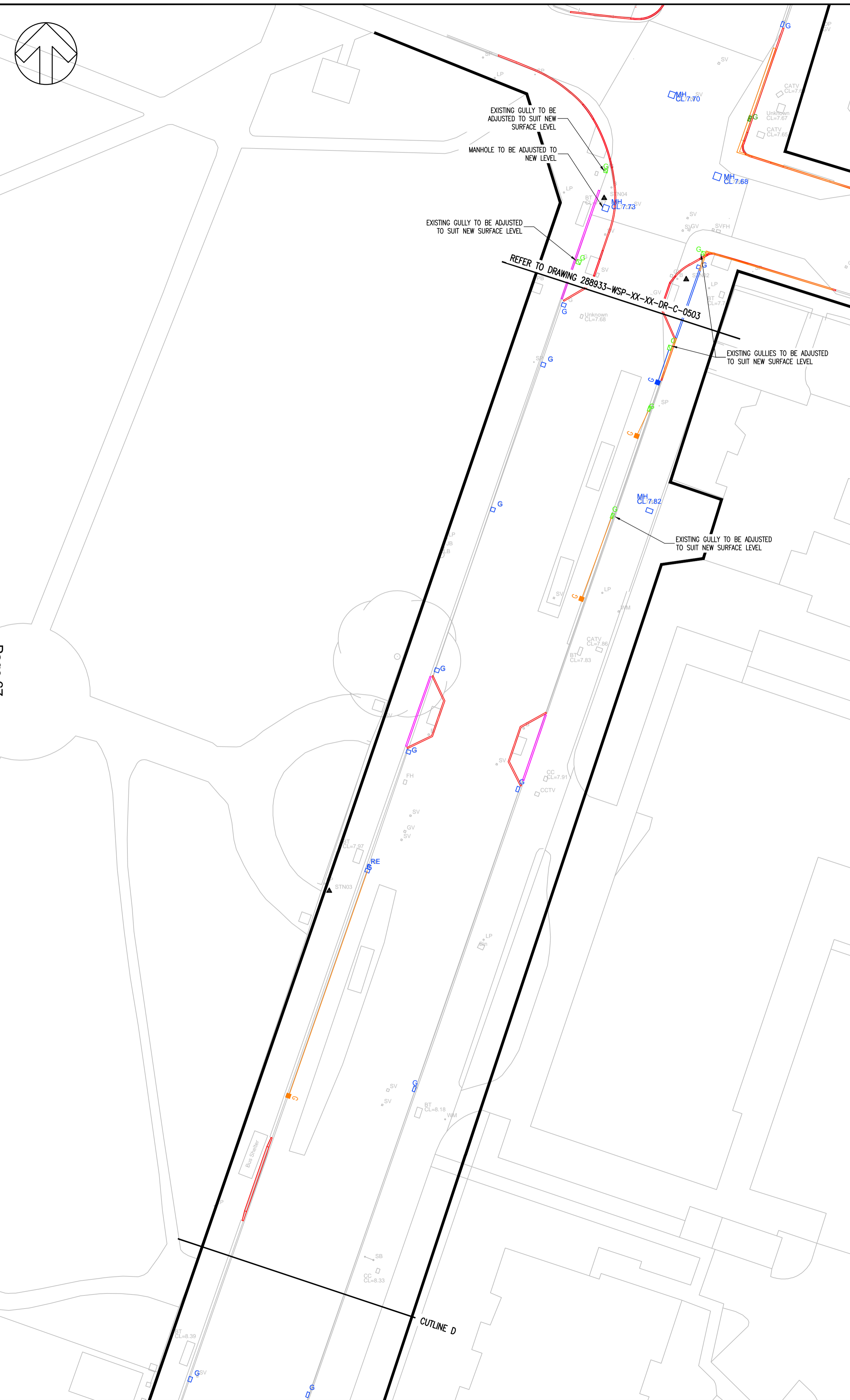
CLIENT: **TEES VALLEY**

SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

TITLE: **BELOW GROUND DRAINAGE LAYOUT (SHEET 3 OF 4)**

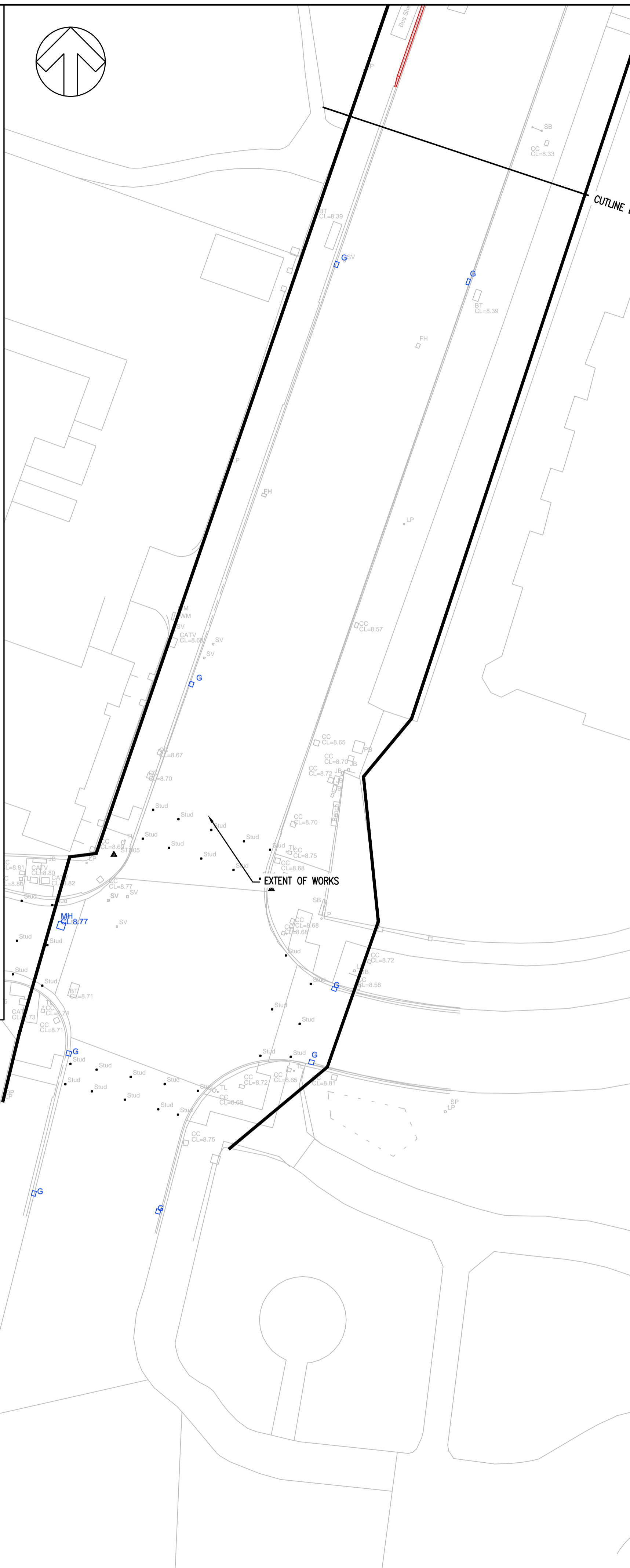
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PROJECT NO: 2024UK293315	DESIGNED: NR	DATE: JULY 2024
DRAWING NO: 288933-WSP-XX-XX-DR-C-0503	REV: P04	

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 -288933-WSP-XX-XX-DR-C-0101-0104  
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 -288933-WSP-XX-XX-DR-C-0511  
 -288933-WSP-XX-XX-DR-C-0201-0204
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- REFERENCE SHOULD BE MADE TO INDIVIDUAL DISCIPLINE DRAWINGS AND THE DESIGN RISK MANAGEMENT SCHEDULE FOR FURTHER HEALTH AND SAFETY INFORMATION - NOT ALL RISKS ARE IDENTIFIED WITHIN THIS DRAWING.
- ALL PROPOSED BELOW GROUND DRAINAGE PIPELINES/GULLY CONNECTIONS TO BE 150MM DIAMETER UNLESS NOTED OTHERWISE.
- TEMPORARY WORKS DEIGN ASSOCIATED WITH THE CONSTRUCTION OF THE WORKS SHALL BE THE RESPONSIBILITY OF THE CONTRACTOR.
- ALL GULLIES IN FOOTWAYS ARE TO INCLUDE PEDESTRIAN FRIENDLY GULLY GRATINGS TO REDUCE TRIP HAZARDS



DO NOT SCALE

KEY

- HIGHWAY BOUNDARY (REFER TO NOTE 13)
- PROPOSED KERB
- G PROPOSED GULLY
- PROPOSED GULLY CONNECTION
- G EXISTING GULLY TO BE RETAINED
- G EXISTING GULLY TO BE REMOVED
- EXISTING GULLY CONNECTION TO BE REMOVED
- G EXISTING DRAINAGE CONNECTION CHAMBER TO BE RETAINED
- PROPOSED DRAINAGE KERB
- PROPOSED DRAINAGE CHANNEL
- EXISTING DRAINAGE CHANNEL TO BE RETAINED
- EXISTING DRAINAGE CHANNEL TO BE REMOVED
- G EXISTING DRAINAGE MANHOLE CHAMBER
- G EXISTING GULLY TO BE ADJUSTED
- G EXISTING DRAINAGE CONNECTION CHAMBER TO BE ADJUSTED

SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX

HEALTH AND SAFETY SYMBOLS LEGEND			
	XXX INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION		XXX INDICATES A RESIDUAL RISK FOR INFORMATION
	XXX INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		XXX INDICATES A RESIDUAL RISK AS A WARNING
	XXX INDICATES AN ENVIRONMENTAL HAZARD		

This table is provided to assist the Principal Contractor to fulfill their obligations under the Construction Design & Management Regulations, 2015. It does not include residual risks that a competent Contractor will be aware of nor does it absolve the Principal Contractor of their legal responsibilities.

The reference number corresponds to the Design Risk Management Schedule.

**UNTIL TECHNICAL APPROVAL HAS BEEN OBTAINED FROM THE RELEVANT LOCAL AUTHORITIES OR STATUTORY BODIES, IT SHOULD BE UNDERSTOOD THAT ALL DRAWINGS ARE ISSUED AS PRELIMINARY AND NOT FOR CONSTRUCTION. SHOULD THE CONTRACTOR AND / OR EMPLOYER COMMENCE WORK PRIOR TO APPROVAL BEING GIVEN, IT IS ENTIRELY AT THEIR OWN RISK**

REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	16/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS: S2 - FOR INFORMATION

Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
 T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
 wsp.com

CLIENT:

SITE/PROJECT: LINTHORPE ROAD RESTORATION

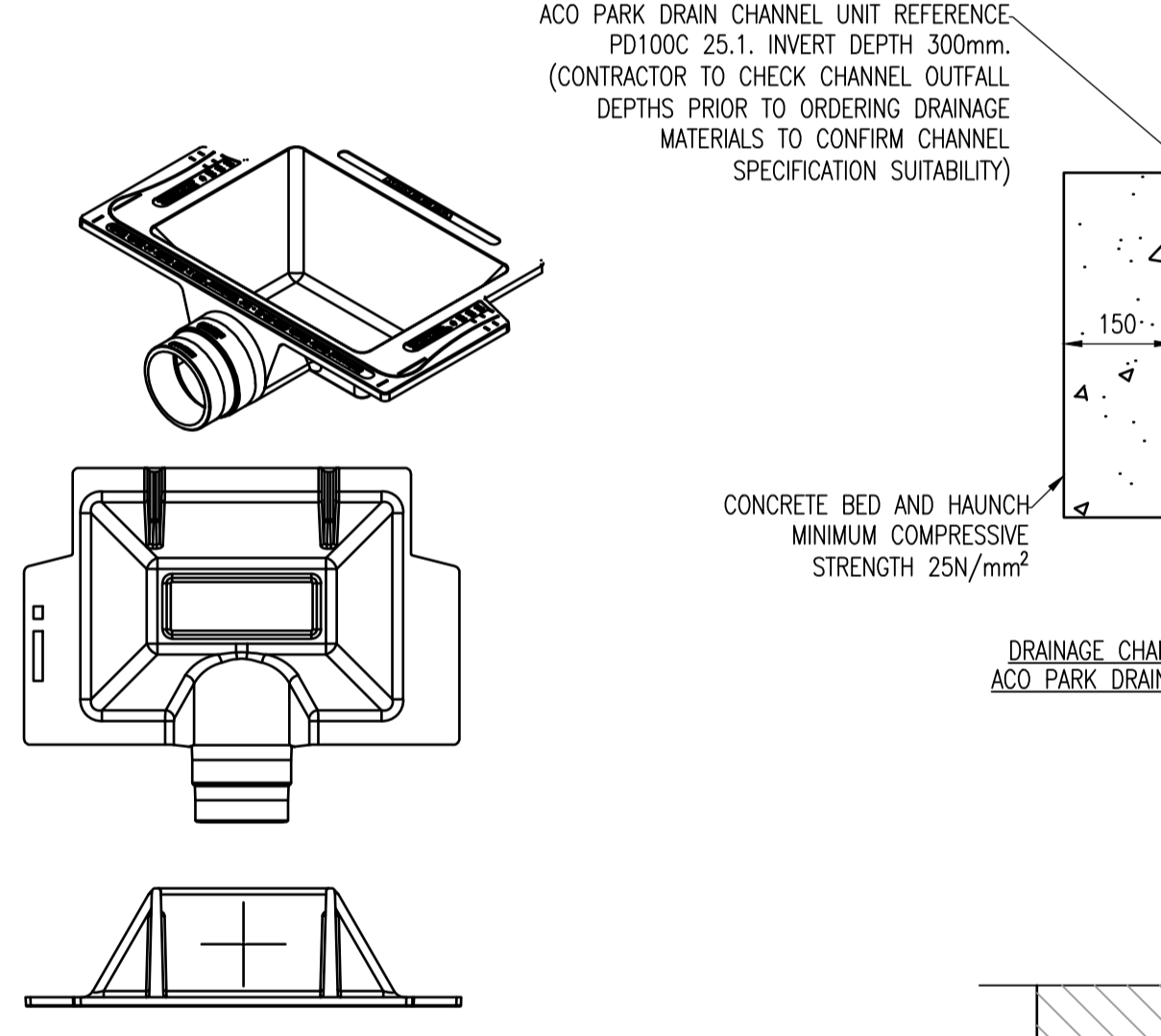
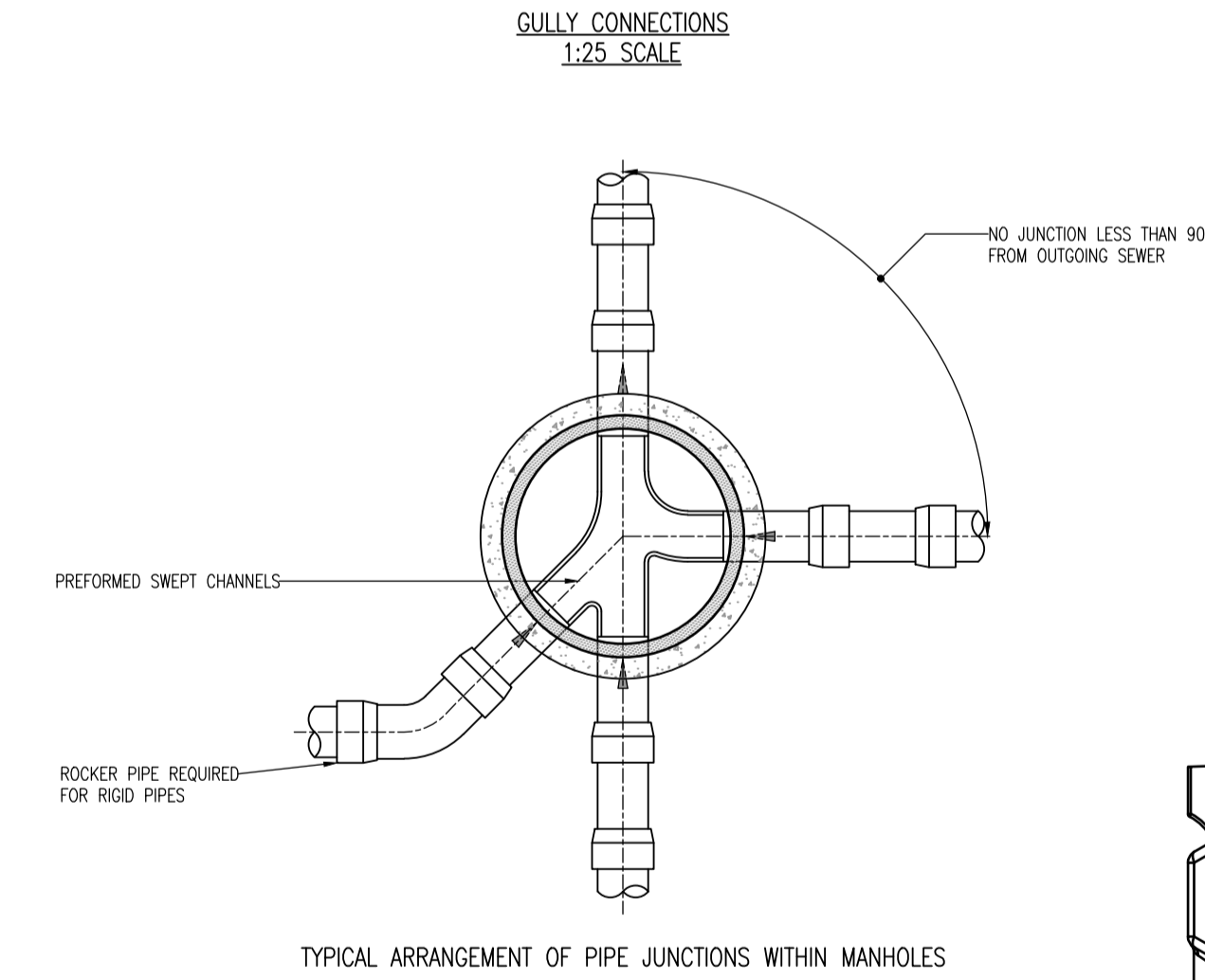
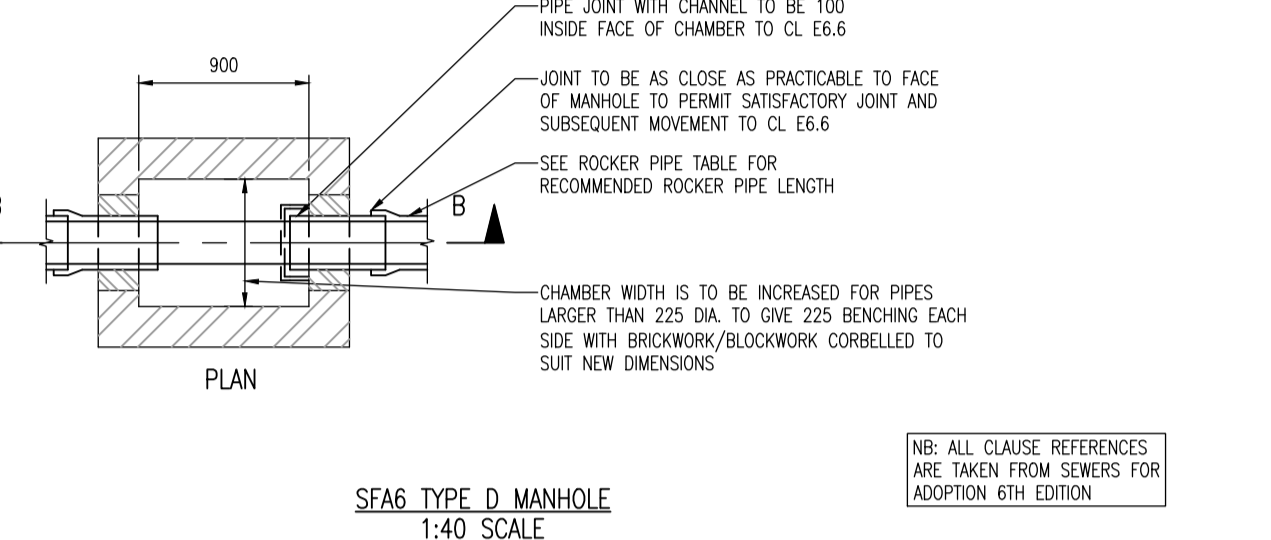
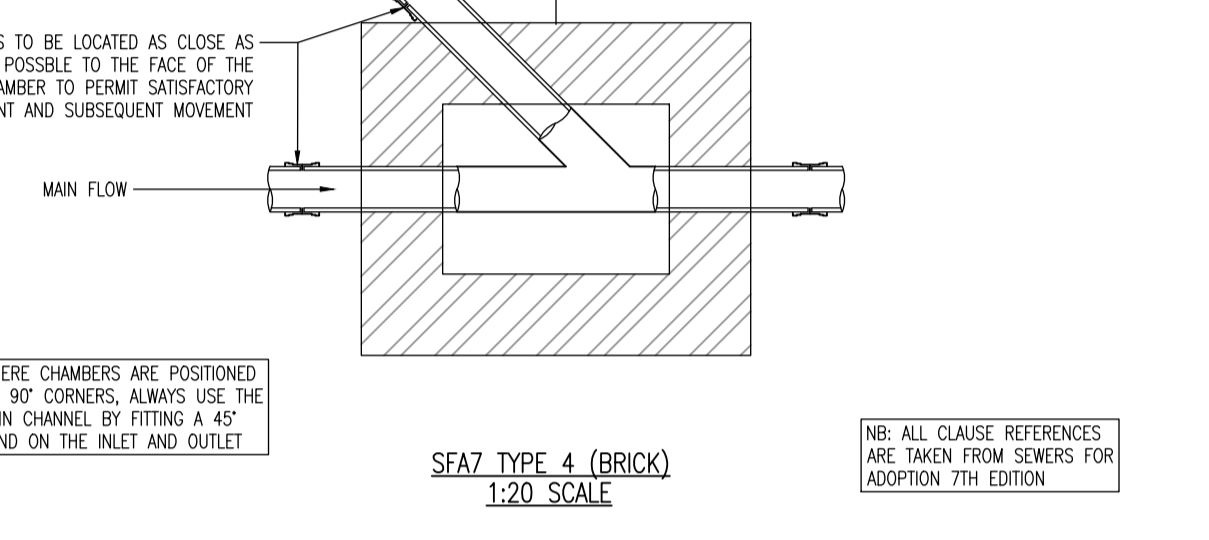
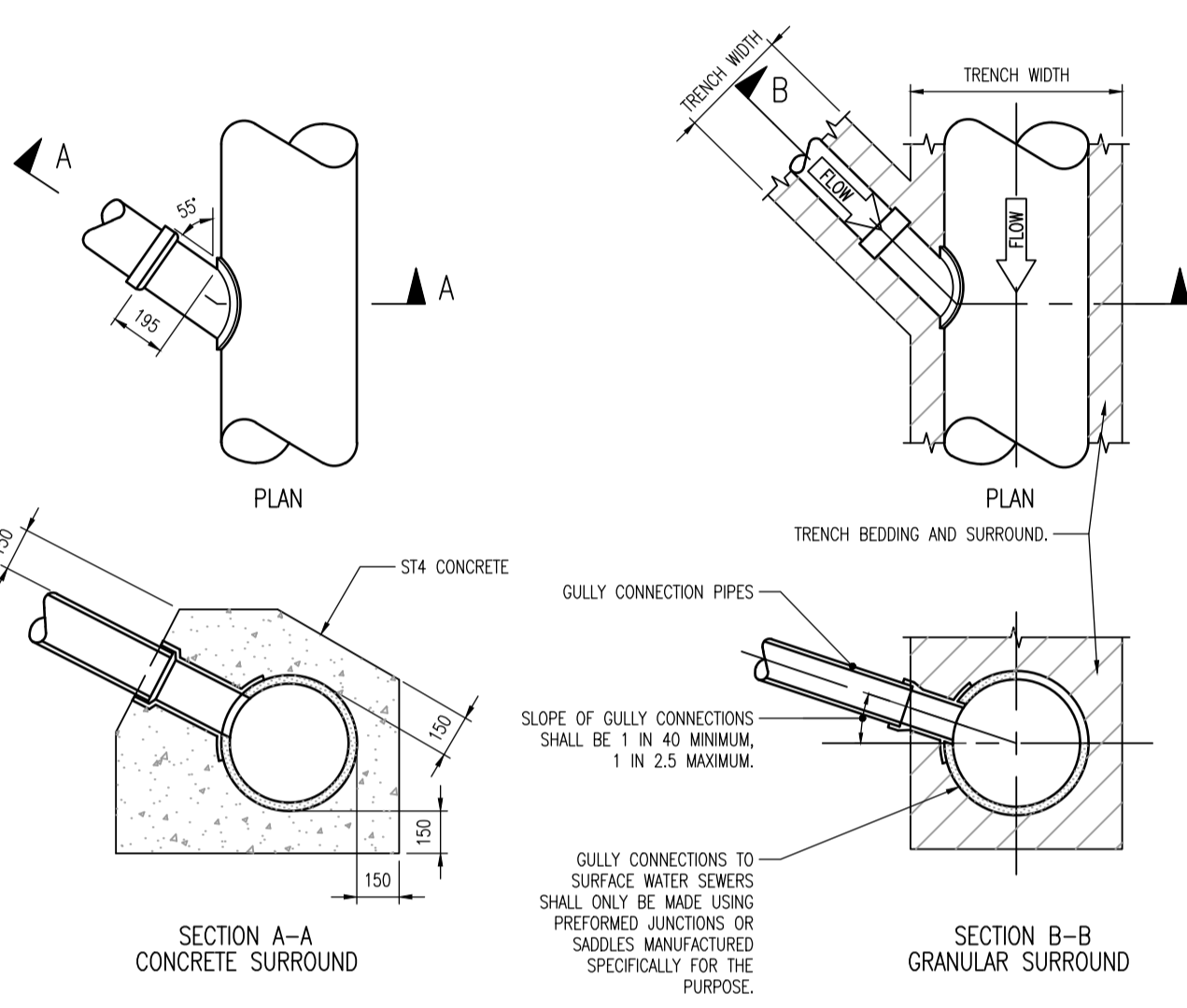
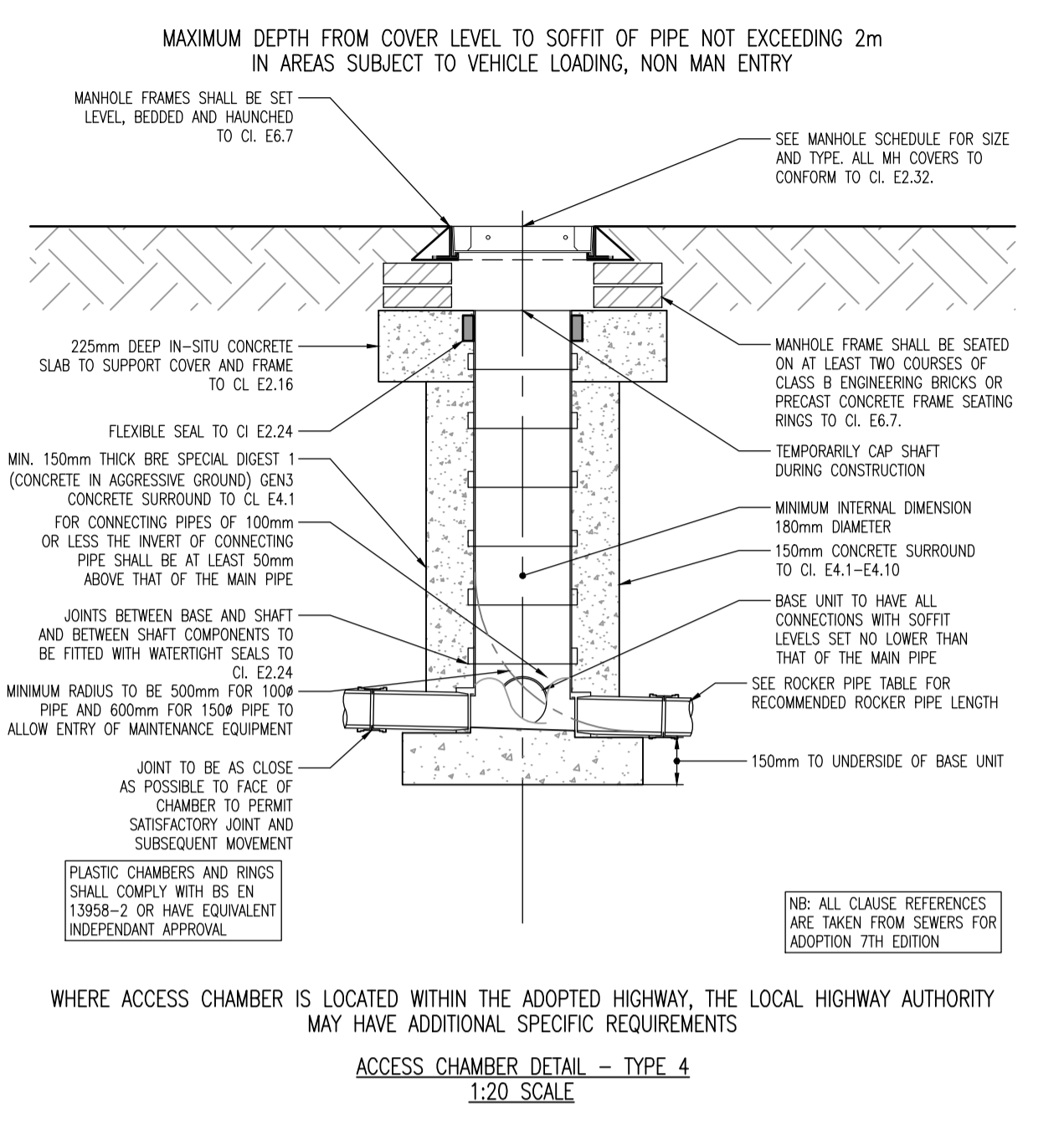
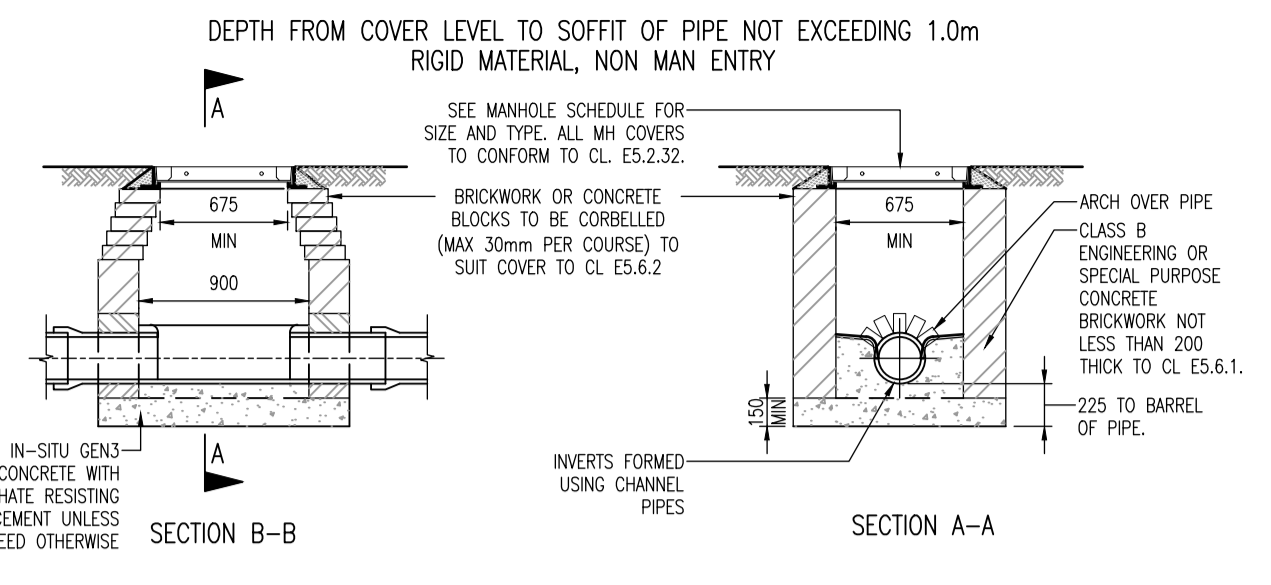
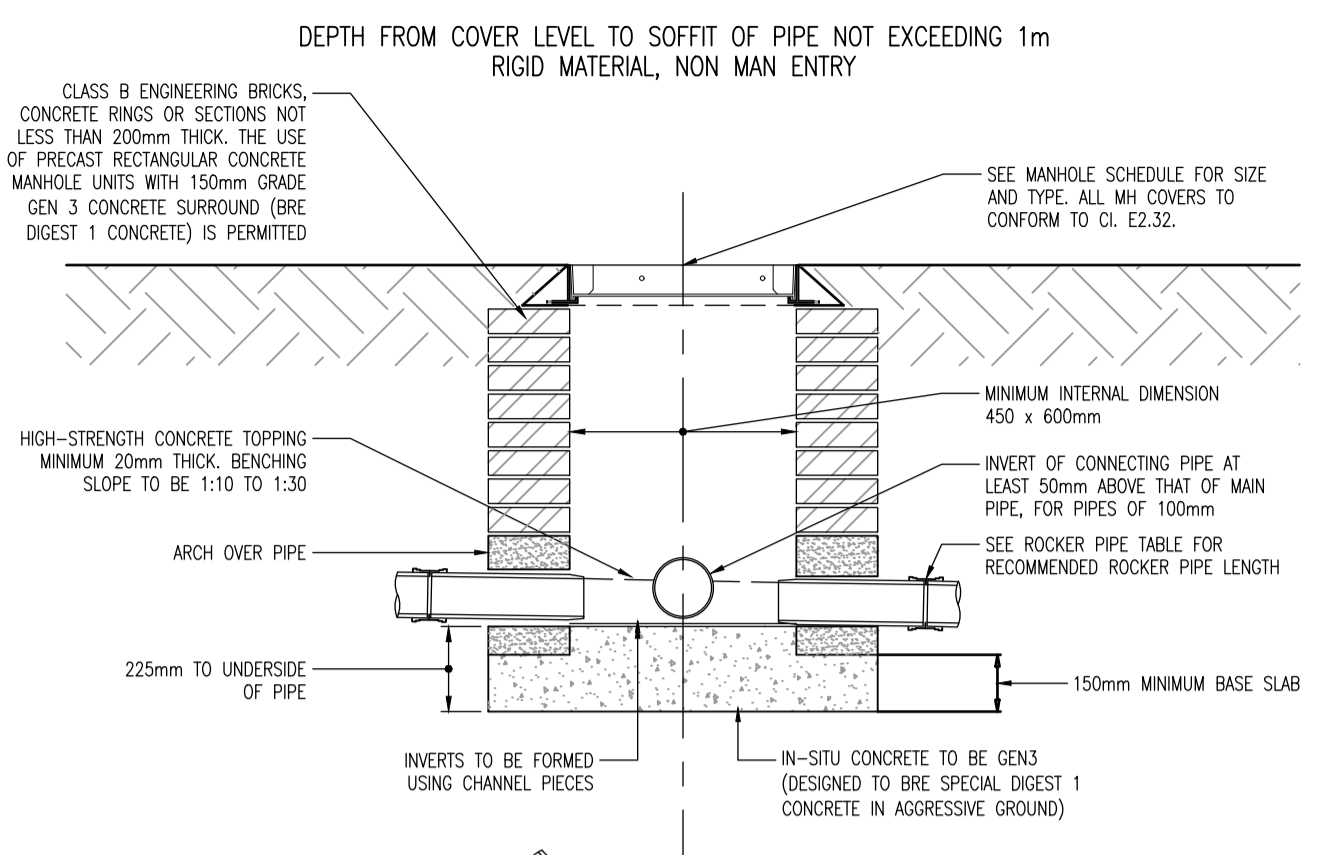
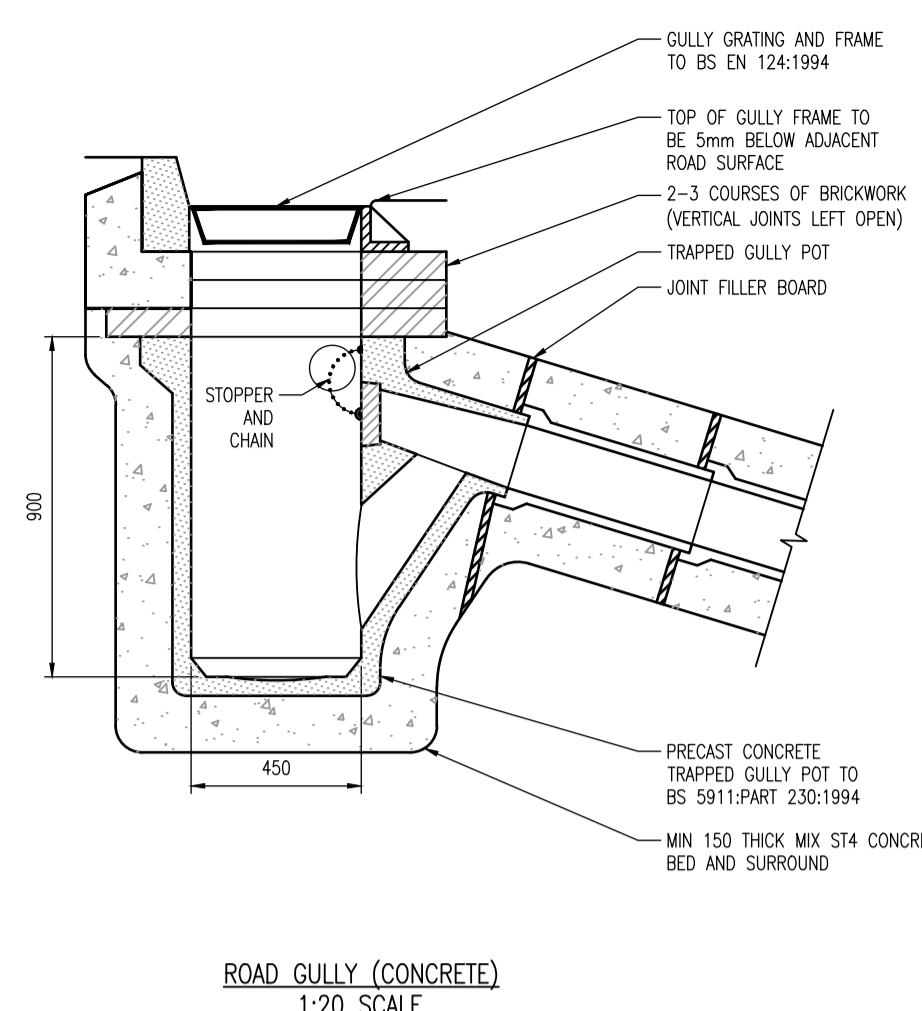
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SCALE @ A1:	CHECKED:	APPROVED:
1:250	JS	PWW

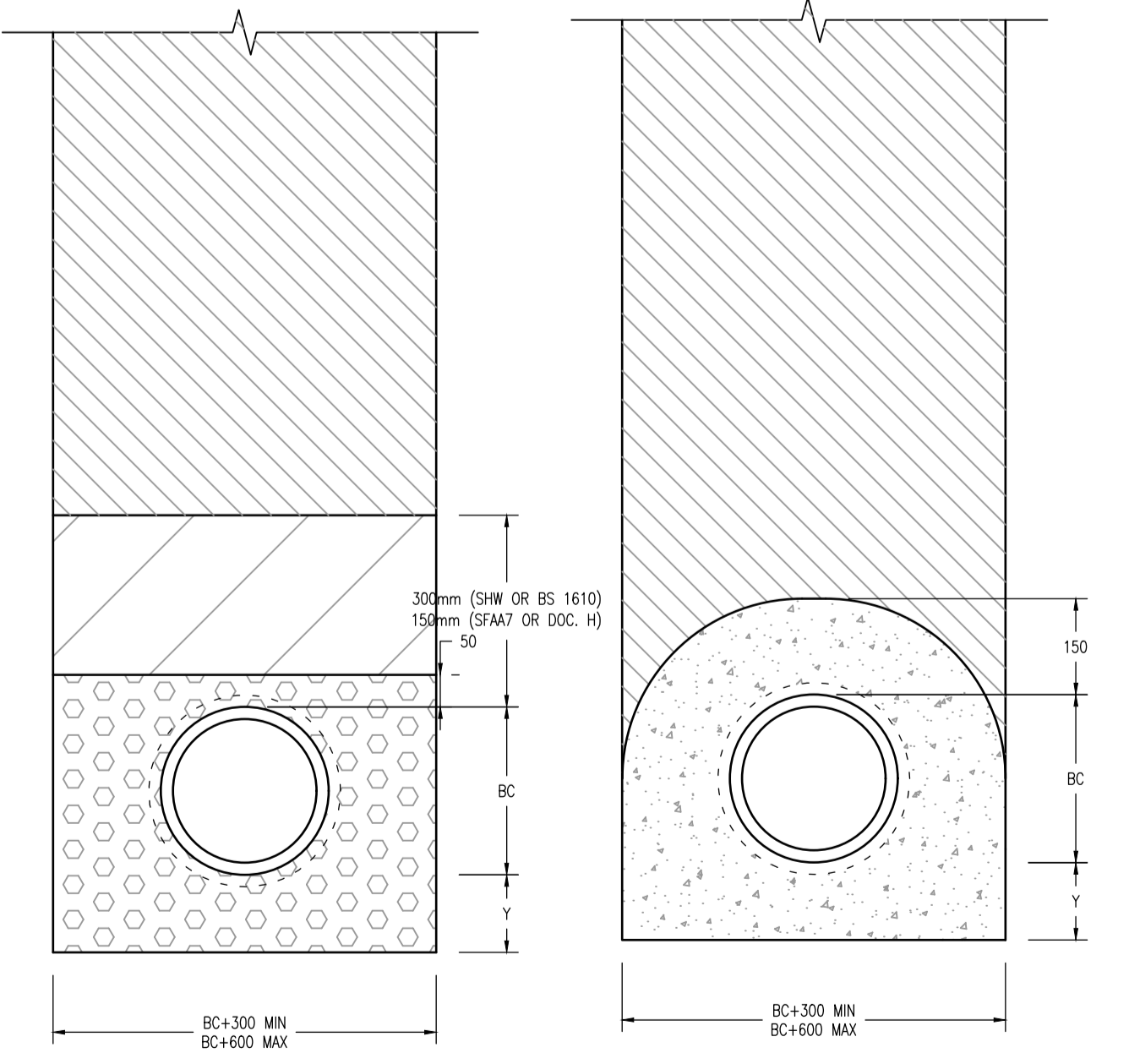
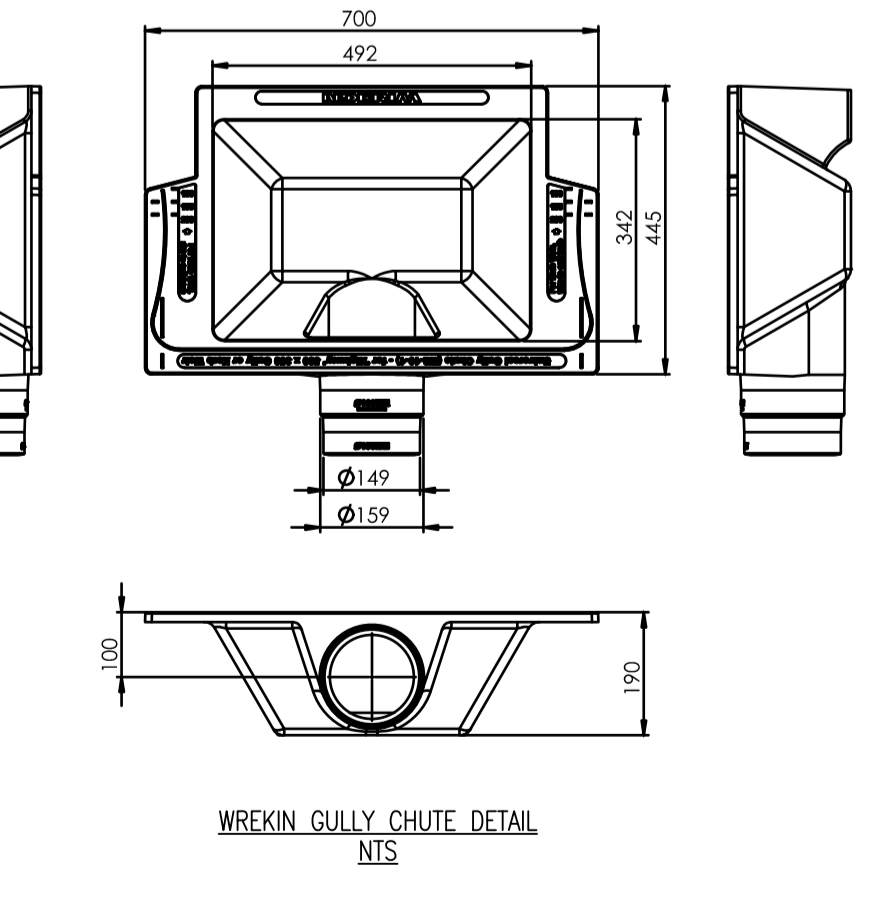
PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024

DRAWING NO: 288933-WSP-XX-XX-DR-C-0504 REV: P04

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NOMINAL DIAMETER (mm)	EFFECTIVE LENGTH (mm)
150 - 600	600
601 - 750	1000
OVER 750	1250



HATCH	SPECIFICATION FOR HIGHWAY WORKS (SHW)	SEWERS FOR ADOPTION 7th EDITION (SFA7)	NON-ADAPTABLE WORKS (DOC. H)
[Hatch]	TRENCH BACKFILL TO SHW CL. 505	20-200mm UNIFORM GRADED MATERIAL TO SFA7 CL. E.3.4*	SELECTED FILL OR GRANULAR FILL FREE FROM STONES>40mm
[Hatch]	CLASS B MATERIAL TO SHW CL. 503.3 (iv)	SELECTED BACKFILL MATERIAL IN ACCORDANCE WITH SFA7 CL. E.3.4*	SELECTED FILL FREE FROM STONES>40mm, LUMPS OF CLAY>100mm, TIMBER, FROZEN MATERIAL OR VEGETABLE MATTER
[Hatch]	CONCRETE TO SHW CL. 503.3 (ii)	GEN3 (C16/C20) CONCRETE TO SFA7 CL. E.5.3	ST4 CONCRETE TO BS 8500-2
[Hatch]	GRANULAR MATERIAL TO SHW CL. 503.3 (i)	GRANULAR OR AS-DUG MATERIAL TO WIS 4-08-02 - REFER TO TABLE BELOW	GRANULAR OR AS-DUG MATERIAL TO BS EN 12953-1 - REFER TO TABLE BELOW
[Hatch]	TYPE B FILTER MEDIA TO SHW CL. 505	N/A	20/40mm SIZE CLEAN GRANULAR MATERIAL
[Hatch]	TYPE A OR C FILTER MATERIAL TO SHW CL. 505 OR GRANULAR MATERIAL TO SHW CL. 503.3 (i)	N/A	0/20mm SIZE CLEAN GRANULAR MATERIAL
[Hatch]	TURF OR SEED ON TOPSOIL AS DESCRIBED IN SHW APPENDIX 5/1	N/A	TURF OR SEED ON TOPSOIL AS PER LANDSCAPE ARCHITECT'S SPECIFICATION
[Hatch]	GRANULAR MATERIAL TO SHW CL. 503.3 (i) e.g. SAND	N/A	0-4mm FINE AGGREGATE OR SHARP SAND

\*WHERE SFA7 SEWERS ARE LOCATED INSIDE OR WITHIN 1m OF ADOPTED CARRIAGEWAYS (FUTURE OR EXISTING), BACKFILL AND REINSTATEMENT SHALL BE IN ACCORDANCE WITH THE RELEVANT HIGHWAY REINSTATEMENT SPECIFICATION.

NOMINAL BORE OF PIPE	SIZE (mm)	
100-125	SINGLE SIZED	GRADED
	10	-
150-200	10 OR 14	14 TO 5
	10, 14 OR 20	14 TO 5
225-300	10, 14 OR 20	20 TO 5
	14 OR 20	14 TO 5
375-500	14 OR 20	14 TO 5
	14 OR 20	20 TO 5
EXCEEDING 500	14, 20 OR 40	14 TO 5
	20 TO 5	20 TO 5
	OR	40 TO 5

(i) Y=BC/6, WITH MIN 100mm UNDER BARRELS (50mm IF SLEEVE JOINTED) AND MIN 50mm UNDER SOCKETS, WHICHEVER IS THE GREATER

(ii) Y=BC/4, WITH MIN 200 UNDER BARRELS (150 FOR SLEEVE JOINTED) AND MIN 150 UNDER SOCKETS, WHICHEVER IS THE GREATER

UNTIL TECHNICAL APPROVAL HAS BEEN OBTAINED FROM THE RELEVANT LOCAL AUTHORITIES OR STATUTORY BODIES, IT SHOULD BE UNDERSTOOD THAT ALL DRAWINGS ARE ISSUED AS PRELIMINARY AND NOT FOR CONSTRUCTION. SHOULD THE CONTRACTOR AND / OR EMPLOYER COMMENCE WORK PRIOR TO APPROVAL BEING GIVEN, IT IS ENTIRELY AT THEIR OWN RISK

**NOTES**

- THIS DRAWING SHOULD BE READ IN CONJUNCTION WITH ALL RELATED DOCUMENTATION AND DRAWINGS.
- ALL DIMENSIONS ARE IN MILLIMETRES UNLESS STATED OTHERWISE.
- THE WORKS SHALL BE CARRIED OUT IN ACCORDANCE WITH THE DFT MCHW, DMRS AND MIDDLESBROUGH LOCAL REQUIREMENTS.
- REFER TO BELOW GROUND DRAINAGE AND LEVELS DRAWINGS FOR SITE SPECIFIC DETAILS OF DRAINAGE.
- FOR DESIGNED, DESIGNATED OR STANDARDISED PRESCRIBED CONCRETE REFER TO BS EN 206-1 AND BS 8500. THEY SHALL HAVE A 20mm NOMINAL MAXIMUM SIZE OF AGGREGATE, AND A SLUMP CLASS S2 FOR TARGET 70mm AND NO ADMIXTURES.
- CONCRETE PIPES TO BE TO BS EN 1916 & BS 5911-1, CLAYWARE PIPES TO BE TO BS EN 295, DUCTILE IRON PIPES TO BE TO BS EN 598 & PLASTIC PIPES TO BS EN 13476-1 AND 13476-2
- ALL TRENCHES SITUATED WITHIN TRAFFICKED AREAS TO BE BACKFILLED IN ACCORDANCE WITH HAUC SPECIFICATION FOR THE REINSTATEMENT OF OPENINGS IN HIGHWAYS APPENDIX A1 CLASSES A,B,C,D.
- BACKFILL TO TRENCHES TO BE SELECTED AS-DUG MATERIAL IN ACCORDANCE WITH BUILDING REGULATIONS APPROVED DOCUMENT H.
- NOTE THE MAXIMUM TRENCH WIDTH MUST NOT BE EXCEEDED. IF THE WIDTH IS EXCEEDED THE CONTRACTOR MUST SUBMIT REvised BEDDING PROPOSALS TO THE SUPERVISING OFFICER/ENGINEER.
- SOFT SPOTS SHALL BE REMOVED FROM THE BOTTOM OF THE TRENCH AND OTHER EXCAVATIONS AND THEN BE REFILLED TO FORMATION LEVEL WITH THE SAME MATERIAL AS THE PERMANENT WORK WHICH IS TO REST ON THAT FORMATION. OVERDIG SHALL BE TREATED IN THE SAME MANNER AT CONTRACTORS EXPENSE AS INSTRUCTED BY THE SUPERVISING OFFICER/ENGINEER.
- NOT WITHSTANDING SPECIFIC REQUIREMENTS FOR INDIVIDUAL CHAMBER TYPES ALL PIPES LEADING TO AND FROM CHAMBERS SHALL INCLUDE ROCKER PIPES.
- INSPECTION CHAMBERS SHALL BE IN ACCORDANCE WITH THE RELEVANT BRITISH STANDARD FOR THEIR MATERIAL, AS STATED IN TABLE 14 OF BUILDING REGULATIONS APPROVED DOCUMENT H.
- ALL PIPES SHALL BE LAID SOFFIT TO SOFFIT UNO.
- PCC MANHOLES, SOAKAWAYS & COVER SLABS TO BE BS EN 1917 AND BS 5911-3.
- PREFORMED SWEEP CHANNELS SHALL BE USED AT JUNCTIONS AND NO BRANCH SHALL ENTER AT LESS THAN 90 DEGREES FROM THE OUTGOING SEWER.
- MANHOLE ACCESS OPENINGS TO BE IN ACCORDANCE WITH TABLE 12 OF BUILDING REGULATIONS APPROVED DOCUMENT H.
- ALL MANHOLE COVERS SHOULD BE IN ACCORDANCE AND BE BEDDED AND HAUNCHED IN MORTAR.
- WHERE THERE IS DOUBT AS TO WHICH MANHOLE COVER SHOULD BE USED, A STRONGER CLASS SHOULD BE SELECTED. FRAMES FOR MANHOLES SHALL BE BEDDED IN CLASS M1 BEDDING MORTAR.
- ALL MANHOLE FRAMES TO BE SET PARALLEL TO ADJACENT KERBS OR NEAREST BUILDINGS AND COVERS AND FRAMES TO BE FLUSH WITH SURFACE ±5mm MAX.
- COMPRESSIBLE FILLER TO PIPELINES TO BE USED TO INTERRUPT CONCRETE PROTECTION TO PIPELINES AND SHALL CONSIST OF BITUMEN IMPREGNATED INSULATING BOARD TO BS 1142 AT EACH PIPE JOINT.
- REFERENCE SHALL BE MADE TO THE MANUFACTURER'S INSTRUCTIONS FOR PROPRIETARY PRODUCTS. CONSIDERATION WILL BE GIVEN TO ALTERNATIVE PRODUCTS OF EQUAL QUALITY BUT THE CONTRACTOR MAY NOT USE A SUBSTITUTE MATERIAL WITHOUT PRIOR WRITTEN APPROVAL OF THE SUPERVISING OFFICER/ENGINEER.
- CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.

PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	16/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS: **S2 - FOR INFORMATION**

**wsp**

Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
 T+44 (0) 191 226 2000, F+44 (0) 191 226 2104  
 wsp.com

CLIENT:

**TEES VALLEY**

SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

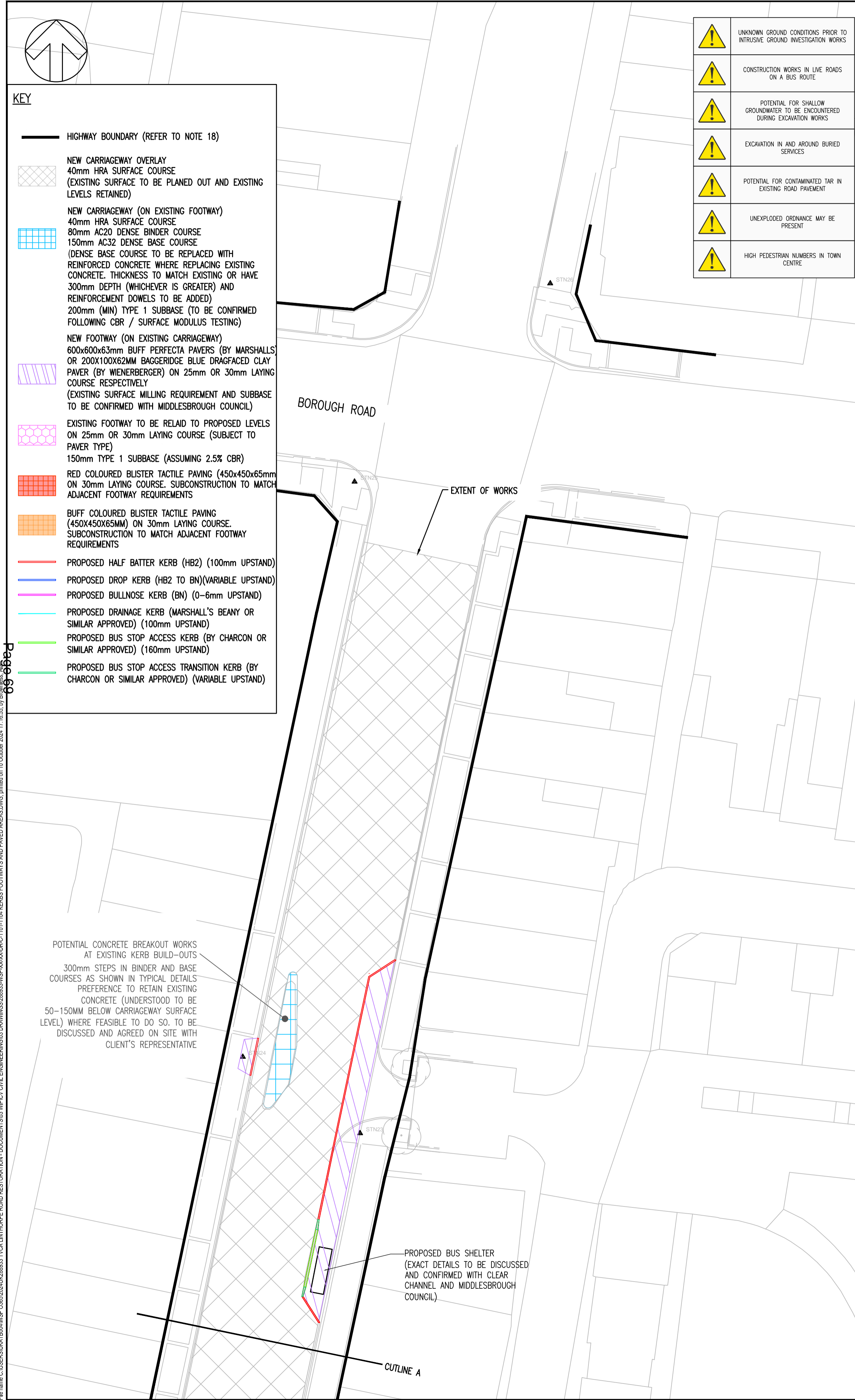
TITLE: **DRAINAGE TYPICAL DETAILS**

SCALE @ AT:	CHECKED:	APPROVED:
NTS	JS	PWW

PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024

DRAWING NO:	REV:
288933-WSP-XX-XX-DR-C-0511	P02

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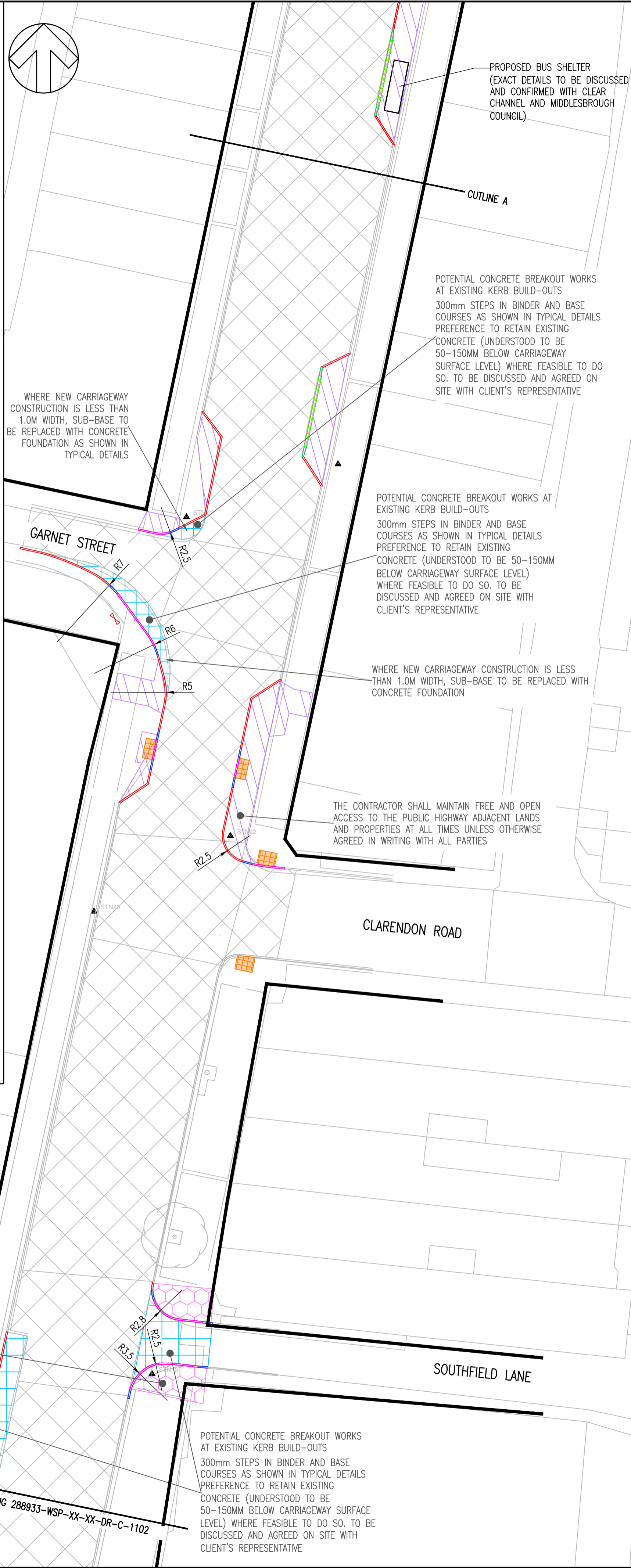


**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 18)
- NEW CARRIAGEWAY OVERLAY  
40mm HRA SURFACE COURSE  
(EXISTING SURFACE TO BE PLANED OUT AND EXISTING LEVELS RETAINED)
- NEW CARRIAGEWAY (ON EXISTING FOOTWAY)  
40mm HRA SURFACE COURSE  
80mm AC20 DENSE BINDER COURSE  
150mm AC32 DENSE BASE COURSE  
(DENSE BASE COURSE TO BE REPLACED WITH REINFORCED CONCRETE WHERE REPLACING EXISTING CONCRETE. THICKNESS TO MATCH EXISTING OR HAVE 300mm DEPTH (WHICHEVER IS GREATER) AND REINFORCEMENT DOWELS TO BE ADDED)  
200mm (MIN) TYPE 1 SUBBASE (TO BE CONFIRMED FOLLOWING CBR / SURFACE MODULUS TESTING)
- NEW FOOTWAY (ON EXISTING CARRIAGEWAY)  
600x600x63mm BUFF PERFECTA PAVERS (BY MARSHALLS OR 200X100X62MM BAGGERIDGE BLUE DRAGFACED CLAY PAVER (BY WIENERBERGER) ON 25mm OR 30mm LAYING COURSE RESPECTIVELY  
(EXISTING SURFACE MILLING REQUIREMENT AND SUBBASE TO BE CONFIRMED WITH MIDDLESBROUGH COUNCIL)
- EXISTING FOOTWAY TO BE RELAID TO PROPOSED LEVELS ON 25mm OR 30mm LAYING COURSE (SUBJECT TO PAVEMENT TYPE)  
150mm TYPE 1 SUBBASE (ASSUMING 2.5% CBR)
- RED COLOURED BLISTER TACTILE PAVING (450x450x65mm) ON 30mm LAYING COURSE. SUBCONSTRUCTION TO MATCH ADJACENT FOOTWAY REQUIREMENTS
- BUFF COLOURED BLISTER TACTILE PAVING (450x450x65mm) ON 30mm LAYING COURSE. SUBCONSTRUCTION TO MATCH ADJACENT FOOTWAY REQUIREMENTS
- PROPOSED HALF BATTER KERB (HB2) (100mm UPSTAND)
- PROPOSED DROP KERB (HB2 TO BN)(VARIABLE UPSTAND)
- PROPOSED BULLNOSE KERB (BN) (0-6mm UPSTAND)
- PROPOSED DRAINAGE KERB (MARSHALL'S BEANY OR SIMILAR APPROVED) (100mm UPSTAND)
- PROPOSED BUS STOP ACCESS KERB (BY CHARCON OR SIMILAR APPROVED) (160mm UPSTAND)
- PROPOSED BUS STOP ACCESS TRANSITION KERB (BY CHARCON OR SIMILAR APPROVED) (VARIABLE UPSTAND)

	UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS
	CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE
	POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS
	EXCAVATION IN AND AROUND BURIED SERVICES
	POTENTIAL FOR CONTAMINATED TAR IN EXISTING ROAD PAVEMENT
	UNEXPLODED ORDNANCE MAY BE PRESENT
	HIGH PEDESTRIAN NUMBERS IN TOWN CENTRE

- NOTES**
- THIS DRAWING SHOULD BE READ IN CONJUNCTION WITH ALL RELEVANT DOCUMENTATION DRAWINGS AND STANDARD DETAILS BUT WITH PARTICULAR REFERENCE TO THE FOLLOWING  
-288933-WSP-XX-XX-DR-C-0101-0104  
-288933-WSP-XX-XX-DR-C-1101-1104  
-288933-WSP-XX-XX-DR-C-0201-0204  
-288933-WSP-XX-XX-DR-C-0111
  - ALL DIMENSIONS ARE IN METRES UNLESS NOTED OTHERWISE.
  - THE ORIGINAL OF THIS DRAWING WAS PRODUCED IN COLOUR - A MONOCHROME COPY CANNOT BE RELIED ON.
  - INFORMATION REGARDING THE LOCATION AND DEPTH OF EXISTING SERVICES CANNOT BE GUARANTEED BY THE STATUTORY UNDERTAKER AND SHOULD BE INVESTIGATED. THE CONTRACTOR SHALL ESTABLISH THE PRECISE LINE AND DEPTH OF ALL EXISTING UTILITIES PRIOR TO COMMENCING ANY EXCAVATION WORK.
  - ALL PROPOSED KERBS ARE TO TIE INTO EXISTING KERB ALIGNMENTS.
  - ALL PROPOSED PAVING LEVELS ARE TO TIE INTO EXISTING PAVING LEVELS AND BE FREE FROM PROTRUDING STEPS FROM THE FINISHED LEVEL.
  - STREET FURNITURE, KERBS, GULLIES, ETC. SHALL BE COVERED WITH A SUITABLE MASKING MATERIAL TO PREVENT OVER SPRAY OF BITUMINOUS MATERIALS.
  - IN THE AREAS OF NEW CARRIAGEWAY CONSTRUCTION, WHERE THE WIDTH OF CARRIAGEWAY IS LESS THAN 1.0M, CONCRETE FILL TYPE ST1 / ST2 OR OTHER SIMILAR SPECIFICATION AS APPROVED BY MIDDLESBROUGH COUNCIL TO BE USED AS A REPLACEMENT FOR TYPE 1 SUBBASE.
  - AREAS OF FOOTWAY / HARDSTANDING & GRASSED VERGES TO BE MADE GOOD ONCE NEW KERBING / PAVING HAS BEEN INSTALLED.
  - ALL FOUNDATIONS SHOULD BE PROOF ROLLED PRIOR TO CONSTRUCTION WITH AND SOFT OR LOOSE POCKETS REPLACED WITH SUITABLE GRANULAR FILL MATERIAL.
  - WHERE SUBGRADE SURFACE MODULUS HAS A VALUE OF LESS THAN 30MPa (APPROX.2.5% CBR), IT MUST BE IMPROVED IN ACCORDANCE WITH DMRB CD 225.
  - THE DESIGN IS BASED ON TOPOGRAPHICAL SURVEY REFERENCE ASS 2963 BY ADH SITE SURVEYS LIMITED RECEIVED FEBRUARY 2021.
  - CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.
  - ALL REPAIRS TO THE EXISTING FOOTWAY RESULTING FROM CONSTRUCTION, NOT INDICATED ON THIS DRAWING, SHALL BE REINSTATED TO MATCH EXISTING.
  - WHERE IT IS NECESSARY TO AMEND BLOCK PAVING / KERB SIZES, IT IS ADVISED TO MEASURE AND CUT MATERIALS OFF-SITE, OR THE USE OF A BLOCK SPLITTER, TO REDUCE EXPOSURE TO DUST AND NOISE POLLUTION.
  - WHERE IT IS NECESSARY TO AMEND BLOCK PAVING / KERB SIZES, IT IS ADVISED TO MEASURE AND CUT MATERIALS OFF-SITE, OR THE USE OF A BLOCK SPLITTER, TO REDUCE EXPOSURE TO DUST AND NOISE POLLUTION.
  - THIS DRAWING SHOULD NOT BE USED FOR SETTING OUT AS THIS INFORMATION IS PROVIDED SEPARATELY.
  - THIS DRAWING IS BASED IN A WHOLE OR IN PART ON INFORMATION AND/OR DATA APPROVED BY A THIRD PARTY INCLUDING MIDDLESBROUGH COUNCIL AND AS SUCH IN CONTINGENT UPON THE ACCURACY AND COMPLETENESS OF THAT INFORMATION AND/OR DATA. WSP UK LIMITED SHALL NOT BE LIABLE IN RELATION TO ANY INACCURACY PRESENTED WITHIN THE DRAWING AND/OR IN RELATION TO ANY DISCREPANCY OR AMBIGUITY WITH ANY OTHER PROJECT DOCUMENTS SHOULD ANY DATA AND OR INFORMATION UPON WHICH RELIANCE HAS BEEN BASED BE INCORRECT OR OUT OF DATE OR HAVE BEEN CONCEALED, WITHHELD OR BE INCOMPLETE, MISREPRESENTED OR OTHERWISE NOT FULLY DISCLOSED TO WSP UK LIMITED.
  - REFERENCE SHOULD BE MADE TO INDIVIDUAL DISCIPLINE DRAWINGS AND THE DESIGN RISK MANAGEMENT SCHEDULE FOR FURTHER HEALTH AND SAFETY INFORMATION - NOT ALL RISKS ARE IDENTIFIED WITHIN THIS DRAWING



**DO NOT SCALE**

**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

HEALTH AND SAFETY SYMBOLS LEGEND

	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION		INDICATES A RESIDUAL RISK FOR INFORMATION
	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		INDICATES A RESIDUAL RISK AS A WARNING
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This table is provided to assist the Principal Contractor to fulfil their obligations under the Construction Design & Management Regulations, 2015. It does not include residual risks that a competent Contractor will be aware of nor does it absolve the Principal Contractor of their legal responsibilities.  
The reference number corresponds to the Design Risk Management Schedule.

DSSM (MPa)	30	40	50	70	100	150
THICKNESS (mm)	420	330	270	230	200	200

UNTIL TECHNICAL APPROVAL HAS BEEN OBTAINED FROM THE RELEVANT LOCAL AUTHORITIES OR STATUTORY BODIES, IT SHOULD BE UNDERSTOOD THAT ALL DRAWINGS ARE ISSUED AS PRELIMINARY AND NOT FOR CONSTRUCTION. SHOULD THE CONTRACTOR AND / OR EMPLOYER COMMENCE WORK PRIOR TO APPROVAL BEING GIVEN, IT IS ENTIRELY AT THEIR OWN RISK

REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	12/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	16/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS: **S2 - FOR INFORMATION**

Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
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wsp.com

CLIENT:

SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

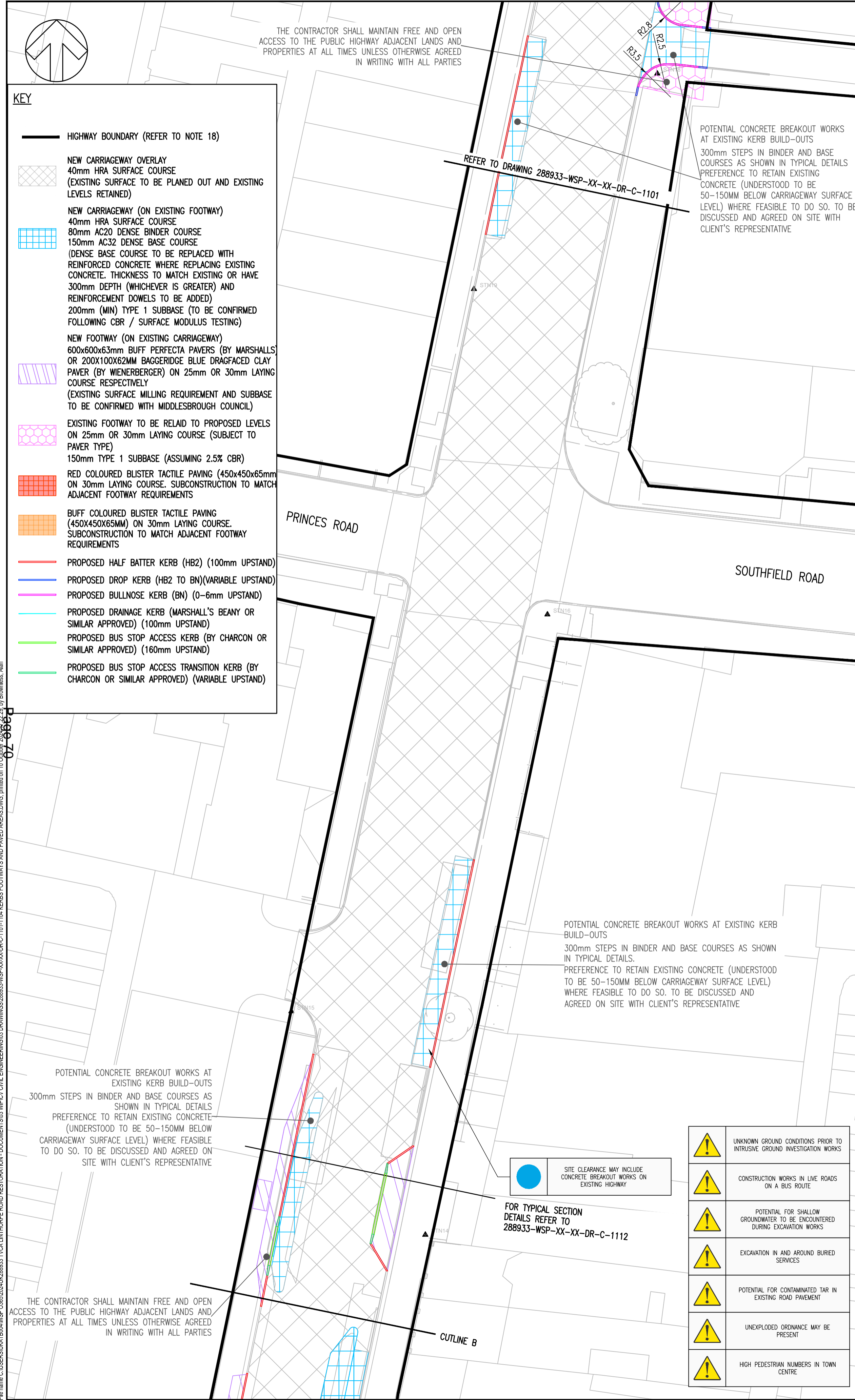
TITLE: **KERBS, FOOTWAYS AND PAVED AREAS (SHEET 1 OF 4)**

SCALE @ A1:	CHECKED:	APPROVED:
1:250	JS	PWW

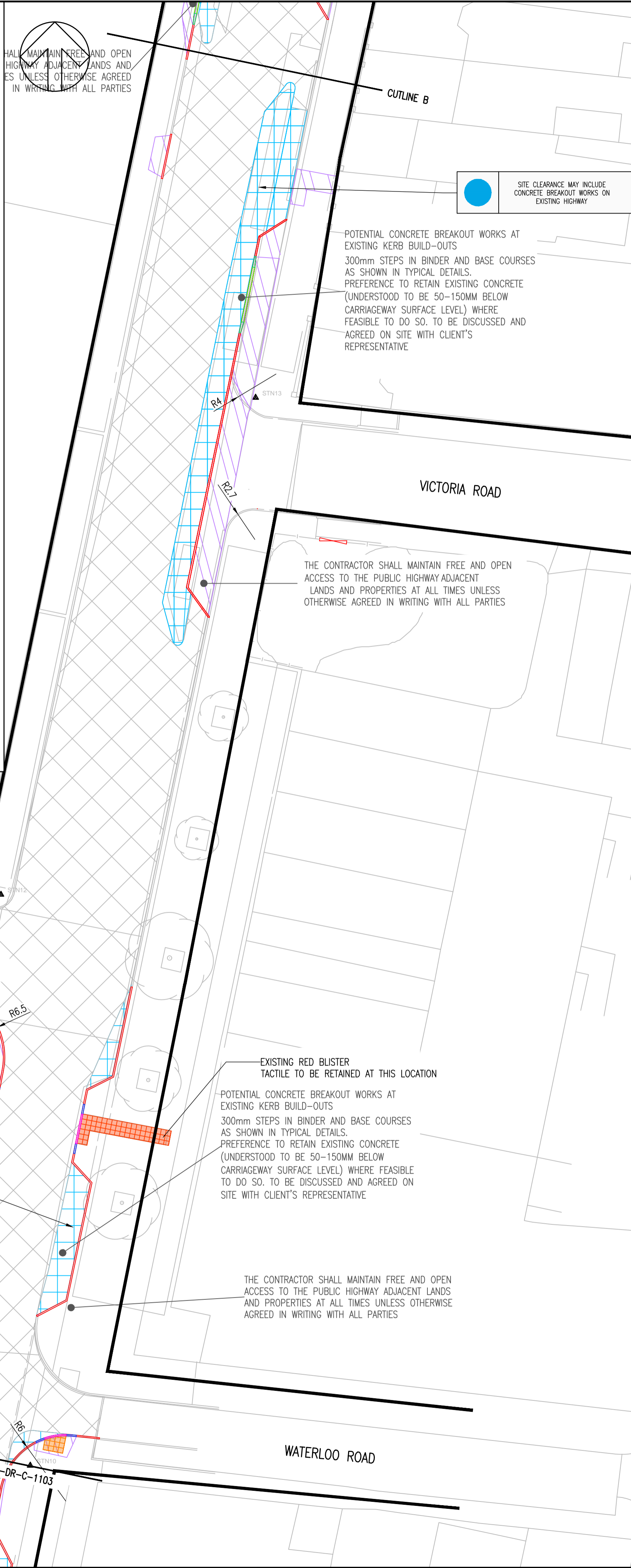
PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024

DRAWING NO:	REV:
288933-WSP-XX-XX-DR-C-1101	P04

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- NOTES**
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  - ALL DIMENSIONS ARE IN METRES UNLESS NOTED OTHERWISE.
  - THE ORIGINAL OF THIS DRAWING WAS PRODUCED IN COLOUR - A MONOCHROME COPY CANNOT BE RELIED ON.
  - INFORMATION REGARDING THE LOCATION AND DEPTH OF EXISTING SERVICES CANNOT BE GUARANTEED BY THE STATUTORY UNDERTAKER AND SHOULD BE INVESTIGATED. THE CONTRACTOR SHALL ESTABLISH THE PRECISE LINE AND DEPTH OF ALL EXISTING UTILITIES PRIOR TO COMMENCING ANY EXCAVATION WORK.
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DR	16/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

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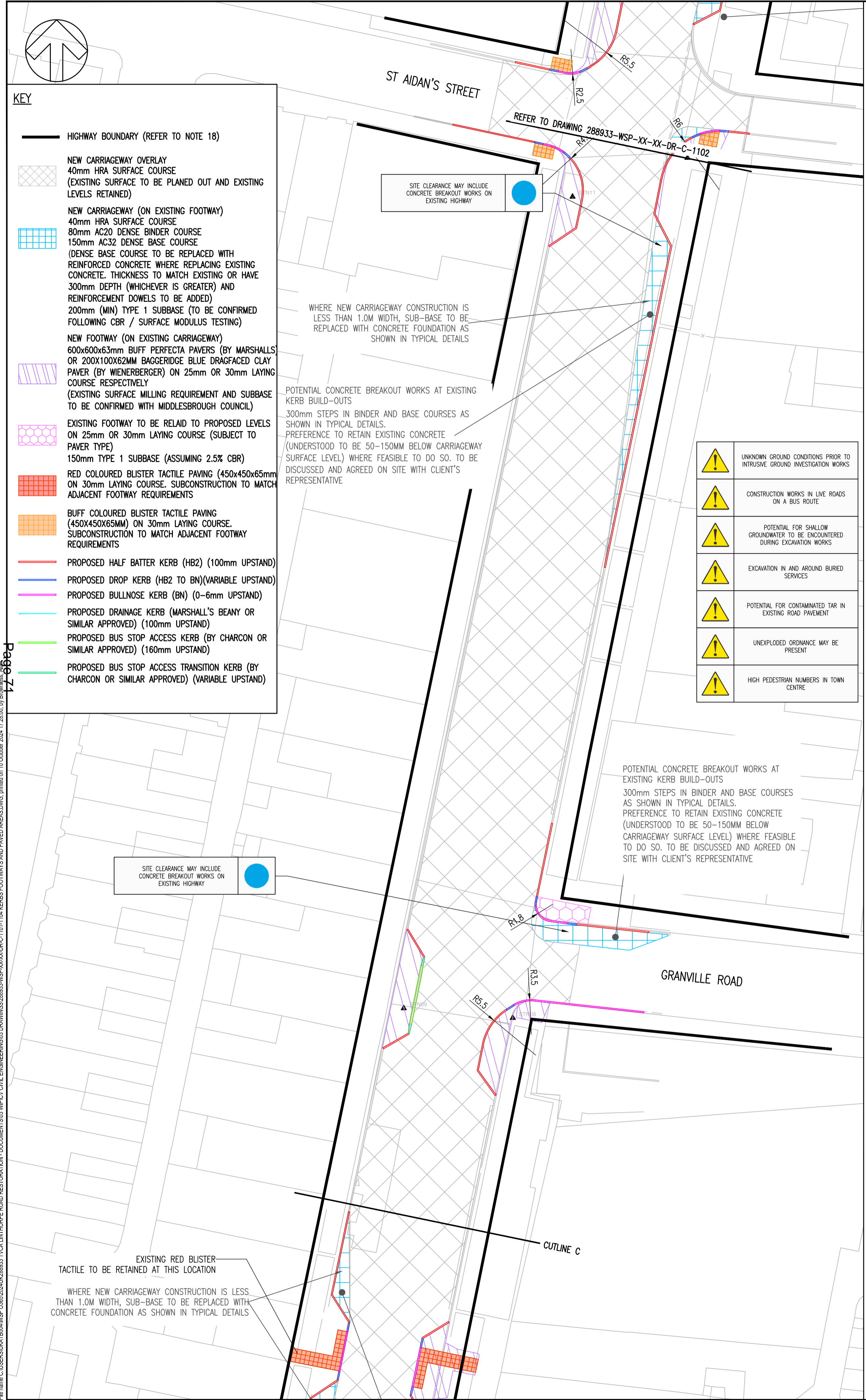
SITE PROJECT: LINTHORPE ROAD RESTORATION

TITLE: KERBS, FOOTWAYS AND PAVED AREAS (SHEET 2 OF 4)

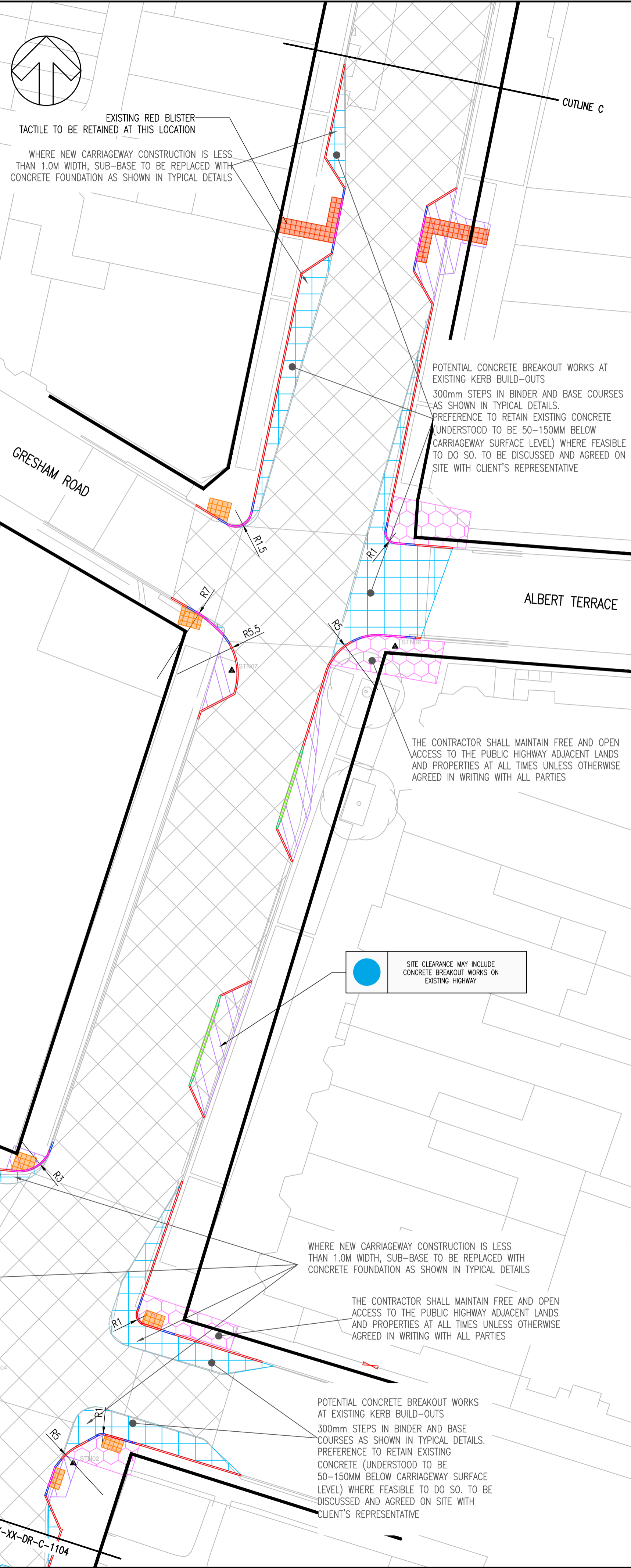
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PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
DRAWING NO:	288933-WSP-XX-XX-DR-C-1102	DATE:	JULY 2024	REV:	P04

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File name: C:\Users\WATBOW\OneDrive\Documents\WSP\UK\Engineering\Drawings\288933-WSP-XX-XX-DR-C-1101-1104-KERBS FOOTWAYS AND PAVED AREAS.DWG, printed on 10 October 2024 at 12:22:28, by: WATBOW, Alan



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 -288933-WSP-XX-XX-DR-C-0101-0104  
 -288933-WSP-XX-XX-DR-C-1101-1104  
 -288933-WSP-XX-XX-DR-C-0201-0204  
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**DO NOT SCALE**

**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 18)
- NEW CARRIAGEWAY OVERLAY  
40mm HRA SURFACE COURSE  
(EXISTING SURFACE TO BE PLANNED OUT AND EXISTING LEVELS RETAINED)
- NEW CARRIAGEWAY (ON EXISTING FOOTWAY)  
40mm HRA SURFACE COURSE  
80mm AC20 DENSE BINDER COURSE  
150mm AC32 DENSE BASE COURSE  
(DENSE BASE COURSE TO BE REPLACED WITH REINFORCED CONCRETE WHERE REPLACING EXISTING CONCRETE. THICKNESS TO MATCH EXISTING OR HAVE 300mm DEPTH (WHICHEVER IS GREATER) AND REINFORCEMENT DOWNELS TO BE ADDED)  
200mm (MIN) TYPE 1 SUBBASE (TO BE CONFIRMED FOLLOWING CBR / SURFACE MODULUS TESTING)
- NEW FOOTWAY (ON EXISTING CARRIAGEWAY)  
600x600x63mm BUFF PERFECTA PAVERS (BY MARSHALLS OR 200X100X62MM BAGGERIDGE BLUE DRAGFACED CLAY PAVEMENT (BY WIENERBERGER) ON 25mm OR 30mm LAYING COURSE RESPECTIVELY  
(EXISTING SURFACE MILLING REQUIREMENT AND SUBBASE TO BE CONFIRMED WITH MIDDLESBROUGH COUNCIL)
- EXISTING FOOTWAY TO BE RELAID TO PROPOSED LEVELS ON 25mm OR 30mm LAYING COURSE (SUBJECT TO PAVEMENT TYPE)  
150mm TYPE 1 SUBBASE (ASSUMING 2.5% CBR)
- RED COLOURED BLISTER TACTILE PAVING (450x450x65mm) ON 30mm LAYING COURSE. SUBCONSTRUCTION TO MATCH ADJACENT FOOTWAY REQUIREMENTS
- BUFF COLOURED BLISTER TACTILE PAVING (450x450x65mm) ON 30mm LAYING COURSE. SUBCONSTRUCTION TO MATCH ADJACENT FOOTWAY REQUIREMENTS
- PROPOSED HALF BATTER KERB (HB2) (100mm UPSTAND)
- PROPOSED DROP KERB (HB2 TO BN)(VARIABLE UPSTAND)
- PROPOSED BULLNOSE KERB (BN) (0-6mm UPSTAND)
- PROPOSED DRAINAGE KERB (MARSHALL'S BEANY OR SIMILAR APPROVED) (100mm UPSTAND)
- PROPOSED BUS STOP ACCESS KERB (BY CHARCON OR SIMILAR APPROVED) (160mm UPSTAND)
- PROPOSED BUS STOP ACCESS TRANSITION KERB (BY CHARCON OR SIMILAR APPROVED) (VARIABLE UPSTAND)

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DRAWING STATUS: **S2 - FOR INFORMATION**

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CLIENT: **TEES VALLEY**

SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

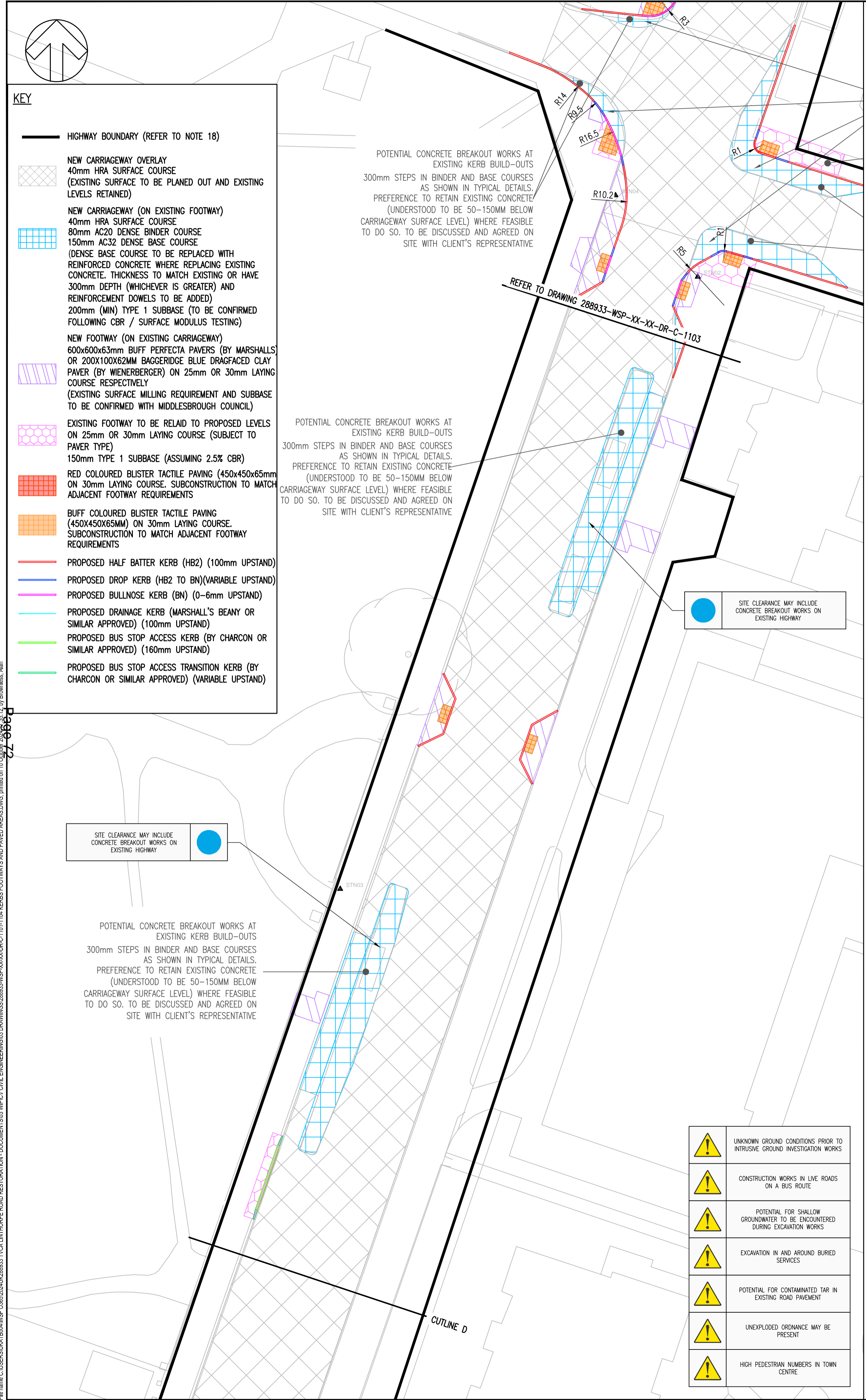
TITLE: **KERBS, FOOTWAYS AND PAVED AREAS (SHEET 3 OF 4)**

SCALE @ A1:	CHECKED:	APPROVED:
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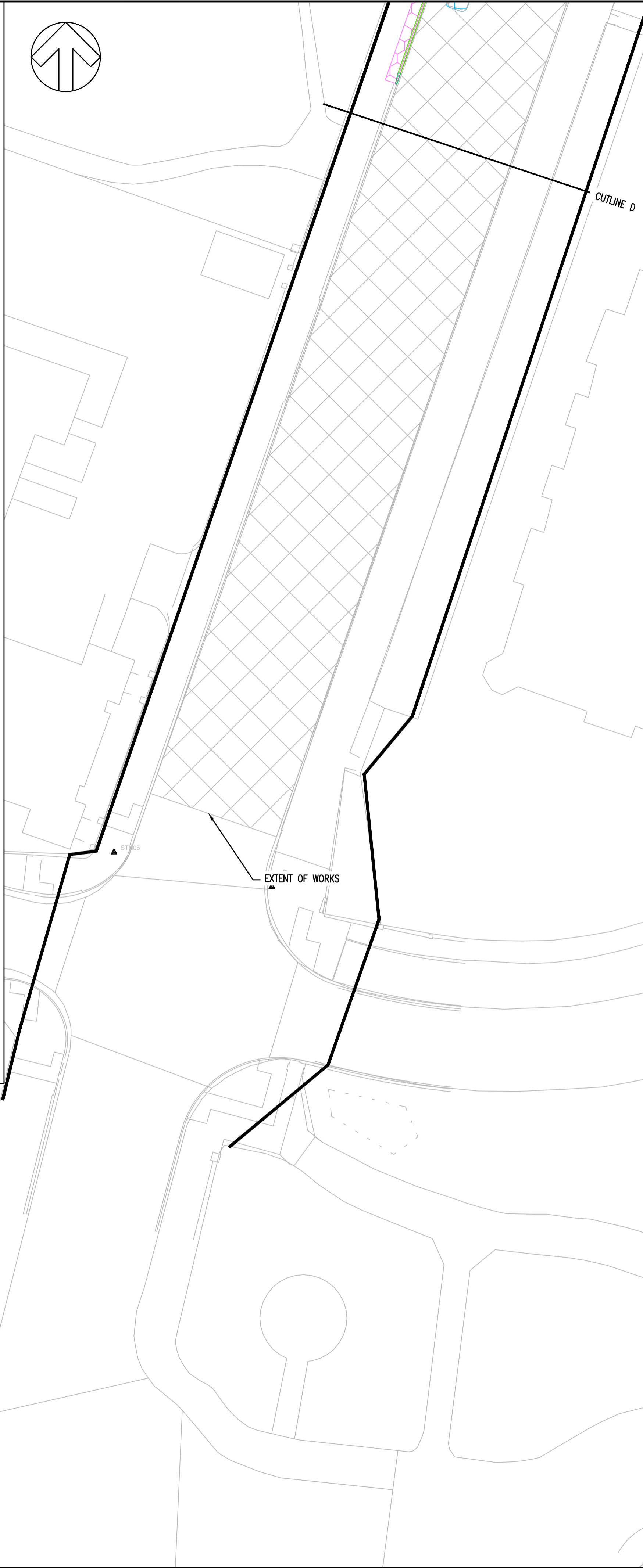
PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024

DRAWING NO:	REV:
288933-WSP-XX-XX-DR-C-1103	P04

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wsp.com

CLIENT:

SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

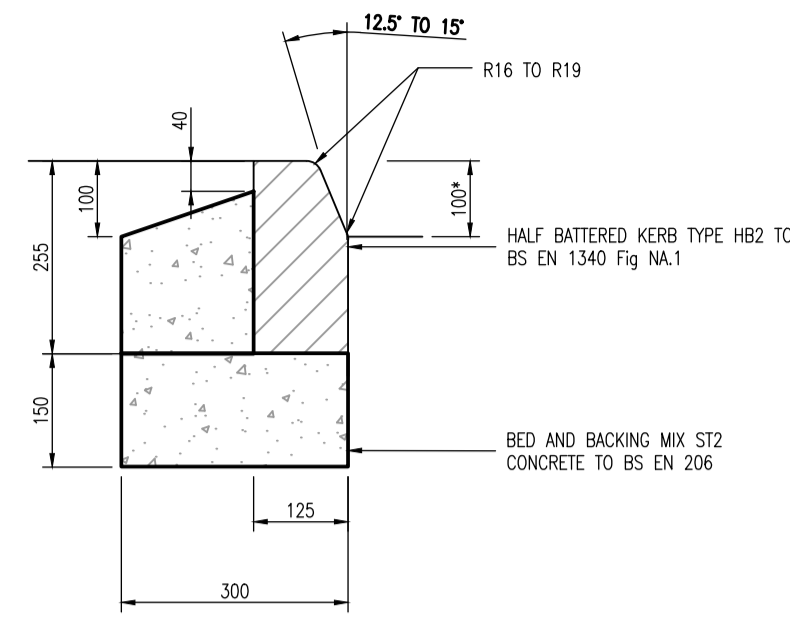
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PROJECT NO: 2024UK293315	DESIGNED: NR	DRAWN: NR
		DATE: JULY 2024
DRAWING NO: 288933-WSP-XX-XX-DR-C-1104		REV: P04

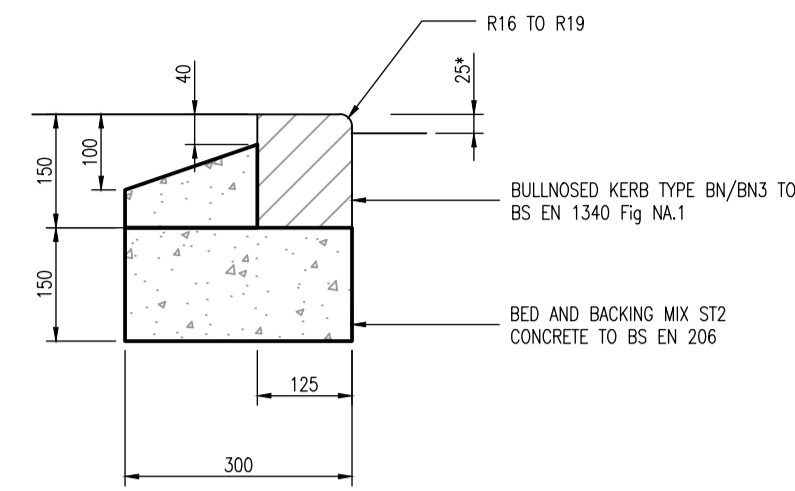
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- |  |   |
|--|---|
|  | UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS     |
|  | CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE                             |
|  | POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS |
|  | EXCAVATION IN AND AROUND BURIED SERVICES                                    |
|  | POTENTIAL FOR CONTAMINATED TAR IN EXISTING ROAD PAVEMENT                    |
|  | UNEXPLODED ORDNANCE MAY BE PRESENT  |
|  | HIGH PEDESTRIAN NUMBERS IN TOWN CENTRE                                      |

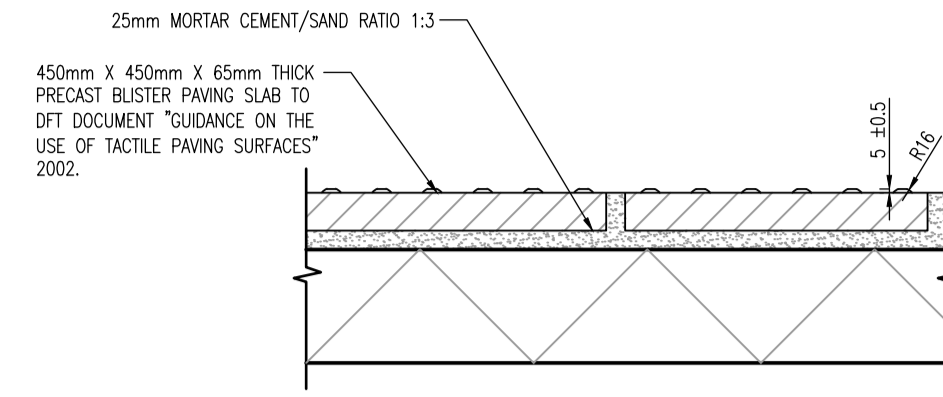




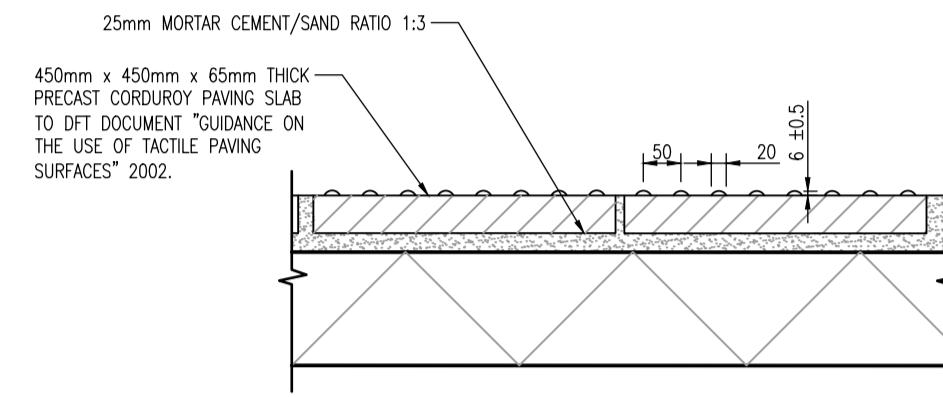
**HB2 TYPE KERB**  
1:10 SCALE  
(\*UPSTAND HEIGHT IS SUBJECT TO CHANGE)



**BN3 TYPE KERB**  
1:10 SCALE  
(\*UPSTAND HEIGHT IS SUBJECT TO CHANGE)

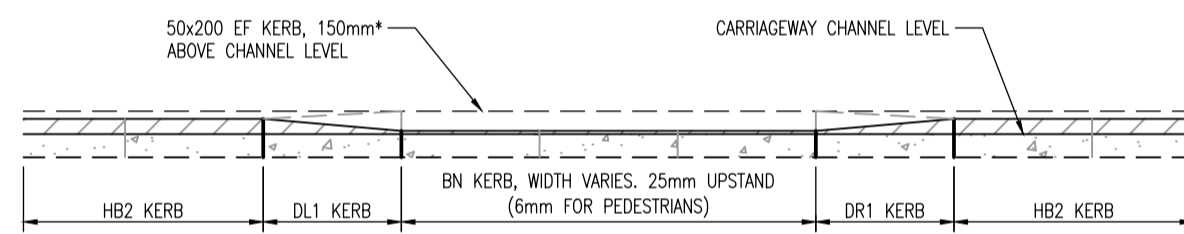


**TACTILE PAVING - BLISTER SLAB UNITS**  
1:10 SCALE

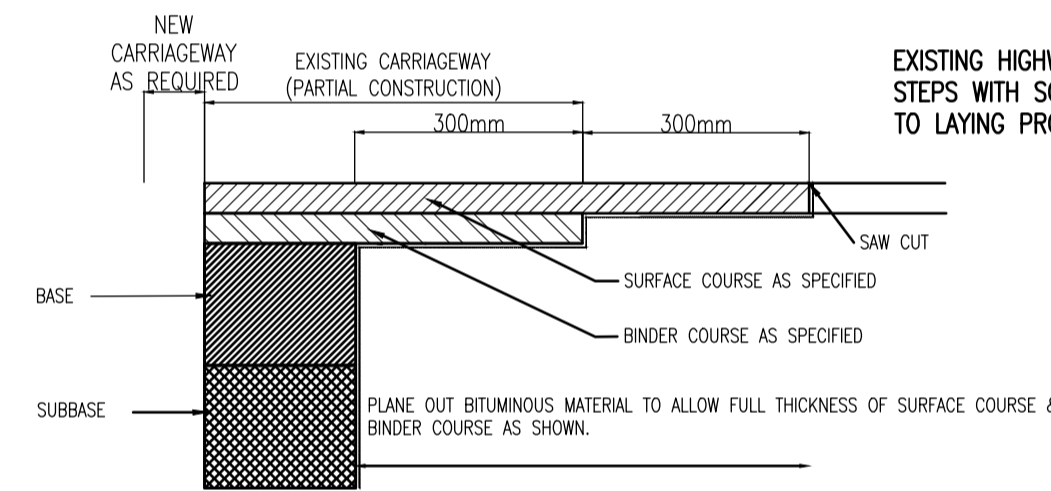


**TACTILE PAVING - CORDUROY SLAB UNITS (HAZARD WARNING)**  
1:10 SCALE

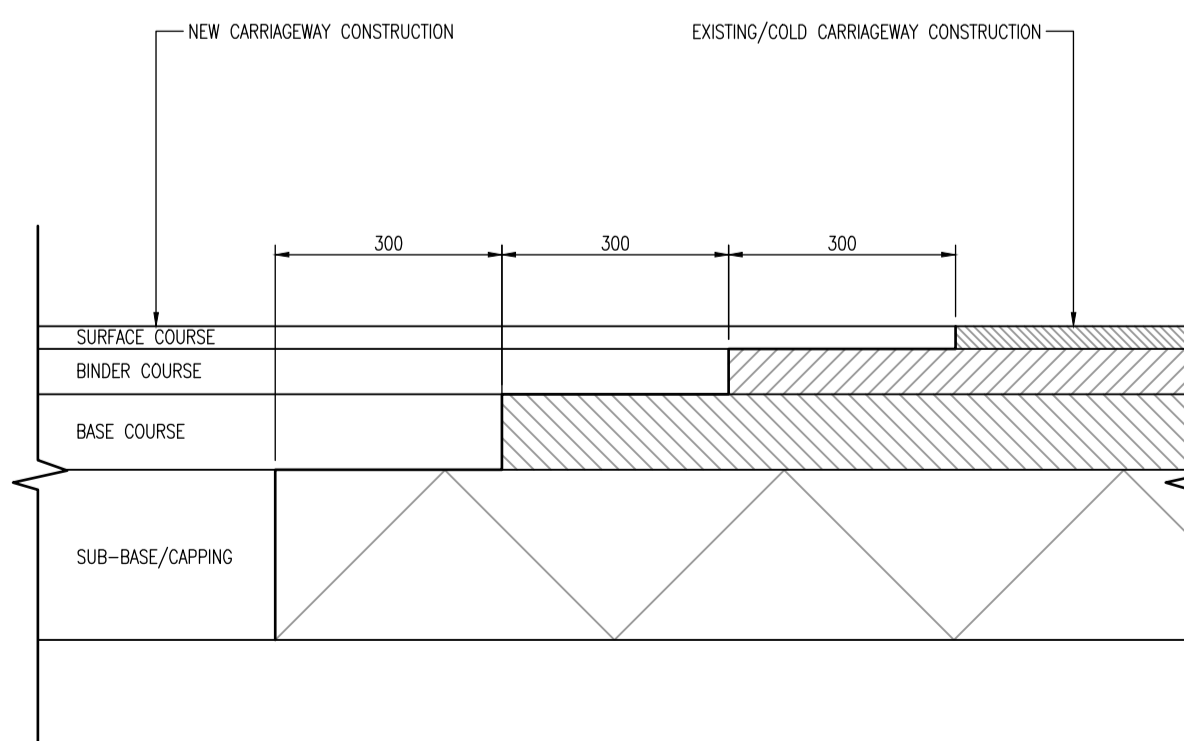
PRIOR TO LAYING SUBSEQUENT LAYERS OF BITUMINOUS MATERIAL THE SURFACE SHALL BE THOROUGHLY CLEANED AND A TACK COAT OF BITUMEN EMULSION CLASS K1-40 TO BS434 SHALL BE APPLIED AT A RATE OF 0.4 TO 0.6 LITRES PER SQUARE METRE TO ANY BITUMINOUS SURFACE THAT HAS BEEN LEFT UNCOVERED FOR MORE THEN THREE DAYS



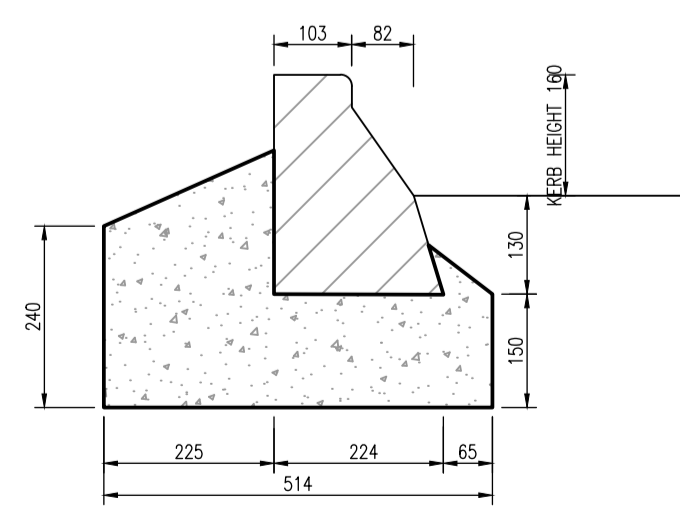
**ELEVATION TYPICAL DROP KERB ARRANGEMENT**  
1:50 SCALE  
(\*DIMENSIONS TO BE ADJUSTED TO SUIT SITE LAYOUT/DESIGN. REFER TO EXTERNAL WORKS DESIGN LAYOUTS AND SPECIFICATION)



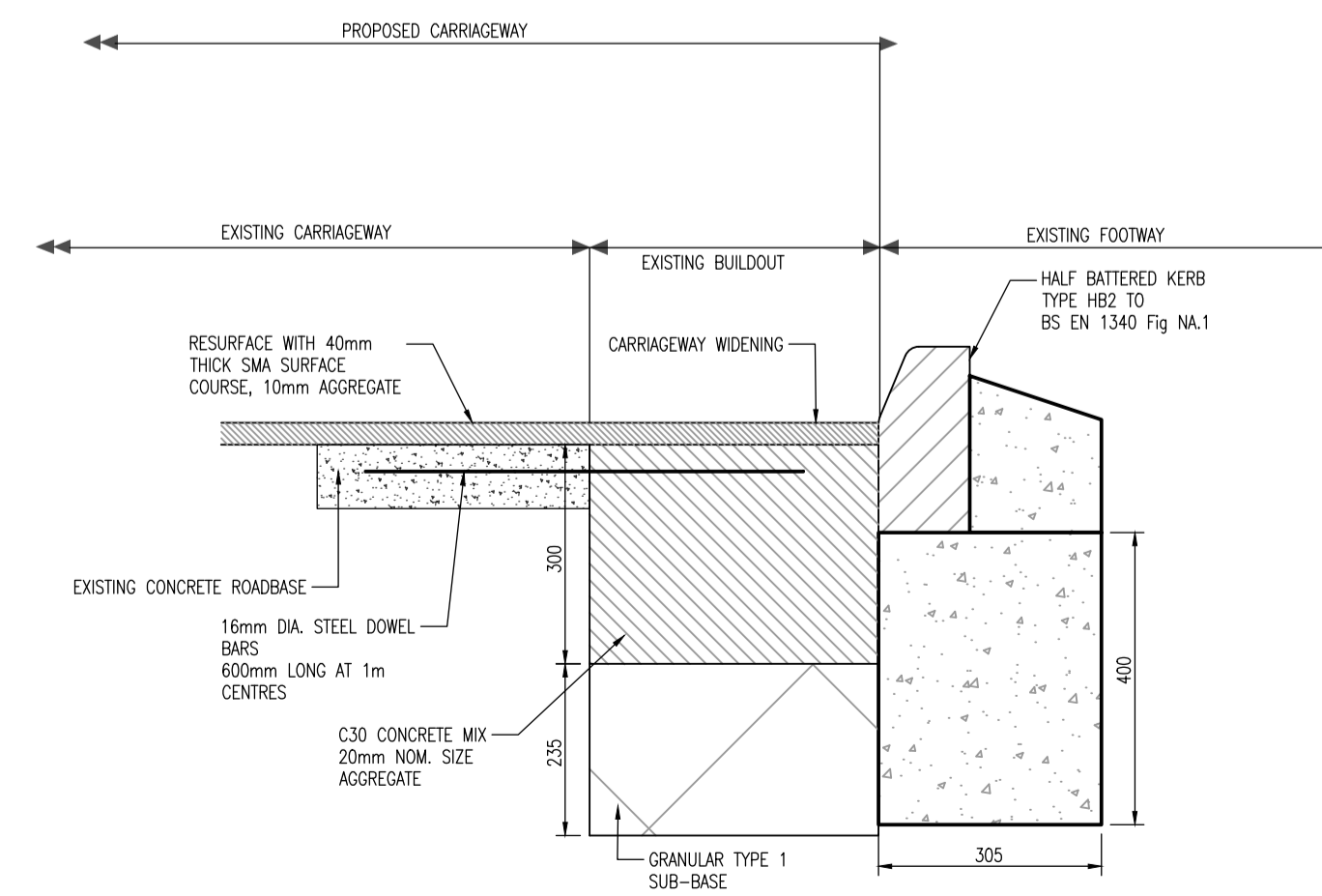
**ROAD PAVEMENT TIE-IN CONSTRUCTION**  
NARROW WIDTHS  
(SCALE 1:10)



**LONGITUDINAL CARRIAGEWAY JOINT**  
1:10 SCALE  
VERTICAL FACES OF COLD BITUMINOUS MATERIALS TO BE PAINTED WITH HOT BITUMINOUS BINDER OF NOT LESS THAN 40/60 PEN. ALL HORIZONTAL OR INCLINED EXISTING SURFACES TO ACCEPT BITUMINOUS MATERIALS TO BE PREPARED WITH A BOND COAT IN ACCORDANCE WITH BS 594987



**160MM ACCESS KERB BY CHARCON**  
STANDARD PROFILE WITHOUT MARKER BUMP  
(SIDE VIEW)  
1:10 SCALE



**TYPICAL CROSS SECTION**  
1:10 SCALE

**NOTES**

- THIS DRAWING SHOULD BE READ IN CONJUNCTION WITH ALL RELATED DOCUMENTATION AND DRAWINGS.
- ALL DIMENSIONS ARE IN MILLIMETRES UNLESS STATED OTHERWISE.
- THE WORKS SHALL BE CARRIED OUT IN ACCORDANCE WITH THE DFT MCHW, DMRB AND MIDDLESBROUGH COUNCIL REQUIREMENTS.
- REFER TO THE KERBS, FOOTWAYS AND PAVED AREAS DRAWINGS FOR SITE SPECIFIC DETAILS OF KERBING AND SURFACING
- KERBS TO BE BUTT JOINTED. WHERE KERB ALIGNMENTS INCUR MINOR OPEN JOINT TAPERS IN EXCESS OF 5mm BETWEEN FORMED SURFACES, MORTAR JOINTING SHALL BE USED.
- FULL LENGTH PCC KERBS ARE TO BE MECHANICALLY HANDLED.
- ALL PRECAST KERBS, CHANNELS AND EDGINGS SHALL BE TO BS EN 1340 AND LAID TO BS 7533-6 AND ALL SETTS OF NATURAL STONE SHALL BE TO BS EN 1342 AND LAID TO BS 7533-7.
- ALL KERBS, CHANNELS AND EDGINGS BED & BACKING SHALL BE ST2 CONCRETE WELL COMPACTED. UNLESS OTHERWISE STATED, THIS SHALL BE A MINIMUM BED THICKNESS OF 150mm FOR KERBS AND CHANNELS, 100mm FOR EDGINGS.
- THE MINIMUM CUT OF ANY LENGTH OF KERB SHALL BE 450mm.
- THE CORRECT TRANSITION SHALL BE USED FOR ALL DROP KERBS AND UPSTAND VARIATION LOCATIONS.
- KERBS SHALL BE LAID ON BEDDING WHILST CONCRETE IS STILL "GREEN", WHERE THE BEDDING CONCRETE HAS CURED PRIOR TO INSTALLING THE FINISHED KERBING, 20mm NOMINAL THICKNESS CEMENT MORTAR BED DESIGNATION (f) SHALL BE USED. N.B. THE MINIMUM BEDDING THICKNESS OF 150mm SHALL BE MAINTAINED.

**DO NOT SCALE**

- TACTILE PAVING SHALL BE COLOURED RED AT CONTROLLED CROSSING POINTS AND BUFF AT UNCONTROLLED CROSSINGS.
- MORTAR FOR TACTILE PAVING BE AS PER THAT SPECIFIED FOR BLOCK PAVING. CHLORIDE ION CONTENT OF MORTAR SHALL BE IN ACCORDANCE WITH BS EN 1744-1 AND SHALL NOT EXCEED 0.3% MASS OF CEMENT (0.2% FOR SULPHATE RESISTANT CEMENT. CALCIUM CHLORIDE IS NOT ACCEPTABLE.
- NO FROST-SUSCEPTIBLE MATERIALS TO BE USED WITHIN 450mm OF THE FINISHED SURFACE UNLESS EXPRESSLY REQUIRED BY THE ENGINEER.
- WHERE THE TRIMMING OF BLOCKS IS NECESSARY, PORTIONS OF LESS THAN ONE THIRD OF AN ENTIRE BLOCK SHALL NOT BE LAID. INSTEAD THE PATTERN SHOULD BE ALTERED TO ENABLE LARGER PIECES OF BLOCK TO BE USED.
- IF THE DEPTH OF AN ACCESS COVER FRAME PROHIBITS BLOCKS FROM BEING LAID UP CLOSE TO THE FRAME IT SHOULD BE SURROUNDED IN CONCRETE GRADE ST2 UP TO FINISHED GROUND LEVEL.
- JOINTING MATERIAL SHALL BE 0.5mm DRIED FREE FLOWING SILICA TO BS 7533-3 TABLE D.4. JOINT FILLING SHALL TAKE PLACE IMMEDIATELY AFTER THE BLOCK PAVERS HAVE BEEN COMPACTED INTO THE LAYING COURSE, AND COMPLETED WITH A FINAL COMPACTION OF THE FINISHED SURFACE.
- ASPHALTIC CONCRETE MATERIALS ARE TO BE IN ACCORDANCE WITH THE RELEVANT SECTION WITHIN BS EN 13108 PARTS 1-21, WITH ADDITIONAL GUIDANCE PROVIDED WITHIN PD 6691.
- INSTALLATION OF ASPHALTIC SURFACES TO BE IN ACCORDANCE WITH BS 594987.
- APPLICATION OF BOND COATS SHALL BE APPLIED IN COMPLIANCE WITH BS 594987 CL3.5 AND APPLIED AT A UNIFORM RATE OF SPREAD. TACK COATS SHALL NOT BE ACCEPTED, UNLESS AGREED IN ADVANCE WITH THE ENGINEER.
- COLD SURFACES OF ASPHALT AT TIE-INS TO BE CLEANED PRIOR TO APPLICATION OF BOND COAT TO ENSURE ADEQUATE COHESION OF NEW MATERIALS.
- IN THE AREAS OF NEW CARRIAGEWAY CONSTRUCTION, WHERE THE WIDTH OF CARRIAGEWAY IS LESS THAN 1.0M, CONCRETE FILL TYPE ST1 / ST2 OR OTHER SIMILAR SPECIFICATION AS APPROVED BY MIDDLESBROUGH COUNCIL TO BE USED AS A REPLACEMENT FOR TYPE 1 SUBBASE.
- CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.

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PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
PO1	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	16/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

**DRAWING STATUS:**  
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**SITE/PROJECT:**  
LINTHORPE ROAD RESTORATION

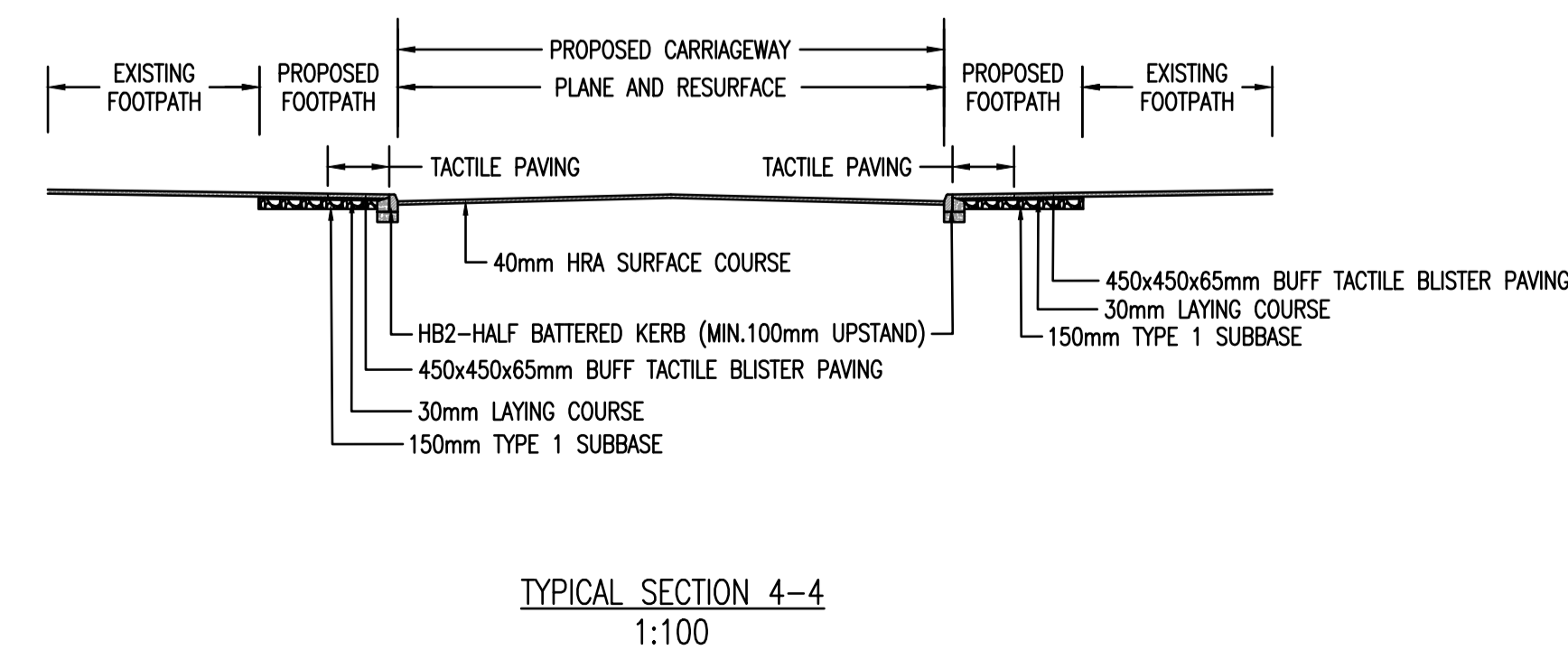
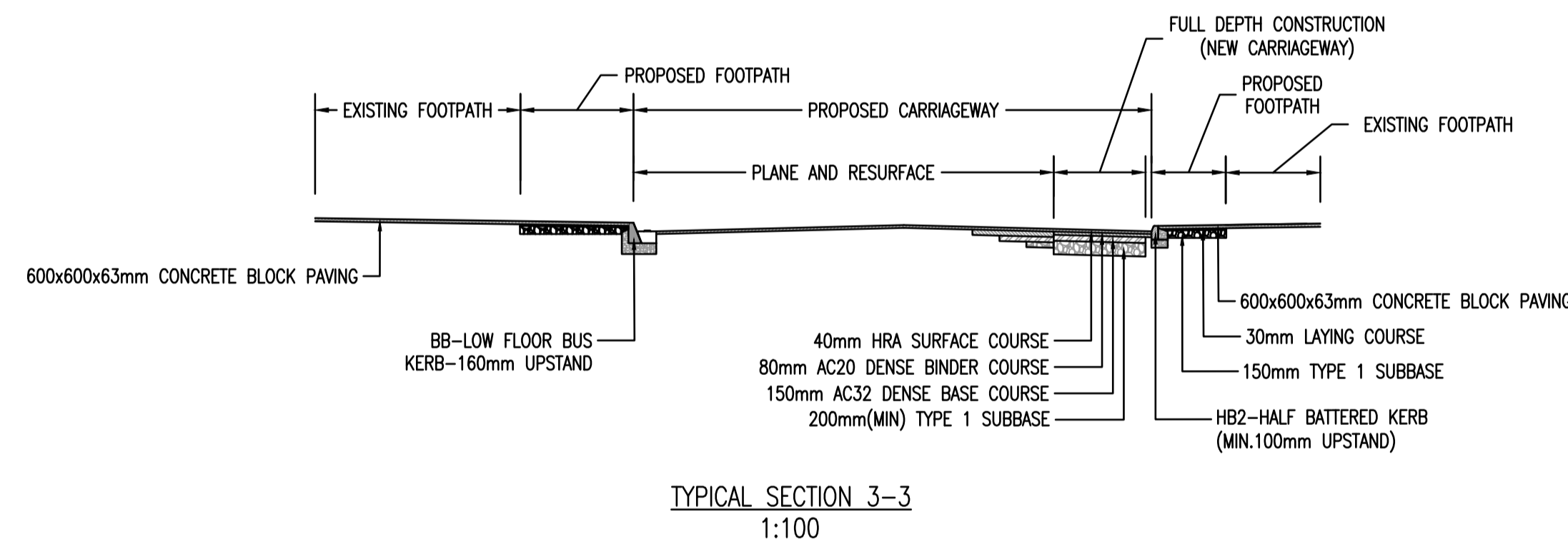
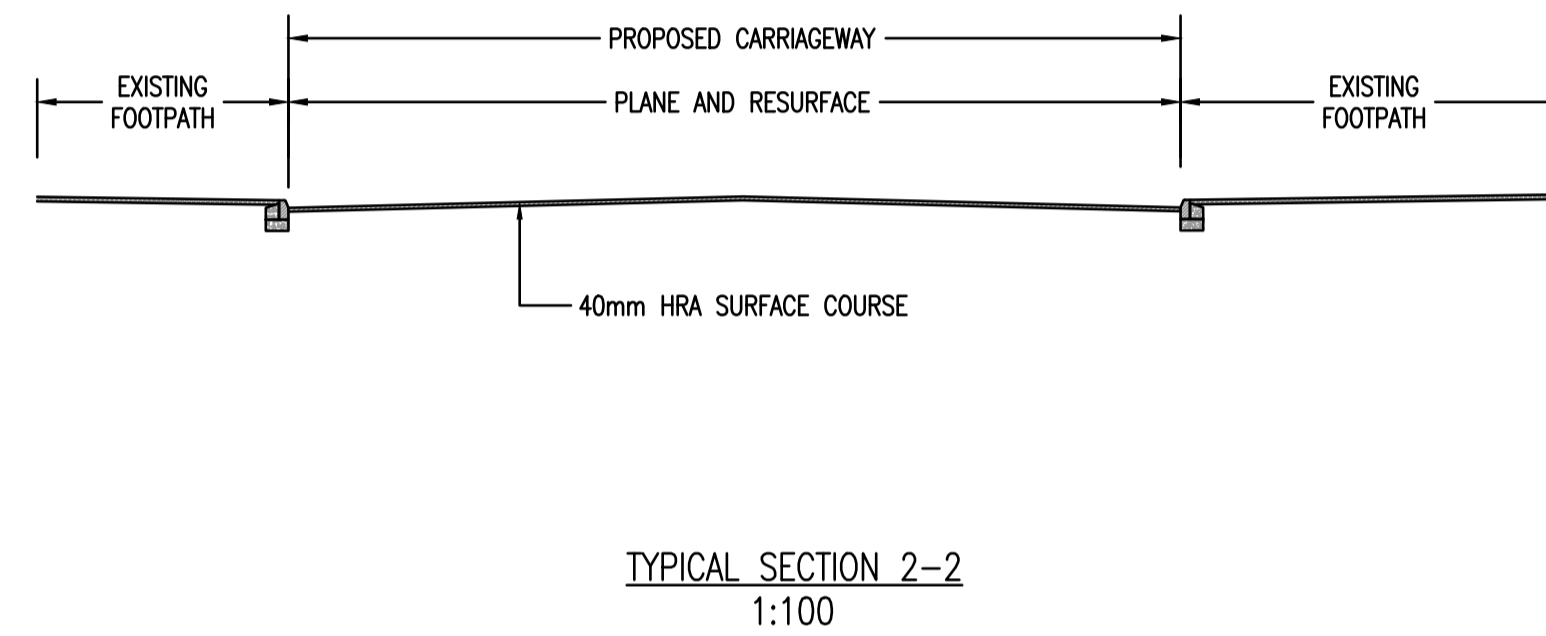
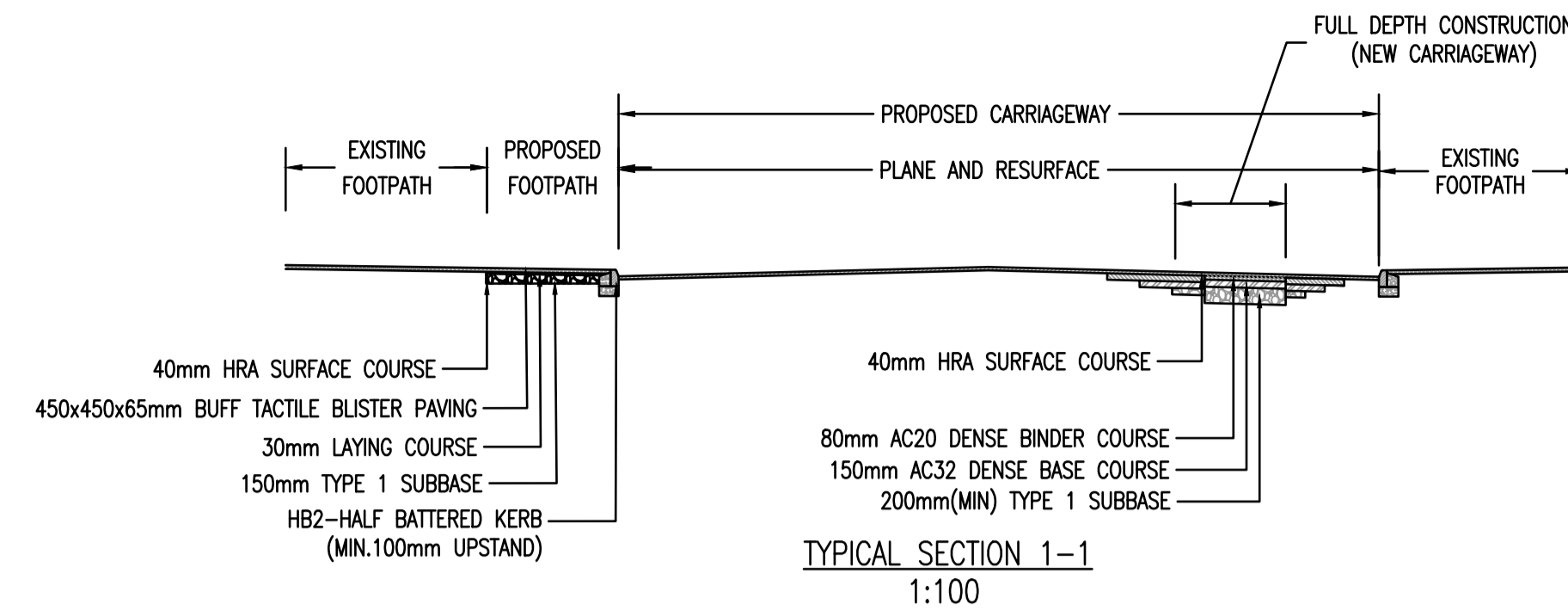
**TITLE:**  
TYPICAL HIGHWAY DETAILS

SCALE @ AT:	NTS	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
DRAWING NO:	288933-WSP-XX-XX-DR-C-1111	DATE:	JULY 2024	REV:	PO2

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NOTES

1. ALL DIMENSIONS ARE IN METRES UNLESS NOTED OTHERWISE.
2. FOR SECTION LOCATIONS, REFER DRAWING NO. 288933-WSP-XX-XX-DR-C-000101 - 000104.
3. THIS DRAWING SHOULD BE READ IN CONJUNCTION WITH ALL RELEVANT DOCUMENTATION DRAWINGS AND STANDARD DETAILS BUT WITH PARTICULAR REFERENCE TO THE FOLLOWING 288933-WSP-XX-XX-DR-C-1101.



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PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
PO1	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	10/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS: S2 - FOR INFORMATION

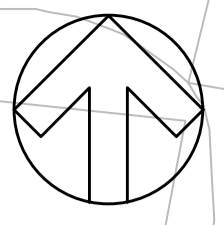
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SITE/PROJECT: LINTHORPE ROAD RESTORATION

TITLE: TYPICAL HIGHWAY SECTIONS

SCALE @ A1: AS SHOWN	CHECKED: JS	APPROVED: PWW
PROJECT NO: 2024UK293315	DESIGNED: NR	DRAWN: NR
	DATE: JULY 2024	

DRAWING NO: 288933-WSP-XX-XX-DR-C-1112	REV: P02
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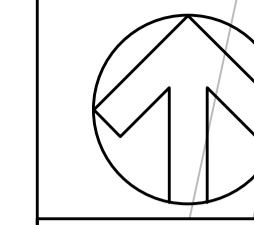
**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
- PROPOSED KERB
- PROPOSED TRAFFIC SIGN
- PROPOSED ILLUMINATED TRAFFIC SIGN
- PROPOSED WHITE LINE ROAD MARKING
- PROPOSED YELLOW LINE ROAD MARKING
- PROPOSED PARKING METER

**TSRGD DIAGRAM NUMBER**

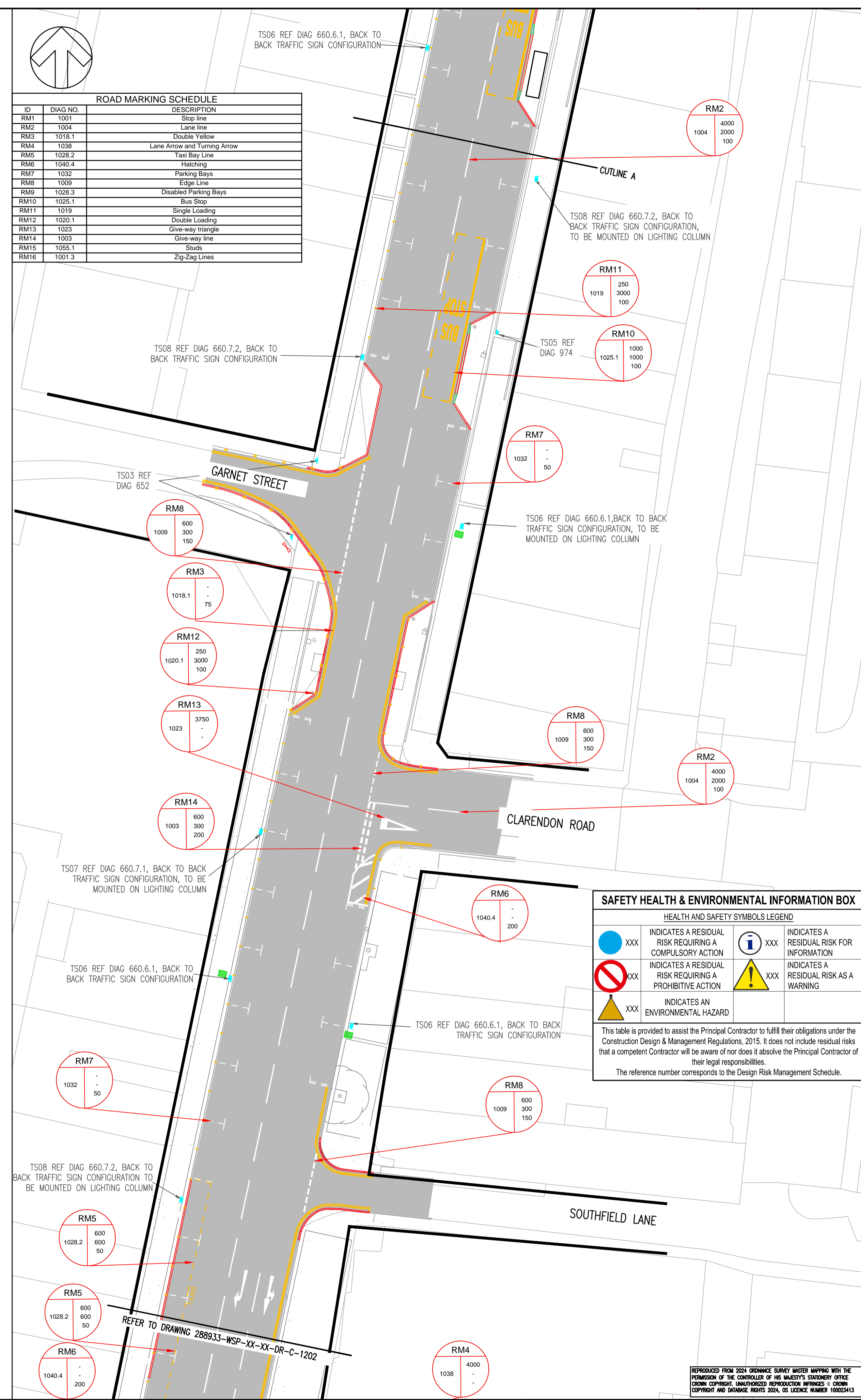
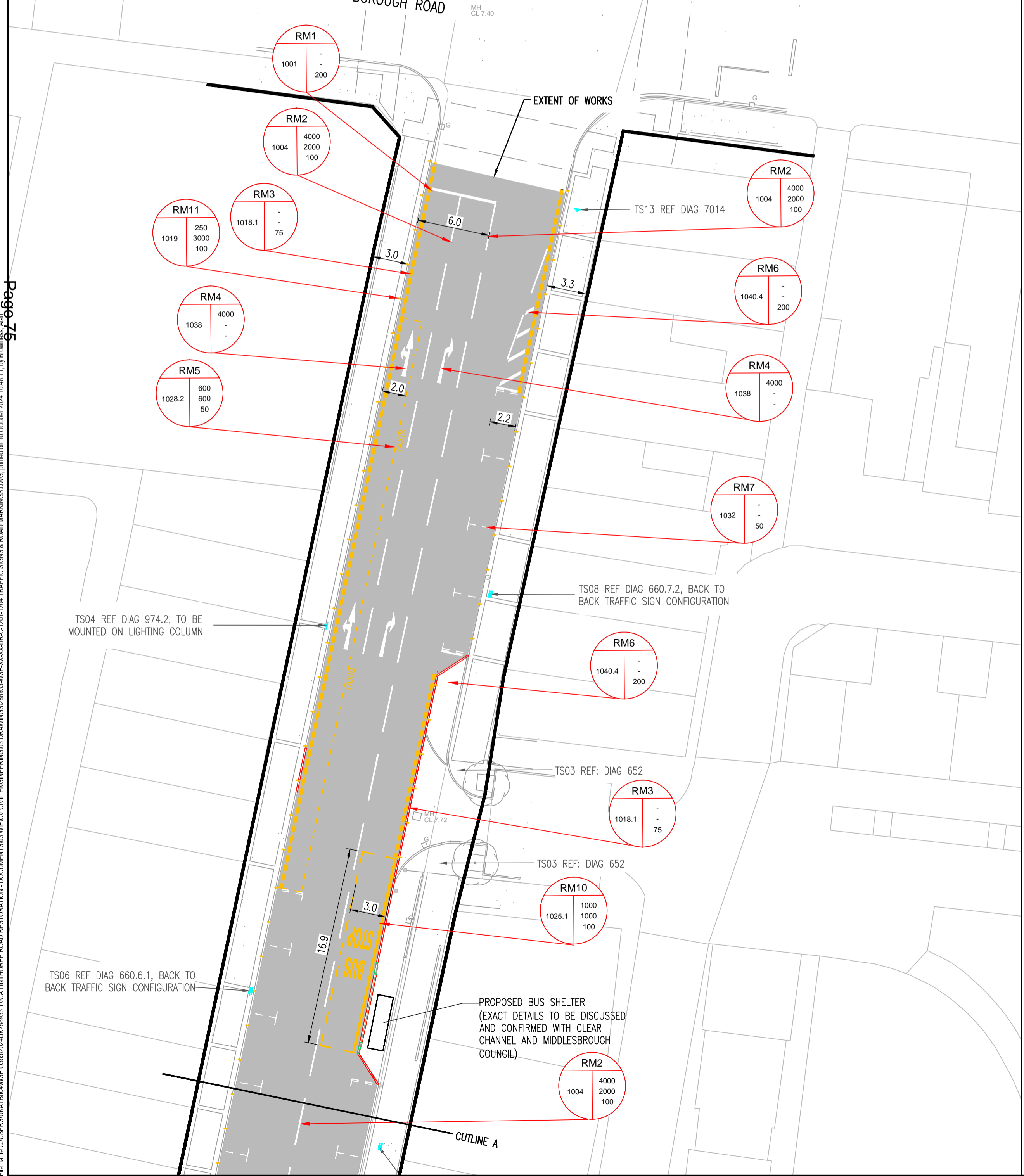
RM1	ROAD MARKING
600	MARK (mm)
300	GAP (mm)
200	WIDTH (mm)

	UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS
	CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE
	POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS
	EXCAVATION IN AND AROUND BURIED SERVICES
	POTENTIAL FOR CONTAMINATED TAR IN EXISTING ROAD PAVEMENT
	UNEXPLODED ORDNANCE MAY BE PRESENT
	HIGH PEDESTRIAN NUMBERS IN TOWN CENTRE



**ROAD MARKING SCHEDULE**

ID	DIAG NO.	DESCRIPTION
RM1	1001	Stop Line
RM2	1004	Lane Line
RM3	1018.1	Double Yellow
RM4	1038	Lane Arrow and Turning Arrow
RM5	1028.2	Taxi Bay Line
RM6	1040.4	Hatching
RM7	1032	Parking Bays
RM8	1009	Edge Line
RM9	1028.3	Disabled Parking Bays
RM10	1025.1	Bus Stop
RM11	1019	Single Loading
RM12	1020.1	Double Loading
RM13	1023	Give-way triangle
RM14	1003	Shuts
RM15	1055.1	Give-way line
RM16	1001.3	Zig-Zag Lines



**DO NOT SCALE**

- NOTES**
- THIS DRAWING SHOULD BE READ IN CONJUNCTION WITH ALL RELEVANT DOCUMENTATION DRAWINGS AND STANDARD DETAILS BUT WITH PARTICULAR REFERENCE TO THE FOLLOWING - 288933-WSP-XX-XX-DR-C-1211-1212
  - ALL DIMENSIONS ARE IN METRES UNLESS STATED OTHERWISE.
  - THE ORIGINAL OF THIS DRAWING WAS PRODUCED IN COLOUR - A MONOCHROME COPY CANNOT BE RELIED ON.
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  - THE DESIGN IS BASED ON TOPOGRAPHICAL SURVEY REFERENCE ASS 2963 BY ADH SITE SURVEYS LIMITED RECEIVED FEBRUARY 2021.
  - CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.
  - ALL TRAFFIC SIGNS AND ROAD MARKINGS CONFORM TO TRAFFIC SIGNS REGULATIONS AND GENERAL DIRECTIONS (TSRGD) 2016 AND THE TRAFFIC SIGNS MANUAL (TSM).
  - ALL PROPOSED ROAD MARKINGS ARE TO TIE INTO EXISTING AT SCHEME EXTENTS.
  - THE USE OF TRAFFIC SIGN DIAGRAM REF 7014 IS RESTRICTED TO A PERIOD OF 3 MONTHS AFTER THE COMPLETION OF THE WORKS AND A 'REMOVE BY' DATE MUST BE INCLUDED AT THE BACK OF THE SIGN CONFORMING TO TSRGD 2016.
  - ALL POST SIZES ASSUME LEVEL GROUND CONDITIONS.
  - SIGN LOCATIONS ARE SHOWN INDICATIVELY AND CAN BE ADJUSTED TO EASE BUILDABILITY / AVOID UNDERGROUND SERVICES
  - THIS DRAWING IS BASED IN A WHOLE OR IN PART ON INFORMATION AND/OR DATA APPROVED BY A THIRD PARTY INCLUDING MIDDLESBROUGH COUNCIL AND AS SUCH IN CONTINGENT UPON THE ACCURACY AND COMPLETENESS OF THAT INFORMATION AND/OR DATA. WSP UK LIMITED SHALL NOT BE LIABLE IN RELATION TO ANY INACCURACY PRESENTED WITHIN THE DRAWING AND/OR IN RELATION TO ANY DISCREPANCY OR AMBIGUITY WITH ANY OTHER PROJECT DOCUMENTS SHOULD ANY DATA AND OR INFORMATION UPON WHICH RELIANCE HAS BEEN BASED BE INCORRECT OR OUT OF DATE OR HAVE BEEN CONCEALED, WITHHELD OR BE INCOMPLETE, MISREPRESENTED OR OTHERWISE NOT FULLY DISCLOSED TO WSP UK LIMITED.

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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	12/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS: **S2 - FOR INFORMATION**

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**TEES VALLEY**

SITE PROJECT: **LINTHORPE ROAD RESTORATION**

TITLE: **TRAFFIC SIGNS AND ROAD MARKINGS (SHEET 1 OF 4)**

SCALE @ A1:	CHECKED:	APPROVED:
1:250	JS	PWW
PROJECT NO:	DESIGNED:	DRAWN:
2024UK293315	NR	NR
DATE:	JULY 2024	
DRAWING NO:	288933-WSP-XX-XX-DR-C-1201	
REV:	P04	

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NOTES

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PO4	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
PO3	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
PO1	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	12/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

S2 - FOR INFORMATION



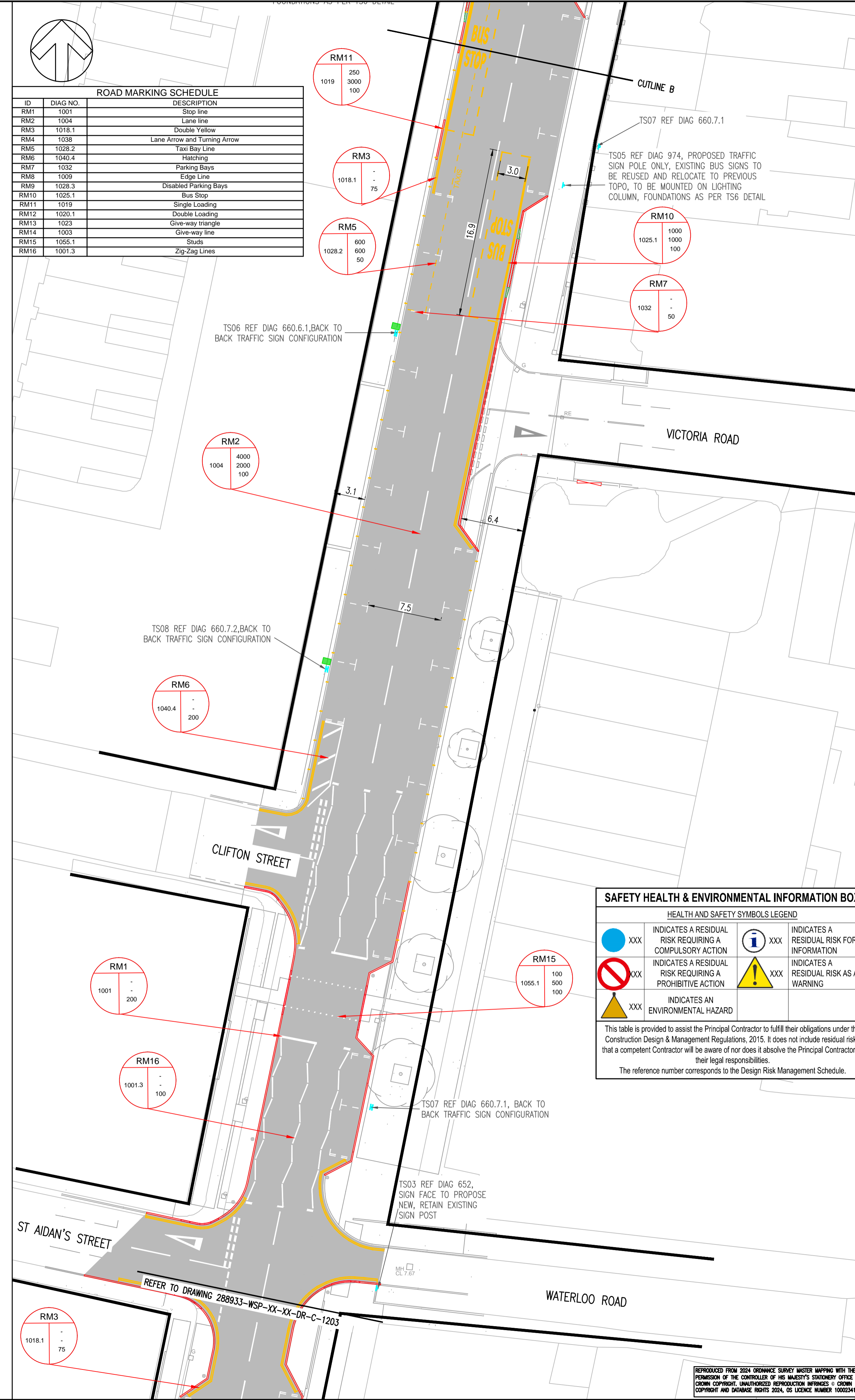
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SITE PROJECT: LINTHORPE ROAD RESTORATION

TITLE: TRAFFIC SIGNS AND ROAD MARKINGS (SHEET 2 OF 4)

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DATE:	JULY 2024
DRAWING NO:	288933-WSP-XX-XX-DR-C-1202	REV:			P04
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ID	DIAG NO.	DESCRIPTION
RM1	1001	Stop line
RM2	1004	Lane line
RM3	1018.1	Double Yellow
RM4	1038	Lane Arrow and Turning Arrow
RM5	1028.2	Taxi Bay Line
RM6	1040.4	Hatching
RM7	1032	Parking Bays
RM8	1009	Edge Line
RM9	1028.3	Disabled Parking Bays
RM10	1025.1	Bus Stop
RM11	1019	Single Loading
RM12	1020.1	Double Loading
RM13	1023	Give-way triangle
RM14	1003	Give-way line
RM15	1055.1	Studs
RM16	1001.3	Zig-Zag Lines

**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

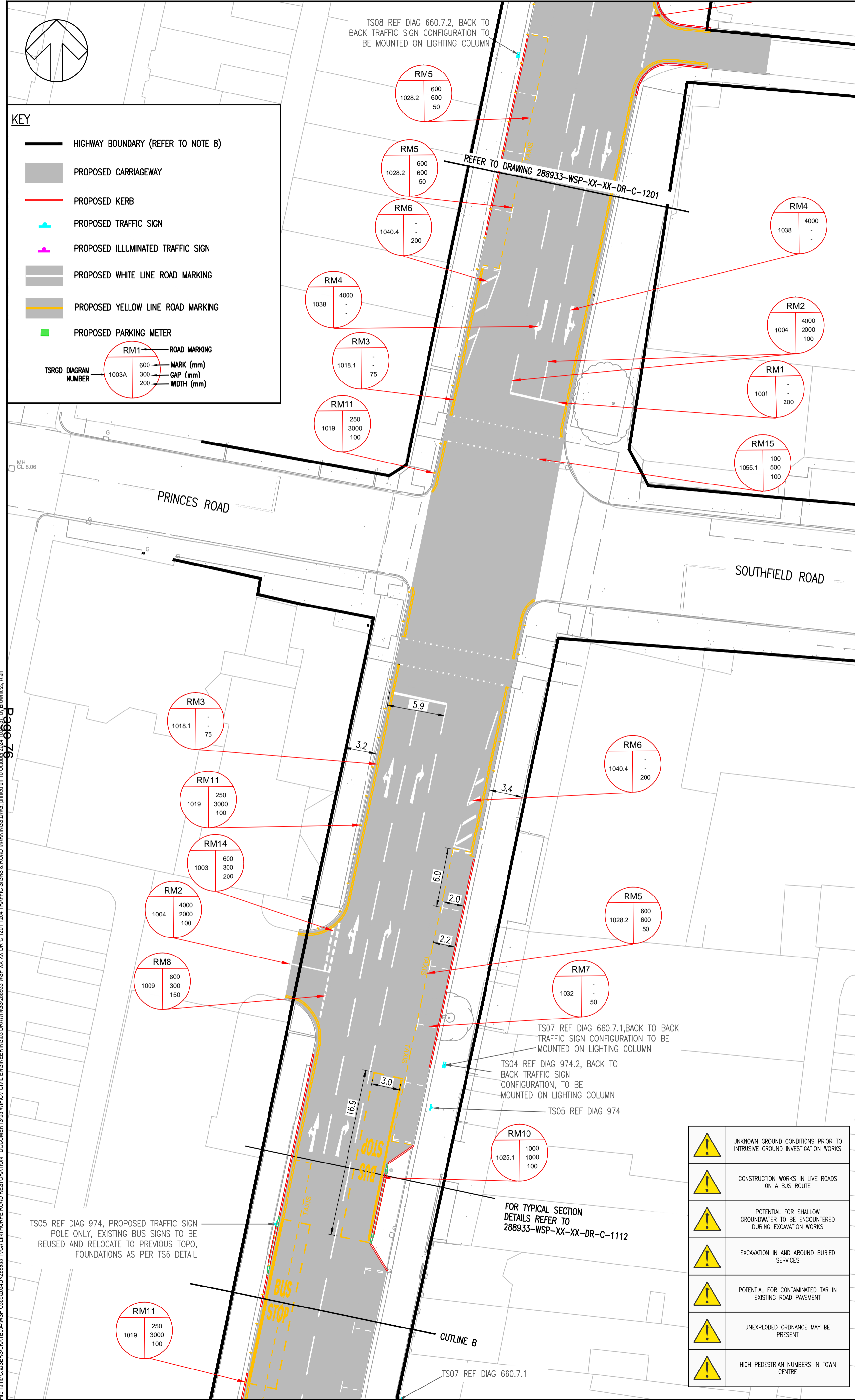
HEALTH AND SAFETY SYMBOLS LEGEND

	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION		INDICATES A RESIDUAL RISK FOR INFORMATION
	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		INDICATES A RESIDUAL RISK AS A WARNING
	INDICATES AN ENVIRONMENTAL HAZARD		

This table is provided to assist the Principal Contractor to fulfill their obligations under the Construction Design & Management Regulations, 2015. It does not include residual risks that a competent Contractor will be aware of nor does it absolve the Principal Contractor of their legal responsibilities.

The reference number corresponds to the Design Risk Management Schedule.

- UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS
- CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE
- POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS
- EXCAVATION IN AND AROUND BURIED SERVICES
- POTENTIAL FOR CONTAMINATED TAR IN EXISTING ROAD PAVEMENT
- UNEXPLODED ORDNANCE MAY BE PRESENT
- HIGH PEDESTRIAN NUMBERS IN TOWN CENTRE



**KEY**

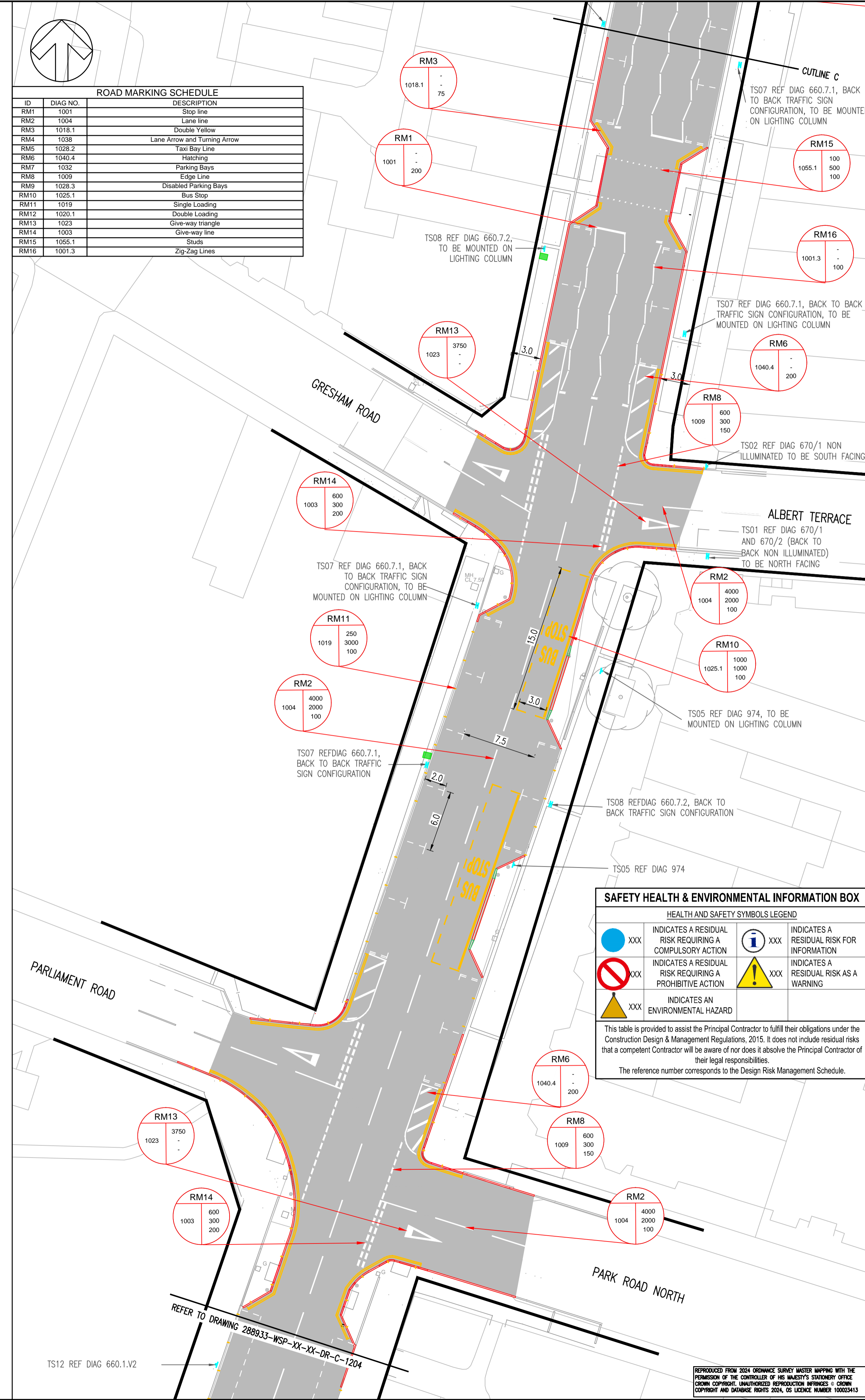
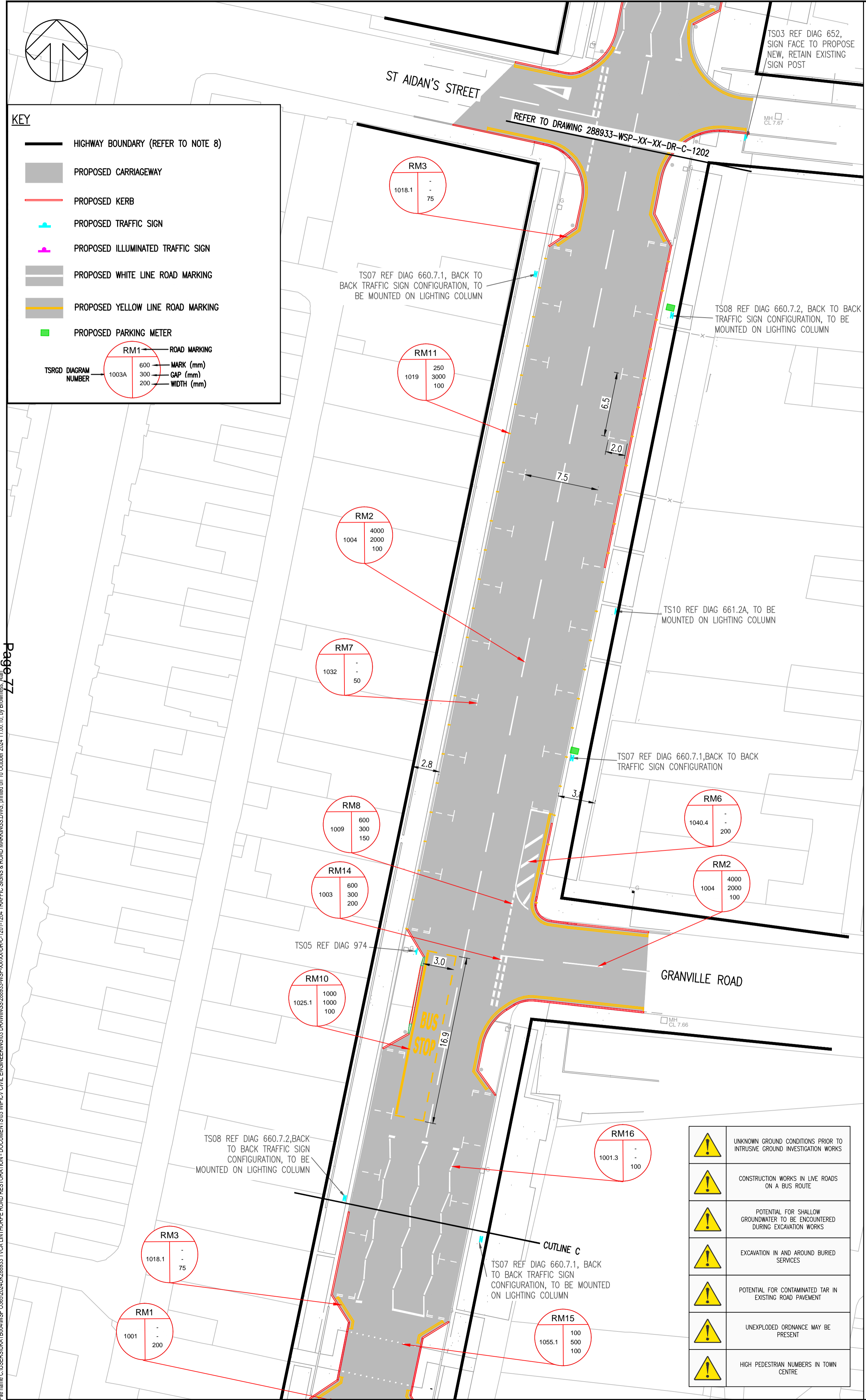
- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
- PROPOSED KERB
- PROPOSED TRAFFIC SIGN
- PROPOSED ILLUMINATED TRAFFIC SIGN
- PROPOSED WHITE LINE ROAD MARKING
- PROPOSED YELLOW LINE ROAD MARKING
- PROPOSED PARKING METER

**TSRGD DIAGRAM NUMBER**

RM1	ROAD MARKING
1003A	MARK (mm)
200	GAP (mm)
200	WIDTH (mm)

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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	12/07/24	NR	DRAFT ISSUE	JS	PWW

**S2 - FOR INFORMATION**

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SITE PROJECT: **LINTHORPE ROAD RESTORATION**

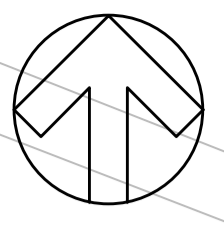
TITLE: **TRAFFIC SIGNS AND ROAD MARKINGS (SHEET 3 OF 4)**

SCALE @ A1:	CHECKED:	APPROVED:
1:250	JS	PWW

PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024

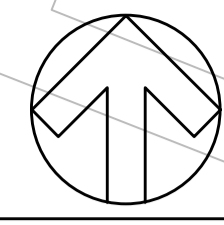
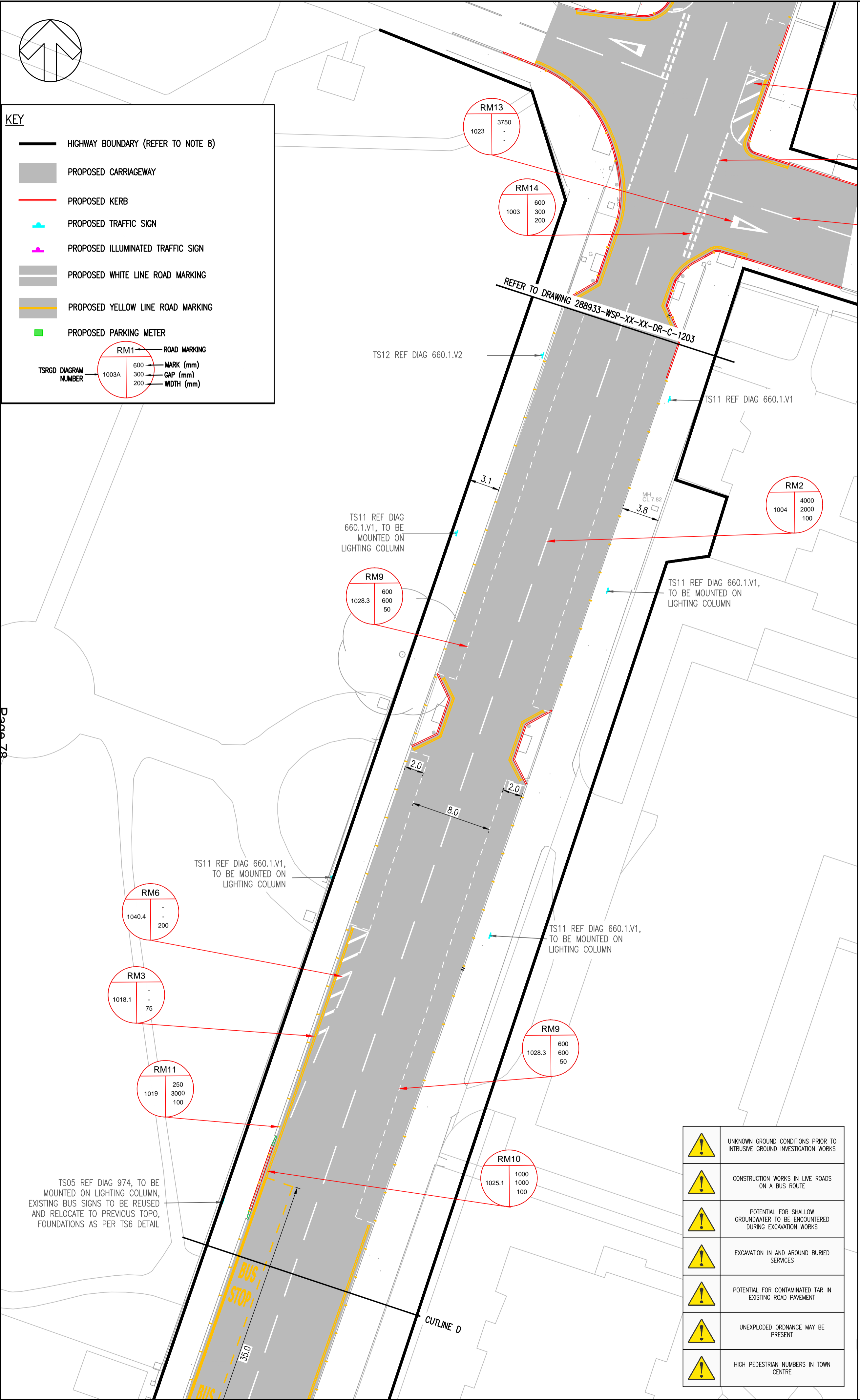
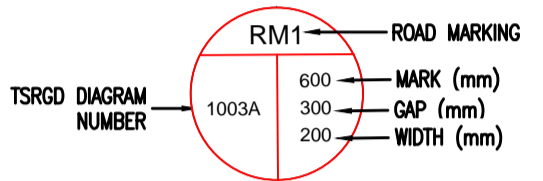
DRAWING NO:	REV:
288933-WSP-XX-XX-DR-C-1203	P04

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KEY

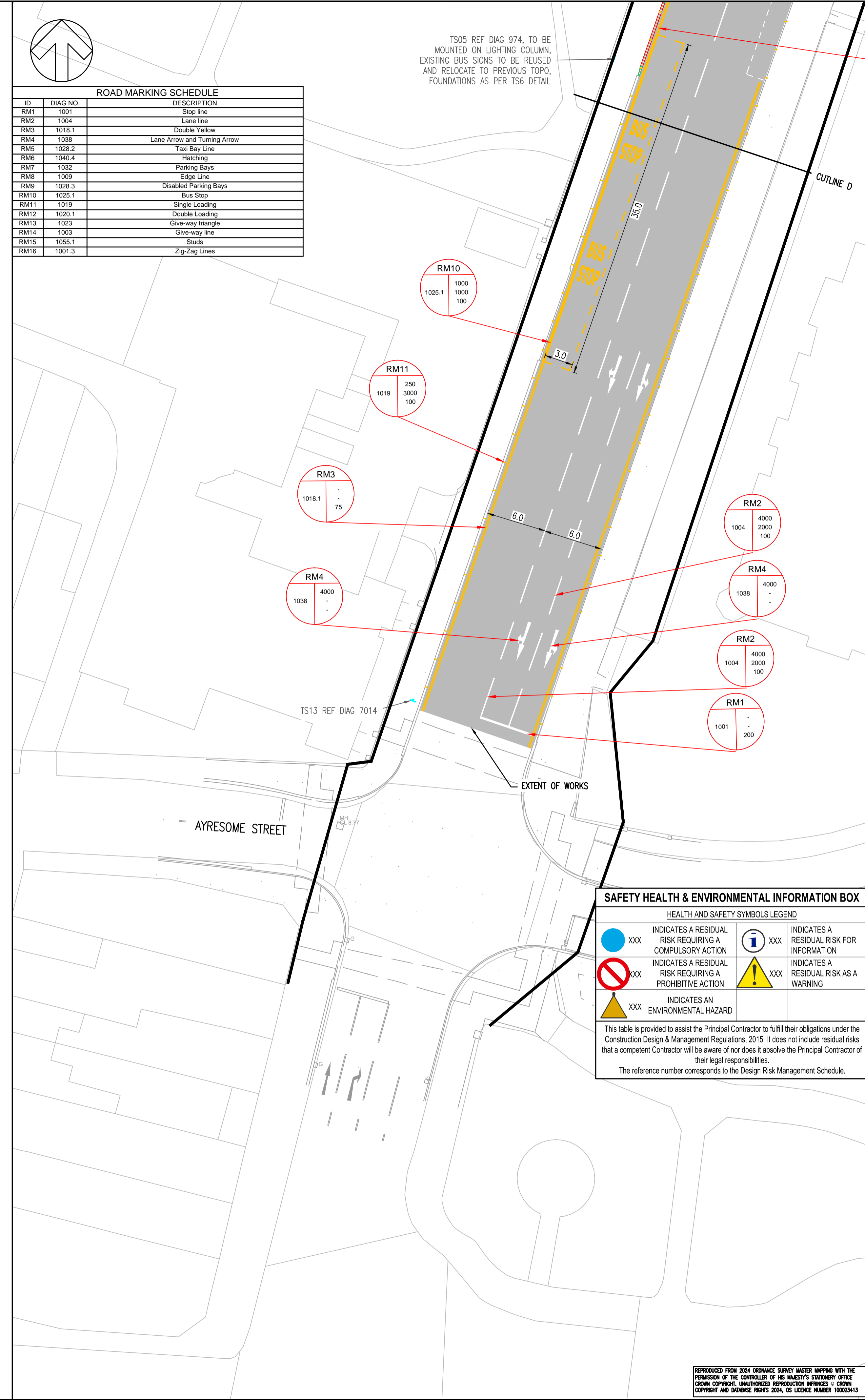
- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
- PROPOSED KERB
- PROPOSED TRAFFIC SIGN
- PROPOSED ILLUMINATED TRAFFIC SIGN
- PROPOSED WHITE LINE ROAD MARKING
- PROPOSED YELLOW LINE ROAD MARKING
- PROPOSED PARKING METER



ROAD MARKING SCHEDULE

ID	DIAG NO.	DESCRIPTION
RM1	1001	Stop line
RM2	1004	Lane line
RM3	1018.1	Double Yellow
RM4	1038	Lane Arrow and Turning Arrow
RM5	1028.2	Taxi Bay Line
RM6	1040.4	Hatching
RM7	1032	Parking Bays
RM8	1009	Edge Line
RM9	1028.3	Disabled Parking Bays
RM10	1025.1	Bus Stop
RM11	1019	Single Loading
RM12	1020.1	Double Loading
RM13	1023	Give-way triangle
RM14	1003	Give-way line
RM15	1055.1	Studs
RM16	1001.3	Zig-Zag Lines

TS05 REF DIAG 974, TO BE MOUNTED ON LIGHTING COLUMN, EXISTING BUS SIGNS TO BE REUSED AND RELOCATE TO PREVIOUS TOPO, FOUNDATIONS AS PER TS6 DETAIL



DO NOT SCALE

NOTES

- THIS DRAWING SHOULD BE READ IN CONJUNCTION WITH ALL RELEVANT DOCUMENTATION DRAWINGS AND STANDARD DETAILS BUT WITH PARTICULAR REFERENCE TO THE FOLLOWING - 288933-WSP-XX-XX-DR-C-1211-1212
- ALL DIMENSIONS ARE IN METRES UNLESS STATED OTHERWISE.
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- THE DESIGN IS BASED ON TOPOGRAPHICAL SURVEY REFERENCE ASS 2963 BY ADH SITE SURVEYS LIMITED RECEIVED FEBRUARY 2021.
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- ALL TRAFFIC SIGNS AND ROAD MARKINGS CONFORM TO TRAFFIC SIGNS REGULATIONS AND GENERAL DIRECTIONS (TSRGD) 2016 AND THE TRAFFIC SIGNS MANUAL (TSM).
- ALL PROPOSED ROAD MARKINGS ARE TO TIE INTO EXISTING AT SCHEME EXTENTS.
- THE USE OF TRAFFIC SIGN DIAGRAM REF 7014 IS RESTRICTED TO A PERIOD OF 3 MONTHS AFTER THE COMPLETION OF THE WORKS AND A "REMOVE BY" DATE MUST BE INCLUDED AT THE BACK OF THE SIGN CONFORMING TO TSRGD 2016.
- ALL POST SIZES ASSUME LEVEL GROUND CONDITIONS.
- SIGN LOCATIONS ARE SHOWN INDICATIVELY AND CAN BE ADJUSTED TO EASE BUILDABILITY / AVOID UNDERGROUND SERVICES
- THIS DRAWING IS BASED IN A WHOLE OR IN PART ON INFORMATION AND/OR DATA APPROVED BY A THIRD PARTY INCLUDING MIDDLESBROUGH COUNCIL AND AS SUCH IN CONTINGENT UPON THE ACCURACY AND COMPLETENESS OF THAT INFORMATION AND/OR DATA. WSP UK LIMITED SHALL NOT BE LIABLE IN RELATION TO ANY INACCURACY PRESENTED WITHIN THE DRAWING AND/OR IN RELATION TO ANY DISCREPANCY OR AMBIGUITY WITH ANY OTHER PROJECT DOCUMENTS SHOULD ANY DATA AND/OR INFORMATION UPON WHICH RELIANCE HAS BEEN BASED BE INCORRECT OR OUT OF DATE OR HAVE BEEN CONCEALED, WITHHELD OR BE INCOMPLETE, MISREPRESENTED OR OTHERWISE NOT FULLY DISCLOSED TO WSP UK LIMITED.

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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	12/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS: S2 - FOR INFORMATION

SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX

HEALTH AND SAFETY SYMBOLS LEGEND

	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION		INDICATES A RESIDUAL RISK FOR INFORMATION
	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		INDICATES A RESIDUAL RISK AS A WARNING
	INDICATES AN ENVIRONMENTAL HAZARD		

This table is provided to assist the Principal Contractor to fulfill their obligations under the Construction Design & Management Regulations, 2015. It does not include residual risks that a competent Contractor will be aware of nor does it absolve the Principal Contractor of their legal responsibilities.

The reference number corresponds to the Design Risk Management Schedule.

- UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS
- CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE
- POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS
- EXCAVATION IN AND AROUND BURIED SERVICES
- POTENTIAL FOR CONTAMINATED TAR IN EXISTING ROAD PAVEMENT
- UNEXPLODED ORDNANCE MAY BE PRESENT
- HIGH PEDESTRIAN NUMBERS IN TOWN CENTRE

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SITE PROJECT: LINTHORPE ROAD RESTORATION

TITLE: TRAFFIC SIGNS AND ROAD MARKINGS (SHEET 4 OF 4)

SCALE @ A1: 1:250	CHECKED: JS	APPROVED: PWW
PROJECT NO: 2024UK293315	DESIGNED: NR	DRAWN: NR
DRAWING NO: 288933-WSP-XX-XX-DR-C-1204	DATE: JULY 2024	REV: P04

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File name: C:\Users\N147\OneDrive\Work\2024\288933\TVC\LINTHORPE ROAD RESTORATION - DOCUMENTS\00\_MPC\01\_CIVIL\_ENGINEERING\00\_DRAWINGS\ROAD MARKINGS\DRG\_288933-WSP-XX-XX-DR-C-1204-TS05 TRAFFIC SIGNS & ROAD MARKINGS.DWG, created on 10 October 2024 11:43:33 by Brounless, Alan

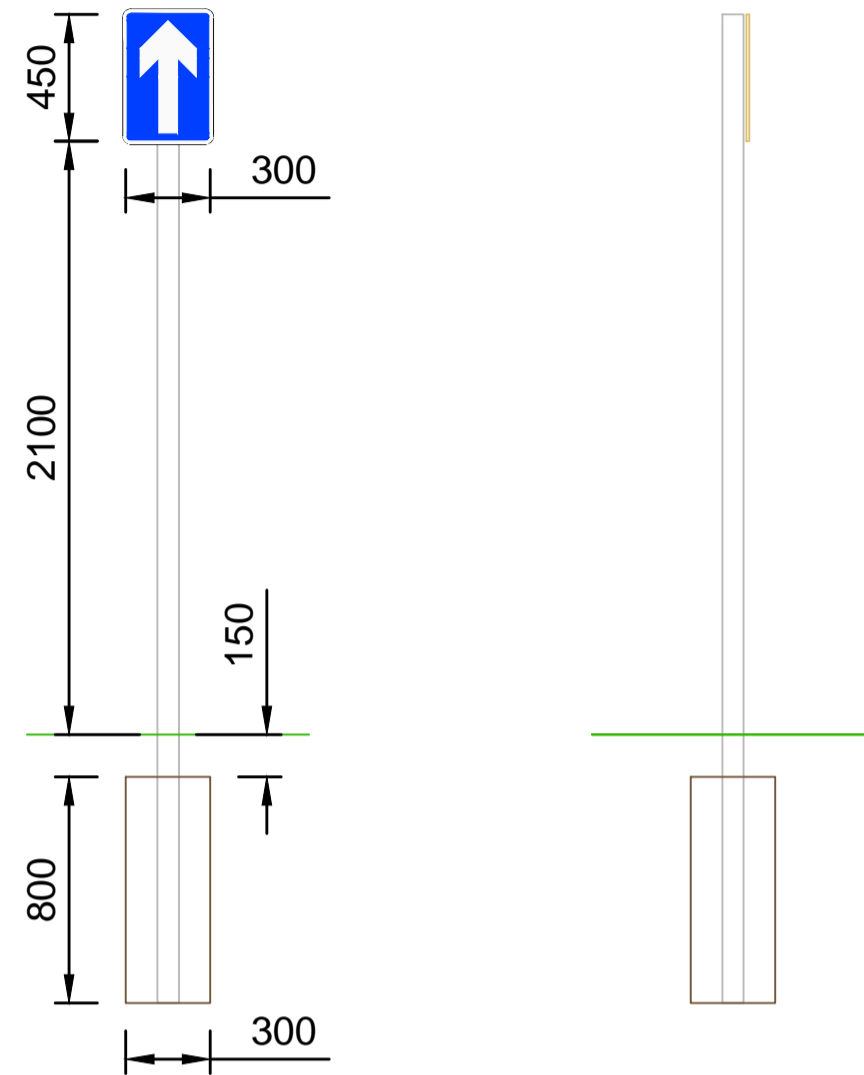
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NOTES

1. ALL DIMENSIONS ARE IN METRES UNLESS OTHERWISE STATED.
2. ALL LEVELS ARE IN METRES ABOVE ORDNANCE DATUM.
3. WORKS SHALL BE CONSTRUCTED IN ACCORDANCE WITH THE RELEVANT B.S, MIDDLESBROUGH COUNCIL HIGHWAY DESIGN GUIDE AND DEPARTMENT OF TRANSPORTS 'SPECIFICATION FOR HIGHWAY WORKS', PUBLISHED BY HMSO. ALL SPECIFICATION CLAUSES REFER TO THIS DOCUMENT UNLESS OTHERWISE STATED.
4. ALL SETTING OUT IS TO BE AGREED WITH THE ENGINEER PRIOR TO THE COMMENCEMENT OF THE WORKS. THIS DRAWING IS TO BE READ IN CONJUNCTION WITH ALL OTHER RELEVANT DRAWINGS, SCHEDULES AND SPECIFICATIONS.
5. CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.
6. TRAFFIC SIGNS & ROAD MARKING REFERENCES CONFORMS TO TSRGD 2016.
7. SIGN POSITIONING AND SIZES ARE NOT TO SCALE, EXACT LOCATION AND ORIENTATION OF SIGNS TO BE CONFIRMED WITH ENGINEERS REPRESENTATIVE PRIOR TO ERECTION ON SITE.
8. POST FOUNDATIONS SUBJECT TO FINAL DESIGN BY CONTRACTOR TO AVOID BURIED SERVICES.
9. SIGNAGE LOCATED WITHIN FOOTWAYS TO HAVE A MOUNTING HEIGHT OF 2.3m;
10. ALL ILLUMINATED SIGNS TO BE MOUNTED ON GALVANISED WIDE BASED POSTS WITH G1 FINISH KCC COASTAL SPECIFICATION AS MANUFACTURED BY STANTON FABRIKAT.
11. ALL SIGN LIGHTING UNITS TO BE LED LVA RANGE (TO INCLUDE PHOTOCELL): 3W FOR SMALL PLATES (600MM AND UNDER), 10W FOR LARGE PLATES (OVER 600MM) AS MANUFACTURED BY SIMMONSIGNS.
12. ALL ILLUMINATED AND NON-ILLUMINATED SIGN FACES TO BE CLASS 2 REFLECTIVE.
13. NON-ILLUMINATED TRAFFIC BOLLARDS TO BE METRO PLUS ANTI-TWIST (REFLEX BOLLARD) AS MANUFACTURED BY TMP.

Signing Project	Signing Project	Width (mm)	Height (mm)	Area (sq.m)	Background	Border	Legend
Sign Reference	TS03	300	450	0.14	Blue	White	White
x Height	Class RA2						
Material							



TS03 - 652

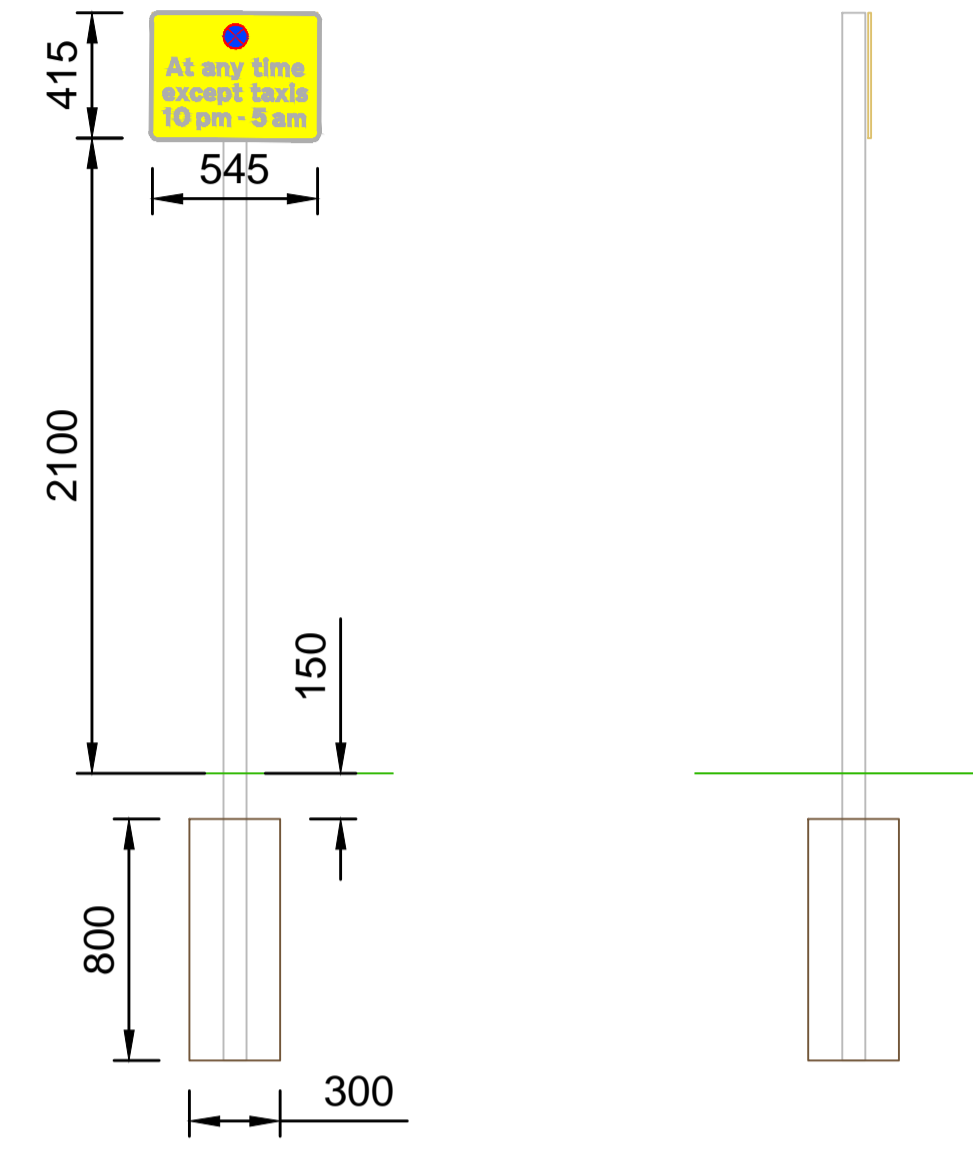
**Structural Calculation Details**

Signs:  
 Reference: TS03  
 Width: 300mm, Height: 450mm  
 Shape: Rectangle  
 Orientation: Facing front  
 Mounted on posts: 1  
 Mounting height: 2100mm, at post

Posts:  
 Quantity: 1  
 Type: 76.1 x 3.2 CHS (S355)  
 Spacing: N/A  
 Post 1 Length: 3500mm

Base:  
 Type: Planted  
 Diameter: 300mm  
 Depth: 800mm  
 Volume: 0.08cu.m  
 Earth cover: 150mm

Signing Project	Signing Project	Width (mm)	Height (mm)	Area (sq.m)	Background	Border	Legend
Sign Reference	TS04	545	415	0.23	Yellow	Black	Black
x Height	Class RA2						
Material							



TS04 - 974.2

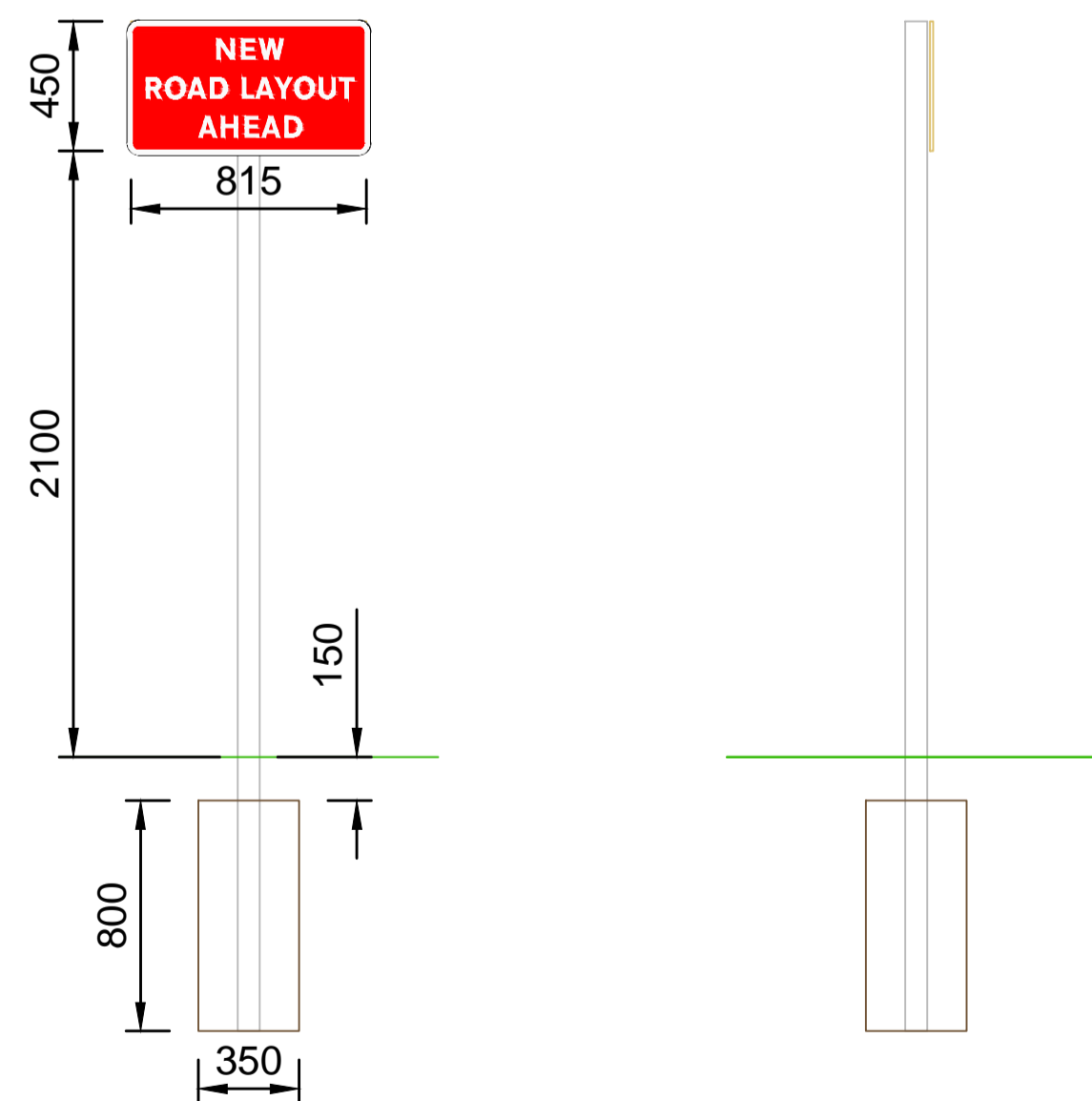
**Structural Calculation Details**

Signs:  
 Reference: TS04  
 Width: 545mm, Height: 415mm  
 Shape: Rectangle  
 Orientation: Facing front  
 Mounted on posts: 1  
 Mounting height: 2100mm, at post

Posts:  
 Quantity: 1  
 Type: 76.1 x 3.2 CHS (S355)  
 Spacing: N/A  
 Post 1 Length: 3465mm

Base:  
 Type: Planted  
 Diameter: 300mm  
 Depth: 800mm  
 Volume: 0.08cu.m  
 Earth cover: 150mm

Signing Project	Signing Project	Width (mm)	Height (mm)	Area (sq.m)	Background	Border	Legend
Sign Reference	TS13	815	450	0.37	Red	White	White
x Height	Class RA2						
Material							



TS13 - 7014

**Structural Calculation Details**

Signs:  
 Reference: TS13  
 Width: 815mm, Height: 450mm  
 Shape: Rectangle  
 Orientation: Facing front  
 Mounted on posts: 1  
 Mounting height: 2100mm, at post

Posts:  
 Quantity: 1  
 Type: 76.1 x 3.2 CHS (S355)  
 Spacing: N/A  
 Post 1 Length: 3500mm

Base:  
 Type: Planted  
 Diameter: 350mm  
 Depth: 800mm  
 Volume: 0.08cu.m  
 Earth cover: 150mm

SIGN SCHEDULE

Sign Reference	TSRGD NO.	x Height	Width (mm)	Height (mm)	Area (m <sup>2</sup> )	Mounting height	Post quantity	Post type	Post 1 length	Base type	Base depth	Base volume	Earth cover	Illumination
TS02	670/1	100	600	600	0.28	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3770	Planted	800	0.06	150	Yes
TS04	974.2	40.0	545	415	0.23	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3465	Planted	800	0.06	150	No
TS05	974.2	40.0	590	465	0.27	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3515	Planted	800	0.06	150	No
TS06	660.6.1	15.0	280	455	0.13	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3505	Planted	800	0.06	150	No
TS07	660.7.1	15.0	280	505	0.14	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3555	Planted	800	0.06	150	No
TS08	660.7.2	15.0	280	505	0.14	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3555	Planted	800	0.06	150	No
TS09	660.7.3	15.0	280	505	0.14	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3555	Planted	800	0.06	150	No
TS10	661.2A	15.0	235	165	0.04	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3215	Planted	800	0.06	150	No
TS11	660.1.V1	15.0	270	195	0.05	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3245	Planted	800	0.06	150	No
TS12	660.1.V2	15.0	270	235	0.06	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3285	Planted	800	0.06	150	No
TS13	7014	50.0	815	450	0.37	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3500	Planted	800	0.08	150	No

REV	DATE	BY	DESCRIPTION	CHK	APP
P03	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	15/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS: S2 - FOR INFORMATION

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SITE/PROJECT: LINTHORPE ROAD RESTORATION

TITLE: TRAFFIC SIGN DETAILS (SHEET 1 OF 3)

SCALE @ A1:	CHECKED:	APPROVED:
NTS	JS	PWW

PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024

DRAWING NO:	REV:
288933-WSP-XX-XX-DR-C-1211	P03

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## Document & Drawing Issue Sheet

Project No: 2024UK288933  
 Project Name: TVCA Linthorpe Road Restoration  
 Date of Issue: 10-Oct-2024  
 Purpose of Issue: Client Approval  
 Method of Issue: Email  
 Number of items Issued: 28  
 Format of Issue: PDF  
 Service: DI

**Issue No: 5**  
 Issuing Office:  
 #N/A

Issued to:		No of Recipients: 1
Company	Name	Position/Function
Tees Valley Combined Authority	Craig MacLennan	

Dwg/Doc Number	Title	Scale	Size	Revision
288933-WSP-XX-XX-DR-C-0101	General Arrangement (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0102	General Arrangement (Sheet 2 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0103	General Arrangement (Sheet 3 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0104	General Arrangement (Sheet 4 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0151	Setting Out (Sheet 1 of 4)	1:250	A1	P02
288933-WSP-XX-XX-DR-C-0152	Setting Out (Sheet 2 of 4)	1:250	A1	P02
288933-WSP-XX-XX-DR-C-0153	Setting Out (Sheet 3 of 4)	1:250	A1	P02
288933-WSP-XX-XX-DR-C-0154	Setting Out (Sheet 4 of 4)	1:250	A1	P02
288933-WSP-XX-XX-DR-C-0155	Setting Out	1:250	A1	P02
288933-WSP-XX-XX-DR-C-0201	Site Clearance (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0202	Site Clearance (Sheet 2 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0203	Site Clearance (Sheet 3 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0204	Site Clearance (Sheet 4 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0501	Drainage Layout (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0502	Drainage Layout (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0503	Drainage Layout (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0504	Drainage Layout (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1101	Kerbs, Footways & Paved Areas (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1102	Kerbs, Footways & Paved Areas (Sheet 2 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1103	Kerbs, Footways & Paved Areas (Sheet 3 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1104	Kerbs, Footways & Paved Areas (Sheet 4 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1201	Traffic Signs & Road Markings (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1202	Traffic Signs & Road Markings (Sheet 2 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1203	Traffic Signs & Road Markings (Sheet 3 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1204	Traffic Signs & Road Markings (Sheet 4 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1211	Traffic Sign Details (Sheet 1 of 3)	NTS	A1	P03
288933-WSP-XX-XX-DR-C-1212	Traffic Sign Details (Sheet 2 of 3)	NTS	A1	P03
288933-WSP-XX-XX-DR-C-1213	Traffic Sign Details (Sheet 3 of 3)	NTS	A1	P03




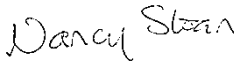


Tees Valley Combined Authority & Middlesbrough Council

Linthorpe Road, Middlesbrough  
Proposed Restoration Works



Combined Stage 1 and Stage 2 Road Safety Audit



REPORT CONTROL			
<b>Document</b>	Combined Stage 1 and Stage 2 Road Safety Audit		
<b>Project</b>	Linthorpe Road, Middlesbrough Proposed Restoration Works		
<b>Client</b>	Tees Valley Combined Authority and Middlesbrough Council		
<b>Report Number</b>	NS24/992/RSA1-2		
<b>Primary Author</b>	Kevin Nicholson		
<b>Reviewer</b>	Nancy Sloan		
REVISION HISTORY			
Issue	Date	Status	Checked for Issue
1	23/09/24	Draft - issued to TVCA and MC.	
2	15/10/24	Final - following assimilation of collision data. Issued to TVCA and MC.	



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3. ITEMS RAISED BY THIS COMBINED STAGE 1 AND STAGE 2 ROAD SAFETY AUDIT .....	4
4. AUDIT TEAM STATEMENT .....	8
5. DRAWINGS AND DOCUMENTS PROVIDED .....	9
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## 1. INTRODUCTION

1.1. This report results from a Combined Stage 1 and Stage 2 Road Safety Audit carried out on the highway works associated with the proposal to remove the cycle lanes on Linthorpe Road, Middlesbrough, between Borough Road in the north and Ayresome Street in the south. The proposals seek effectively to return Linthorpe Road to its layout prior to the introduction of the cycle lanes in 2022. Briefly, the works subject to audit comprise the removal of the cycle lanes and the reinstatement of footway and carriageway areas, pedestrian crossing points, bus stops and side road closures, together with associated traffic signs, road markings and drainage.

1.2. The Road Safety Audit was requested by Craig MacLennan of Tees Valley Combined Authority (TVCA) on behalf of that Authority and Middlesbrough Council (MC) and was carried out during September 2024 in accordance with the Stage 1/2 Road Safety Audit Brief issued by MC on 16 September 2024. The Brief approved the Audit Team and was accepted by them. The Audit Team membership was as follows:

Kevin Nicholson          Nicholson Sloan Consultancy Limited (Audit Team Leader);

Nancy Sloan                Nicholson Sloan Consultancy Limited (Audit Team Member).

1.3. The Audit Team visited the site together on the late afternoon and early evening of Monday 16 September, during which the weather was initially sunny and warm, and the road surfaces were dry. Traffic was steady and free flowing, other than short delays at the signalised junctions, and a large number of pedestrians and some cyclists were observed. Linthorpe Road is a two-way urban road subject to a speed limit of 20mph, and is street lit.

1.4. Historical collision data has been provided for the audit, covering the period January 2015 to September 2024. Some headline figures are shown below: -

- a total of 75 collisions were recorded during this period, generating 88 casualties;
- prior to the scheme opening in 2022, there was an average of 7.7 collisions per year, reducing slightly (but insignificantly) to 7.5 per year post-opening;
- a total of 17 collisions involving cyclists were recorded (14 were slight injury and 3 were serious). Of these, 16 occurred pre-opening (2 per year) and 1 post-opening (0.5 per year); This reduction could be an effect of the scheme offering segregation for cyclists, but a more in-depth analysis would be required to confirm any trends;
- there were 23 collisions (18 slight and 5 serious injury) involving pedestrians. All were struck either by cars, taxis or buses. There were 2.9 pedestrian incidents per year pre-opening and 4 per year post-opening;
- there were no fatalities resulting from any of the 75 recorded collisions.



- 
- 1.5. The terms of reference for this audit are as described in GG 119 (Revision 2) in the Design Manual for Roads and Bridges. The Team has reported only on the road safety implications of the proposals and has not examined or verified the compliance of the design to any other criteria. However, and without being prescriptive, the Audit Team might refer to a design standard or technical guidance where this would help to clarify a safety problem or recommendation. In addition, there may be alternative methods of addressing a problem that would be equally acceptable in achieving the elimination or mitigation of a problem, and these should be considered in the light of the recommendations in this report.
  - 1.6. The detail provided for the audit is shown in Section 5. All comments and recommendations are referenced to the design drawings and related documents and the locations of the items raised by the audit are shown on the plan in Section 6.
  - 1.7. Where relevant within this report traffic signs will be described either by their reference numbers on the drawings or by their diagram number within the Traffic Signs Regulations and General Directions 2016 (TSRGD).
  - 1.8. Within this report the generic term "pedestrians" can include walking pedestrians, wheelchair users, mobility scooter users, dismounted cyclists, the blind, partially sighted and mobility impaired. Reference may be made to specific groups where appropriate.



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## 2. ITEMS RAISED BY PREVIOUS ROAD SAFETY AUDITS

- 2.1 A Stage 3 Road Safety Audit was carried out on the completed scheme in October 2022 and the resulting report was included with the Brief. None of the issues raised are considered to be still relevant to the current scheme subject to audit.



## 3. ITEMS RAISED BY THIS COMBINED STAGE 1 AND STAGE 2 ROAD SAFETY AUDIT

### 3.1 **PROBLEM** *(read in conjunction with 3.2 below)*

Locations: Linthorpe Road along the extents of the scheme.

Summary: Signing of the speed limit on Linthorpe Road and the side streets could confuse motorists.

There are a number of conflicting pieces of information regarding the existing and proposed speed limit on Linthorpe Road and its side streets, summarised as follows: -

- the Brief states that the design speed and speed limit is 30mph (under Section 2), but also states that the road is subject to a 20mph speed limit (under Section 3);
- the existing traffic signs on Linthorpe Road between its junctions with Borough Road and Ayresome Street show the speed limit as 20mph;
- the proposed signs on Albert Terrace appear to show this street as subject to a 20mph limit, and Linthorpe Road as 30mph. In addition, the descriptions of the signs include 'south facing' and 'north facing', when the street runs along an east-west orientation;
- the visibility splays for the side streets are specified as based on a stopping sight distance of 43m, for 30 mph vehicle speeds (as per manual for Streets).

The Audit Team considers that it would be beneficial in road safety terms to retain the existing 20mph speed limit, and not revert to the previous limit of 30mph. However, regardless of the final designation of the speed limit, any conflicting sign information could both confuse motorists and increase the risk of inappropriate or excessive vehicle speeds, with the attendant risk of collisions.

#### RECOMMENDATION

It is recommended that the speed limit signs are specified on the drawings based on the proposed (or existing) speed limit for Linthorpe Road and the side streets, as appropriate.

### 3.2 **PROBLEM** *(read in conjunction with 3.1 above)*

Locations: Garnet Street and Waterloo Road.

Summary: Turning collisions could occur.

The one-way signs on Garnet Street and Waterloo are specified as non-illuminated. Notwithstanding that the signs should be illuminated under the regulations if they are within a 30mph limit, in the absence of illumination, motorists might not be aware of the signs and could turn against the flow of traffic, with the attendant risk of collisions.



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## RECOMMENDATION

It is recommended that, if the signs are within a 30mph speed limit, they are illuminated.

### 3.3 PROBLEM

Location: The Linthorpe Road northbound approach to its junction with Princes Road and Southfield Road.

Summary: The absence of lane delineation could result in side swipe collisions.

The approach lanes are delineated by warning markings to Diagram 1004. However, they do not extend back to the first lane arrows that motorists will encounter on the approach. The presence of the arrows without lane delineation could result in motorists being unsure of the precise driving line to take, and thus the risk of side swipe collisions.

## RECOMMENDATION

It is recommended that either the warning markings are extended to the south to coincide with the lane arrows, or that the arrows are removed.

### 3.4 PROBLEM

Location: The junction of Park Road North (northern end) with Linthorpe Road.

Summary: The layout of the tactile paving could confuse pedestrians.

While perhaps schematic, the tactile paving slabs on the north and south sides of the road do not fully align with one another. If laid as such, visually impaired pedestrians could fail to identify the tactile paving on the opposite side of the junction, with the attendant risks of disorientation in the carriageway and of them tripping over the full height kerbs opposite, or of conflicts with vehicles.

## RECOMMENDATION

It is recommended that the tactile paving is re-aligned on the drawings.

### 3.5 PROBLEM

Location: The Linthorpe Road southbound approach to its junction with Park Road North (southern end).

Summary: The absence of lane delineation could result in side swipe collisions.

The nearside approach lane has straight-ahead arrows, but no left-turn arrow is included to indicate that the lane can also be used to turn left into Park Road North. This could result in motorists making last minute manoeuvres or braking suddenly, with the attendant risk of collisions.

## RECOMMENDATION

It is recommended that left-turn arrow heads are added to the markings.





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## 3.6 PROBLEM

Location: The raised gullies throughout the scheme.

Summary: The pattern of the gully gratings could result in pedestrians tripping and falling.

There are a number of locations where the existing carriageway gullies are to be raised to the level of the new footway. If the existing gratings are retained, pedestrians could trip and fall if they trap their heels in the grating.

### RECOMMENDATION

It is recommended that the gratings are specified as types suitable for pedestrian use.

## 3.7 PROBLEM

Location: The bollards throughout the scheme.

Summary: Making the bollards conspicuous could reduce the risk of kerb strikes and collisions involving pedestrians.

There are bollards specified for the new build-outs throughout the scheme. If they are not clearly visible for motorists, there will be an increased risk of kerb strikes and of them mounting the footway and colliding with pedestrians.

### RECOMMENDATION

It is recommended that either the bollards are provided with reflective banding, or specified as types capable of displaying a 'keep right' aspect (and also reflective).

## 3.8 PROBLEM

Location: The signalised pedestrian crossings throughout the scheme.

Summary: The proximity of the vehicle stop lines to the crossings could increase the risk of collisions.

The distances between the pedestrian crossing studs and the vehicle stop lines are not specified on the drawings, and it is possible that they could be laid in close proximity during construction. Accidents can occur at signal controlled crossings because drivers of high fronted vehicles can pull away unaware of the presence of pedestrians, particularly those who are slow moving and who cross close to their vehicles. This problem can be mitigated by ensuring that adequate visibility of pedestrians is available to drivers and given effect by providing sufficient distance from the stop line to the crossing studs.

### RECOMMENDATION

It is recommended that the stop lines are specified as a minimum distance of 3m from the crossing studs (2.5m from the primary signal post) and shown as such on the drawings.



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## 3.9 PROBLEM

Location: The interfaces between the existing and new sections of footway throughout the scheme.

Summary: Differential grip could lead to pedestrians slipping and falling.

Given that a number of different materials will form the finished footway areas, the new surface might have different properties to the existing adjacent surface in terms of their slip resistance in wet or freezing conditions, increasing the risk of slips and falls as pedestrians move from one surface to another.

### RECOMMENDATION

It is recommended that the existing and new materials have similar properties in terms of slip resistance in wet or freezing conditions.



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## 4. AUDIT TEAM STATEMENT

We certify that this Road Safety Audit has been carried out in accordance with GG 119.

### **ROAD SAFETY AUDIT TEAM LEADER**

Kevin Nicholson BSc, CMaths, MCIHT, FSoRSA,  
HE Certificate of Competency  
Director, Nicholson Sloan Consultancy Limited  
Cherry Tree Cottage  
Hayton, Brampton, Cumbria, CA8 9HT

Signed:

A handwritten signature in blue ink, appearing to read 'Kevin Nicholson'.

Date:

15/10/24

### **ROAD SAFETY AUDIT TEAM MEMBER**

Nancy Sloan MCIHT, MSoRSA  
Director, Nicholson Sloan Consultancy Limited  
Cherry Tree Cottage  
Hayton, Brampton, Cumbria, CA8 9HT

Signed:

A handwritten signature in blue ink, appearing to read 'Nancy Sloan'.

Date:

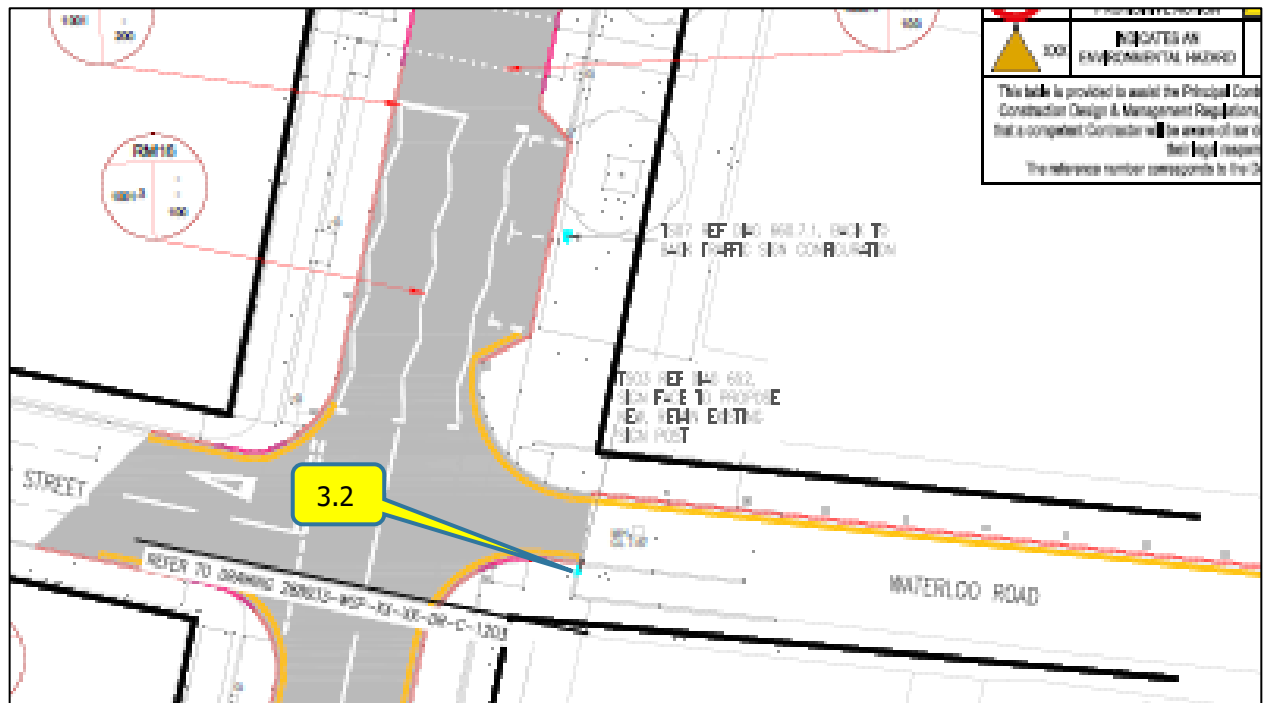
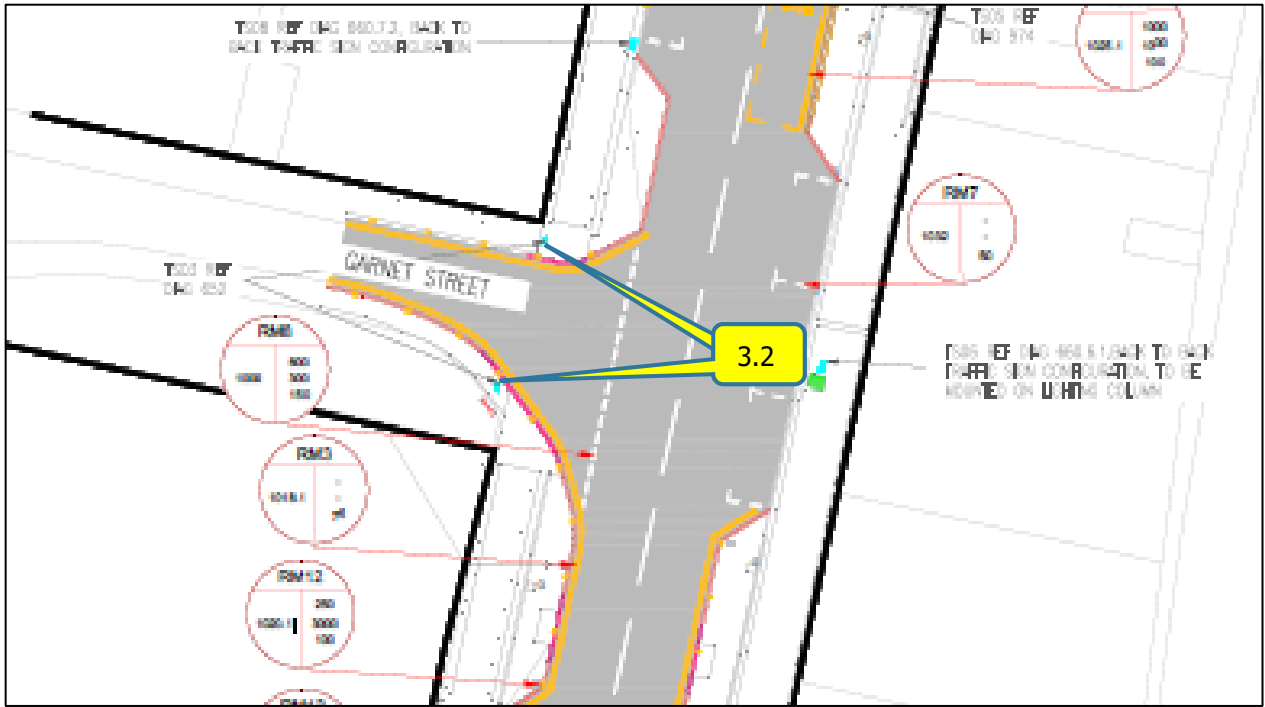
15/10/24

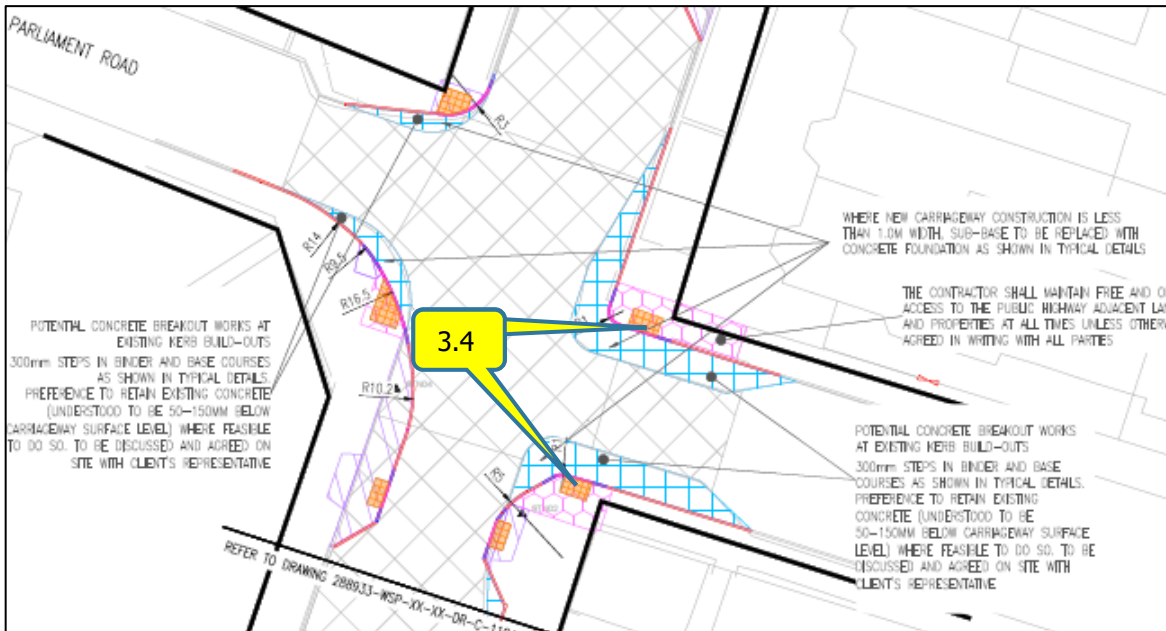
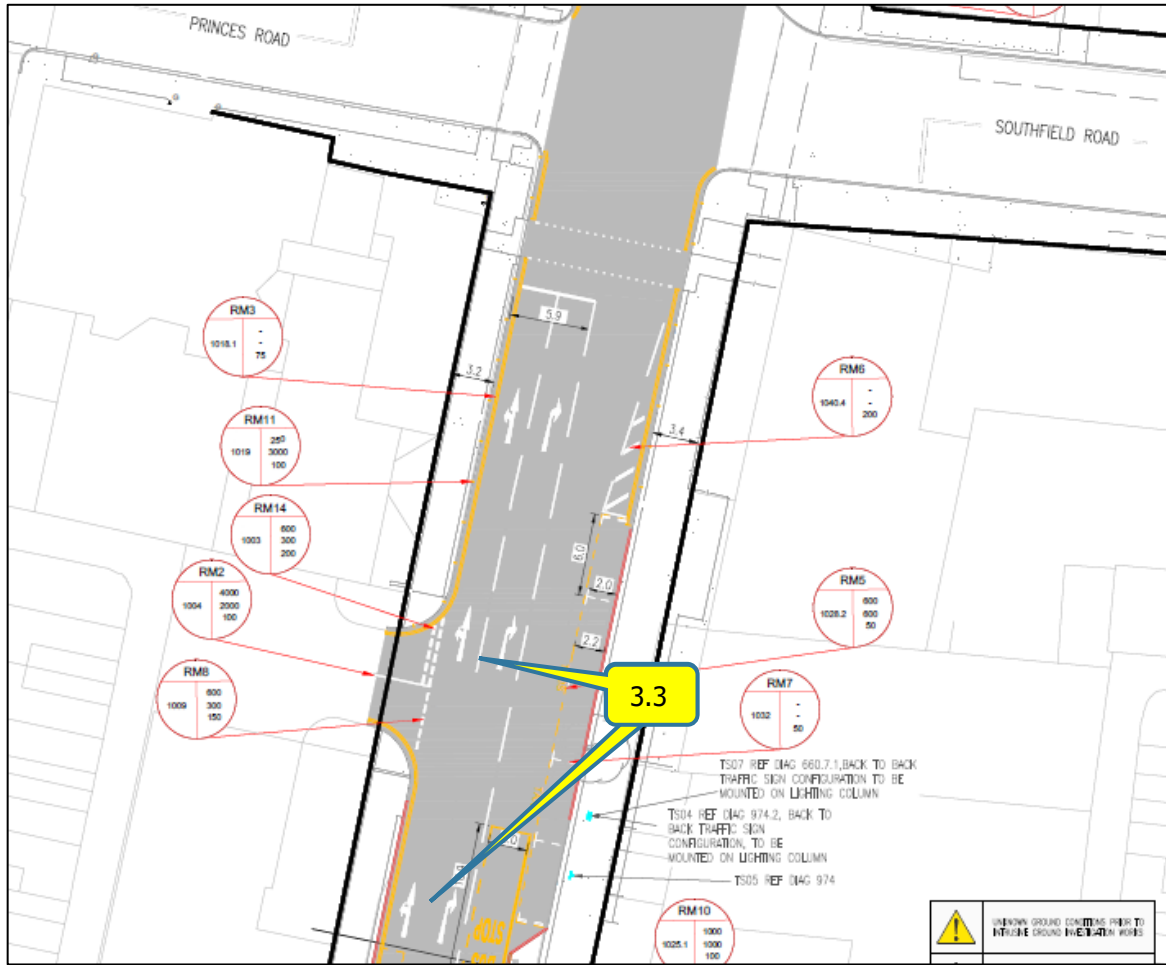
## 5. DRAWINGS AND DOCUMENTS PROVIDED

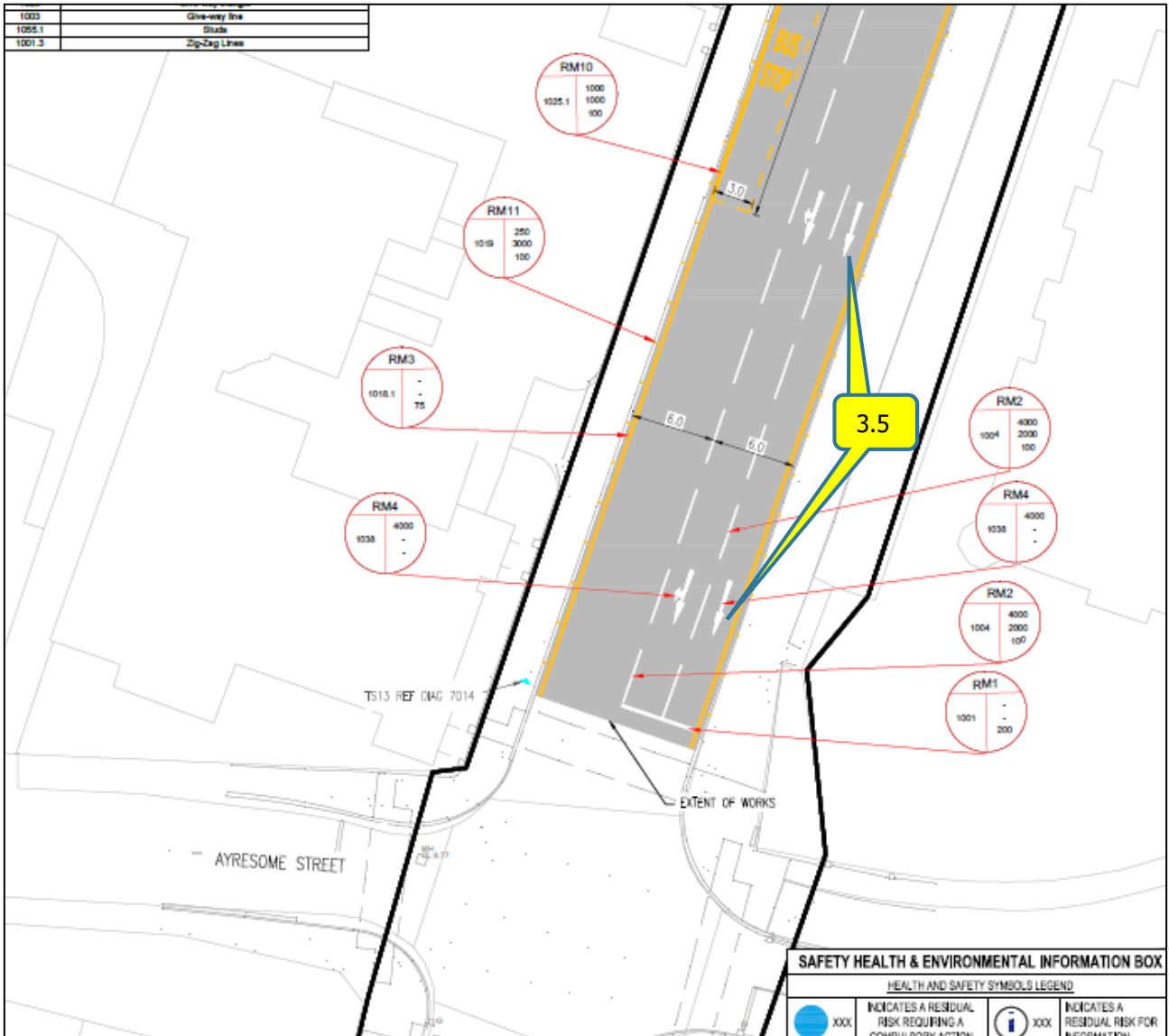
DRAWING OR DOCUMENT NUMBER	PROJECT AND TITLE	DATE
288933-WSP-XX-XX-RE-C-0001	LINTHORPE ROAD RESTORATION STAGE 1/2 ROAD SAFETY AUDIT BRIEF	16.09.24
288933-WSP-XX-XX-DR-C-0101 TO 0104 REVISION P02	LINTHORPE ROAD RESTORATION GENERAL ARRANGEMENT (SHEETS 1 TO 4)	31.07.24
288933-WSP-XX-XX-DR-C-0201 TO 0204 REVISION P02	LINTHORPE ROAD RESTORATION SITE CLEARANCE (SHEETS 1 TO 4)	31.07.24
288933-WSP-XX-XX-DR-C-0501 TO 0504 REVISION P02	LINTHORPE ROAD RESTORATION BELOW GROUND DRAINAGE LAYOUT (SHEETS 1 TO 4)	31.07.24
288933-WSP-XX-XX-DR-C-0511 REVISION P02	LINTHORPE ROAD RESTORATION DRAINAGE TYPICAL DETAILS	31.07.24
288933-WSP-XX-XX-DR-C-1101 TO 1104 REVISION P02	LINTHORPE ROAD RESTORATION KERBS, FOOTWAYS AND PAVED AREAS (SHEETS 1 TO 4)	31.07.24
288933-WSP-XX-XX-DR-C-1111 REVISION P02	LINTHORPE ROAD RESTORATION TYPICAL HIGHWAY DETAILS	31.07.24
288933-WSP-XX-XX-DR-C-1112 REVISION P02	LINTHORPE ROAD RESTORATION TYPICAL HIGHWAY SECTIONS	31.07.24
288933-WSP-XX-XX-DR-C-1201 TO 1204 REVISION P02	LINTHORPE ROAD RESTORATION TRAFFIC SIGNS AND ROAD MARKINGS (SHEETS 1 TO 4)	31.07.24
288933-WSP-XX-XX-DR-C-1211 TO 1214 REVISION P02	LINTHORPE ROAD RESTORATION TRAFFIC SIGN DETAILS (SHEETS 1 TO 4)	31.07.24



## 6. LOCATION PLANS OF ITEMS RAISED BY THIS AUDIT







3.1, 3.6, 3.7, 3.8 & 3.9 – throughout the scheme

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Debbie Middleton  
Middlesbrough Borough Council  
PO BOX 504  
Civic Centre  
Middlesbrough  
TS1 9FY

23<sup>rd</sup> December 2024

BY EMAIL TO: [debbie.middleton@middlesbrough.gov.uk](mailto:debbie.middleton@middlesbrough.gov.uk) [craig.cowley@middlesbrough.gov.uk](mailto:craig.cowley@middlesbrough.gov.uk)

Ref: PROJ-2371 Linthorpe Road Reinstatement Works / City Region Sustainable Transport Settlements (CRSTS1) PRGM-1389 / CF25-2024

Dear Debbie,

**PART 1 - OFFER LETTER – PROJ-2371 - Linthorpe Road Reinstatement Works ('the Project')**

Tees Valley Combined Authority ('TVCA') is pleased to confirm approval of the funding application in relation to the Project.

This Offer Letter, and the documents attached to it, constitute the terms and conditions of the Grant ('the Agreement'). The Agreement is therefore made up of the following Parts, which are to be read as a single document:-

- a) **Part 1 – this Offer Letter** – which you are required to sign to confirm your acceptance of the Grant on the terms and conditions set out in this Agreement.
- b) **Part 2 – the Funding Particulars** – which set out the amount of the Grant you will receive, the specific key terms which apply to the provision of the Grant, and any amendments to TVCA's Standard Terms and Conditions of Funding.
- c) **Part 3 – the Standard Funding Terms** – which apply to the provision of the Grant (subject to any amendments set out in the Funding Particulars); and
- d) **Part 4 – the Business Case** - which sets out the purposes for which the Grant was sought.

The words and expressions used in this Offer Letter have the meaning set out in the Standard Funding Terms at Part 3. The expressions 'You' and 'Yours' means the 'Grant Recipient' or 'the Grant Recipient's'.

**1. Use of the Grant**

The Grant is made strictly for the Agreed Purposes as set out in the Funding Particulars.

## 2. Next Steps

You are required to sign and date two (2) copies of this Offer Letter and to return both copies to TVCA at the following address within fourteen (14) days of receipt:-

**Sally Cowley, Appraisal Manager, Tees Valley Combined Authority, Teesside Airport Business Suite, Teesside International Airport, Darlington DL2 1NJ.**

TVCA shall sign both copies on receipt and return one fully signed copy to you for your records.

Please note that TVCA will be unable to release any payment to You until TVCA receives the signed Offer Letter from You in hard copy. TVCA reserves the right to rescind the offer of the Grant if TVCA does not receive a signed Offer Letter within fourteen (14) days of the date of this Offer Letter.

## 3. Effect of Acceptance of the Grant

In signing this Offer Letter, You confirm that:-

- a) You accept the Grant offered on the terms of the Agreement;
- b) You are duly authorised to accept the Grant by the Grant Recipient;
- c) You will comply in full with all obligations set out in the Agreement; and
- d) You understand that TVCA may withhold, or require repayment of, the Grant if You fail to comply in full with Your obligations as set out in the Agreement

IN WITNESS whereof the duly authorised representatives of the Parties have signed this Agreement as a Deed on                      day of                      2025.

Sealed as a deed by affixing the common seal  
of  
**TEES VALLEY COMBINED  
AUTHORITY** by

.....  
Seal

.....  
Authorised Signatory

Sealed as a deed by affixing the common seal  
of **Middlesbrough Borough Council**

.....  
Seal

.....  
Authorised Signatory

## PART 2 – FUNDING PARTICULARS

<b>Project</b>	PROJ-2371 Linthorpe Road Reinstatement Works
<b>Grant Recipient</b>	Middlesbrough Council
<b>Grant Recipient's Address for Notice</b>	PO BOX 504 Civic Centre, Middlesbrough TS1 9FY

<b>Project Start Date</b>	1 <sup>st</sup> July 2024																																
<b>Additional Preconditions</b>	Not Applicable																																
<b>Agreed Purposes – Assets to be Funded</b>	The Agreed Purposes is to remove the cycle lane infrastructure and reinstate the previous highway layout on Linthorpe Road (B1272) between Borough Road and Ayresome Street, including the reinstatement of 47 Pay & Display parking spaces.																																
<b>Approved Use of Asset</b>	The Approved Use of the Asset is to reinstate the previous highway layout on Linthorpe Road (B1272) between Borough Road and Ayresome Street including the reinstatement of 47 Pay & Display parking spaces. Such Pay & Display parking spaces shall remain the property of (and in the sole control of) the Grant Recipient.																																
<b>Approved Use Period of Asset</b>	Reflecting the appraisal period of 20 years, the highway layout where practical and feasible should remain as per proposed layout.																																
<b>Key Milestones</b>	<p>The Key Milestones are as follows:</p> <table border="1"> <thead> <tr> <th>Description</th> <th>Forecast Achievement Date</th> </tr> </thead> <tbody> <tr> <td>Civils Design Complete</td> <td>31<sup>st</sup> October 2024</td> </tr> <tr> <td>Traffic Signals Design Complete</td> <td>28<sup>th</sup> February 2025</td> </tr> <tr> <td>Approval to proceed with Permanent Traffic Regulation Orders (TRO's) by MBC Executive Committee</td> <td>5<sup>th</sup> February 2025</td> </tr> <tr> <td>Traffic Regulation Order Advertisement</td> <td>17<sup>th</sup> February 2025 – 31<sup>st</sup> March 2025</td> </tr> <tr> <td>Construction Contract Awarded</td> <td>31<sup>st</sup> May 2025</td> </tr> <tr> <td>Work Starts on Site</td> <td>31<sup>st</sup> May 2025</td> </tr> <tr> <td>Work Completes on Site</td> <td>31<sup>st</sup> December 2025</td> </tr> <tr> <td>Site Fully Open</td> <td>31<sup>st</sup> December 2025</td> </tr> <tr> <td>Financial Completion</td> <td>31<sup>st</sup> March 2026</td> </tr> <tr> <td>Year 1 Monitoring Report (defined below)</td> <td>31<sup>st</sup> March 2027</td> </tr> <tr> <td>Year 2 Monitoring Report (defined below)</td> <td>31<sup>st</sup> March 2028</td> </tr> <tr> <td>Year 3 Monitoring Report (defined below)</td> <td>31<sup>st</sup> March 2029</td> </tr> <tr> <td>Year 4 Monitoring Report (defined below)</td> <td>31<sup>st</sup> March 2030</td> </tr> <tr> <td>Year 5 Monitoring Report (defined below)</td> <td>31<sup>st</sup> March 2031</td> </tr> <tr> <td>Project Completion</td> <td>31<sup>st</sup> March 2031</td> </tr> </tbody> </table> <p>“<b>Monitoring Report</b>” is as defined and set out within Section 5.8 of the Business Case at Part 4 of this Agreement.</p>	Description	Forecast Achievement Date	Civils Design Complete	31 <sup>st</sup> October 2024	Traffic Signals Design Complete	28 <sup>th</sup> February 2025	Approval to proceed with Permanent Traffic Regulation Orders (TRO's) by MBC Executive Committee	5 <sup>th</sup> February 2025	Traffic Regulation Order Advertisement	17 <sup>th</sup> February 2025 – 31 <sup>st</sup> March 2025	Construction Contract Awarded	31 <sup>st</sup> May 2025	Work Starts on Site	31 <sup>st</sup> May 2025	Work Completes on Site	31 <sup>st</sup> December 2025	Site Fully Open	31 <sup>st</sup> December 2025	Financial Completion	31 <sup>st</sup> March 2026	Year 1 Monitoring Report (defined below)	31 <sup>st</sup> March 2027	Year 2 Monitoring Report (defined below)	31 <sup>st</sup> March 2028	Year 3 Monitoring Report (defined below)	31 <sup>st</sup> March 2029	Year 4 Monitoring Report (defined below)	31 <sup>st</sup> March 2030	Year 5 Monitoring Report (defined below)	31 <sup>st</sup> March 2031	Project Completion	31 <sup>st</sup> March 2031
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<b>Agreed Outputs</b>	<p>The Agreed Outputs are as follows:</p> <table border="1" data-bbox="568 353 1388 548"> <thead> <tr> <th data-bbox="568 353 979 394">Description</th> <th data-bbox="979 353 1388 394">To be achieved</th> </tr> </thead> <tbody> <tr> <td data-bbox="568 394 979 468">Removal of existing cycle lanes on Linthorpe Road (km)</td> <td data-bbox="979 394 1388 468">1</td> </tr> <tr> <td data-bbox="568 468 979 548">Installation of Pay &amp; Display parking spaces</td> <td data-bbox="979 468 1388 548">47</td> </tr> </tbody> </table>	Description	To be achieved	Removal of existing cycle lanes on Linthorpe Road (km)	1	Installation of Pay & Display parking spaces	47
Description	To be achieved						
Removal of existing cycle lanes on Linthorpe Road (km)	1						
Installation of Pay & Display parking spaces	47						
<b>Amount of Grant</b>	<p>A maximum sum of £2,169,699 (two million, one hundred and sixty-nine thousand, six hundred and ninety-nine pounds) subject to the terms and conditions of this Agreement.</p> <p>This amount includes a Quantitative Risk Assessment (QRA) value of £285,518 (two hundred and eighty-five thousand, five hundred and eighteen pounds) which can be drawn down by the Grant Recipient in line with the process as set out within the Business Case at Part 4 of this Agreement.</p> <p>As set out within the Business Case at Part 4 of this Agreement, approval of the draw down of the £285,518 (two hundred and eighty-five thousand, five hundred and eighteen pounds) QRA shall be subject to the approval of TVCA, at its absolute discretion.</p>						
<b>Match Funding Required</b>	<p>None</p>						
<b>Funding Profile</b>	<p>Unless otherwise agreed in writing and subject to the terms of this Agreement, payments will be made by TVCA to the Grant Recipient quarterly in arrears and be based upon actual expenditure incurred</p>						
<b>Eligible Expenditure</b>	<p>Eligible Expenditure incurred in respect of the Agreed Purposes, as per the following eligible expenditure headings:</p> <p>Construction costs £1,809,026 (One million, eight hundred and nine thousand and twenty-six pounds)</p> <p>Project Management Costs £75,155 (seventy-five thousand, one hundred and fifty-five pounds)</p> <p>Quantitative Risk Assessment (QRA) value £285,518 (two hundred and eighty-five thousand, five hundred and eighteen pounds) (Subject to the process set out within the Business Case at Part 4 of this Agreement).</p>						
<b>VAT Position</b>	<p>TVCA considers that all payments of Grant are outside of the scope of Value Added Tax, but where this is or becomes chargeable, all payments of Grant shall be deemed to be inclusive of Value Added Tax.</p>						
<b>Agreed Completion Date</b>	<p>31<sup>st</sup> March 2031</p>						
<b>Claim Requirements</b>	<p>As set out in clause 8 (Payment of Grant)</p>						

<b>Acknowledgment or Publicity Requirements</b>	See 'Additions to the Standard Funding Terms (if any)' below.
<b>Commercially Sensitive Information</b>	None
<b>Monitoring Period</b>	From the Project Start Date to 3 months after the Agreed Completion Date
<b>Frequency and Format of Reports</b>	As set out in Clause 12 (Monitoring & Reporting)
<b>Amendments to the Standard Funding Terms (if any)</b>	None
<b>Additions to the Standard Funding Terms (if any)</b>	<ol style="list-style-type: none"> <li>1. In addition to the public relations and marketing requirements set out in the Agreement, the Grant Recipient shall ensure that all site hoardings, billboards, websites and communications it releases relating to the Project in whatever format will be in full compliance with the Government Communication Service guidelines at <a href="#">Branding - GCS</a> (as updated from time to time) (<b>Guidelines</b>). Any such logo and/or statements required by the Guidelines will be given equal prominence to the Grant Recipient's own branding and that of TVCA.</li> <li>2. The Grant Recipient shall use all reasonable endeavours to assist TVCA with any reasonable request TVCA makes to the Grant Recipient to meet its obligations to the Department for Transport in respect of the Project.</li> <li>3. The Grant Recipient shall provide a quarterly cash-flow showing eligible expenditure to TVCA prior to submission of the first quarterly claim.</li> </ol>

## **PART 3 – TVCA STANDARD TERMS AND CONDITIONS OF FUNDING**

### **1. DEFINITIONS AND INTERPRETATION**

In this Agreement, unless the context otherwise requires, expressions shall have the following meanings set out in the Appendix to this Part 3 (TVCA Standard Terms and Conditions of Funding).

### **2. COMMENCEMENT AND TERM**

This Agreement shall commence on the Project Start Date and shall continue for the Term, unless terminated in accordance with Clause 16 (Events of Default).

### **3. CONDITIONS PRECEDENT**

3.1 TVCA will not make the first payment of Grant and/or any subsequent payment of Grant unless all of the Preconditions have been complied with, in addition to any Preconditions listed in the Contract Particulars:-

3.1.1 the Grant Recipient has satisfied TVCA that the Grant Recipient has sufficient Match Funding committed to achieve Completion of the Project by the Agreed Completion Date.

3.1.2 the Grant Recipient has satisfied TVCA that the Grant Recipient has all funding needed to pay for expenditure in relation to the Project which is Not Eligible Expenditure.

3.1.3 any Preliminary Expenditure, which is Eligible Expenditure, has been used in accordance with any conditions relating to it.

3.1.4 a Certificate of Title in respect of the ownership of the Site and the Grant Recipient's estate or interest therein (being either the freehold estate or a Long Lease) has been issued to TVCA by a firm of solicitors acceptable to TVCA; and

3.1.5 the Grant Recipient shall have supplied to TVCA and TVCA shall have approved the Project Specifications.

3.2 Notwithstanding clause 3.1, TVCA may waive in whole or in part any Precondition without prejudicing TVCA's right to require subsequent fulfilment of such Precondition provided always that the payment of a Grant Claim shall not operate as a waiver of any of the obligations in this clause 3 or exclude the right for TVCA to exercise any of its rights under this Agreement.

### **4. OBLIGATIONS OF TVCA**

4.1 Subject to clause 4.2, TVCA shall make the Grant to the Grant Recipient in accordance with the Funding Profile.

4.2 TVCA's obligation to make the Grant is conditional on the Grant Recipient:-

4.2.1 having all necessary Consents to proceed with the Project.

4.2.2 subject to clause 3.2, having met all Preconditions in full.

- 4.2.3 satisfying TVCA that the Grant Recipient is meeting, and can continue to meet, its obligations as set out in clause 5 (Obligations of the Grant Recipient); and
  - 4.2.4 satisfying TVCA that none of the circumstances described in clause 16 (Events of Default) have occurred.
- 4.3 For the avoidance of doubt, TVCA shall have no obligation to provide any further funding in relation to the Project, or any future project, other than as provided for specifically in this Agreement.

## 5. **OBLIGATIONS OF THE GRANT RECIPIENT**

5.1 The Grant Recipient agrees with TVCA that it will:-

- 5.1.1 progress the Project in an efficient and business-like manner.
- 5.1.2 not make any material alteration to the Project unless TVCA agrees otherwise in writing.
- 5.1.3 apply the Grant exclusively for the Agreed Purpose and in relation to Eligible Expenditure only.
- 5.1.4 deliver the Agreed Outputs.
- 5.1.5 meet the Key Milestones.
- 5.1.6 comply with the following at all times throughout the Project:-
  - a) the terms of any Consents.
  - b) all applicable Law including all requirements pursuant to the Public Contracts Regulations 2015 and Subsidy Control Law; and
  - c) the terms and conditions of this Agreement, including but not limited to:-
    - i. the monitoring and reporting requirements set out in clause 12 (Monitoring and Reporting);
    - ii. the intellectual property requirements set out in clause 13 (Intellectual Property); and
    - iii. the public relations and marketing requirements set out in clause 14 (Public Relations and Marketing);
- 5.1.7 not charge, assign, transfer or otherwise dispose of the benefit of this Agreement;
- 5.1.8 provide TVCA with such information as TVCA may reasonably require in connection with the Project;
- 5.1.9 submit Claim Forms with full supporting evidence in accordance with the Funding Profile (pursuant to clause 8 (Payment of Grant));



- 5.1.10 secure all other sources of funding required to deliver the Project as identified in the Application Form including any Match Funding; and
  - 5.1.11 meet all cost overrun(s) associated with the Project.
- 5.2 The Grant Recipient further agrees with TVCA that it shall as soon as reasonably practicable inform TVCA in writing of:-
  - 5.2.1 any Change; and/or
  - 5.2.2 any event which might adversely affect the carrying out and completion of the Project or any part of it.
- 5.3 The Grant Recipient may, with the consent of TVCA, task a Delivery Partner to carry out certain of the Project Activities provided that such shall not in any way reduce any of the obligations or liability of the Grant Recipient under this Funding Agreement. If Consent is given, the Delivery Partner shall be named in the Funding Particulars.
- 5.4 For the avoidance of doubt, the Grant Recipient shall be liable for the acts of its Delivery Partner including any Corrections resulting therefrom.
- 5.5 The Grant Recipient shall not use the Grant to:-
  - 5.5.1 make any payment to members of its Governing Body; or
  - 5.5.2 pay for any expenditure commitments of the Grant Recipient entered into before the Project Start Date,unless this has been approved in writing by TVCA.
- 5.6 The Grant Recipient shall not spend any part of the Grant on the delivery of the Project outside of the Approved Use Period.
- 5.7 Should any part of the Grant remain unspent after the expiration of the Approved Use Period, the Grant Recipient shall ensure that any unspent monies are returned to TVCA unless otherwise agreed in writing by TVCA.
- 5.8 Any liabilities arising after the Agreed Completion Date must be managed and paid for by the Grant Recipient using the Grant or other resources of the Grant Recipient. There will be no additional funding available from TVCA for this or any other purpose.
- 6. **PROJECT WORKS**
- 6.1 The Grant Recipient agrees with TVCA that:-
  - 6.1.1 it shall not carry out any Project Activities upon the Site without having obtained all necessary Consents for such activities, including traffic regulation orders in line with the Traffic Regulation Act 1984. All works to be delivered as permitted development consistent with the Town and Country Planning Act 1990;

- 6.1.2 it shall permit TVCA and its authorised representatives to attend any Project meetings including any Site meetings with the Grant Recipient's building contractor;
- 6.1.3 it shall permit TVCA and its authorised representatives to visit the Site upon reasonable notice to view the Works throughout the lifetime of the Project; and
- 6.1.4 it shall use all reasonable endeavours to ensure that the construction and operation of the Project reflect the overall principles of Sustainable Development.

## 7. WARRANTIES

7.1 The Grant Recipient represents and warrants to TVCA that:-

- 7.1.1 the execution of the Offer Letter has been validly authorised and the obligations assumed by the Grant Recipient constitute valid, legal, binding and enforceable obligations;
- 7.1.2 the Grant Recipient is not at the date of this Agreement aware of any:-
  - a) actual or potential litigation or administrative or arbitration proceeding which might have a material adverse effect on its business, assets or operations or might adversely affect its ability to perform its obligations under this Agreement; or
  - b) circumstances which may result in the bankruptcy or insolvency of the Grant Recipient, or the Grant Recipient making any composition with its creditors;
- 7.1.3 the information provided in the Application Form is true, complete and accurate;
- 7.1.4 it has disclosed to TVCA all information that might reasonably be thought to have influenced TVCA in awarding the Grant to the Grant Recipient; and
- 7.1.5 it is not aware of anything which may materially threaten the success of the Project.

## 8. PAYMENT OF GRANT

- 8.1 Subject to the Grant Recipient complying with the Claim Requirements, TVCA shall pay the Grant to the Grant Recipient on the Payment Date(s) and in the amounts set out in the Funding Profile.
- 8.2 The Grant Recipient shall make all Claims no less than fourteen (14) days in advance of each Payment Date by submitting the Claim Form to TVCA.
- 8.3 The Grant Recipient must notify TVCA promptly if at any time it becomes aware that it is unable to make a Claim in accordance with the Funding Profile.
- 8.4 Each Claim shall include accounting documents capable of being independently verified in such format and detail as may be acceptable to TVCA.

- 8.5 TVCA will aim to defray the relevant Grant within twenty (20) Working Days of receipt of a Claim, subject to the Grant Recipient satisfactorily meeting any request for further information or evidence. The time for payment of the Claim shall not be of the essence. TVCA shall have no liability to the Grant Recipient for any Losses caused by a delay in the payment of a Claim howsoever arising.
- 8.6 A progress report in respect of the Project must be submitted with each Claim in accordance with clause 12 (Monitoring and Reporting).
- 8.7 By submitting a Claim, the Grant Recipient warrants that:-
- 8.7.1 there is no Event of Default or material breach subsisting by reference to the facts and circumstances existing on each such date; and
  - 8.7.2 if it is not aware of anything which materially threatens the success or successful completion of the intention or purpose of this Funding Agreement.
- 8.8 TVCA shall apply the approach to Value Added Tax in relation to the Grant as set out in the Contract Particulars.
- 8.9 If in any Financial Year (the relevant year) there is a shortfall in the amount of Eligible Expenditure by reference to the amount planned in the Funding Profile, TVCA will be under no obligation to pay Grant for any additional Eligible Expenditure in the following year or any later Financial Year.
- 8.10 If in any Financial Year (the relevant year) there is an overspend in the amount of Eligible Expenditure by reference to the amount planned in the Funding Profile, TVCA will be under no obligation to pay Grant in the following year or any later Financial Year which was overspent in any relevant year.
- 8.11 The Grant shall be paid into a separate bank account in the name of the Grant Recipient which must be an ordinary business bank account. All cheques from the bank account must be signed by at least two individual representatives of the Grant Recipient.
- 8.12 The Grant Recipient shall not transfer any part of the Grant to bank accounts which are not ordinary business accounts within the clearing bank system, without the prior written consent of TVCA.
- 8.13 The Grant shall be shown in the Grant Recipient's accounts as a restricted fund and shall not be included under general funds.
- 8.14 The Grant Recipient shall keep separate, accurate and up to date accounts and records of the receipt and expenditure of the Grant monies received by it.
- 8.15 The Grant Recipient shall keep all invoices, receipts, and accounts and any other relevant documents relating to the expenditure of the Grant for a period of at least six (6) years following receipt of any Grant monies to which they relate. TVCA shall have the right to review, at the TVCA's reasonable request, the Grant Recipient's accounts and records that relate to the expenditure of the Grant and shall have the right to take copies of such accounts and records.

8.16 The Grant Recipient shall provide TVCA with a copy of its annual accounts within six (6) months (or such lesser period as TVCA may reasonably require) of the end of the relevant Financial Year in respect of each year in which the Grant is paid.

8.17 The Grant Recipient shall comply and facilitate TVCA's compliance with all statutory requirements as regards accounts, audit or examination of accounts, annual reports and annual returns applicable to itself and TVCA.

## 9. RETENTION OF GRANT

9.1 Without prejudice to any other provision of this Funding Agreement TVCA will retain 5% of the Grant which shall not be released unless and until the following events have occurred:-

9.1.1 financial completion of the Project;

9.1.2 TVCA has received, and is satisfied with, the final monitoring report following the final monitoring visit;

9.1.3 all audit issues outstanding are resolved; and

9.1.4 provided always that the release of the retention shall not operate as an acknowledgement or waiver and shall not preclude TVCA from exercising any of its rights under this Funding Agreement.

## 10. CORRECTIONS

10.1 Notwithstanding any other provision in this Agreement, TVCA may impose a Correction. If a Correction is imposed, a notice will be sent to the Grant Recipient setting out the Irregularity that TVCA considers has occurred together with the level of Correction imposed having regard to the Irregularity and/or the value of the Grant Claim to the extent that the Irregularity applies to it.

10.2 If a Correction is imposed, the Grant Recipient shall either pay the amount or agree to the Correction being offset from a future Grant Claim as the case may be. TVCA shall be at liberty to offset an amount of Grant in anticipation of a Correction pending the final outcome of any discussions or representations made by TVCA and/or the Grant Recipient in respect of the Correction.

10.3 The Grant Recipient shall be at liberty to make representations in writing to TVCA setting out the reasons it considers that the Correction should be adjusted together with evidence in sufficient detail to enable TVCA to reconsider the requirement for the Correction provided always that TVCA's decision shall be final and binding.

## 11. PROVISIONS RELATING TO ASSETS

### Inventory of the Assets

11.1 Using the Asset Register Template, the Grant Recipient must establish and maintain an inventory of all of the Assets.

11.2 The Grant Recipient covenants with TVCA that it will not use any Asset for any purpose other than the Approved Use throughout the Approved Use Period of the Asset.

## Change of use of any Asset

- 11.3 During the Approved Use Period of each Asset, the Grant Recipient shall not cease to use the Fixed Asset or the Major Asset, or any part of the Asset for the Approved Use without the prior written consent of TVCA. If consent is given, it may be subject to any conditions which TVCA may wish to impose. Such conditions may include repayment by the Grant Recipient to TVCA of all or part of the Grant paid to the Grant Recipient under this Funding Agreement.

## Disposal of any Asset

- 11.4 The conditions of this clause shall apply throughout the Approved Use Period of any Asset:-

11.4.1 in respect of any Planned Disposal, the Grant Recipient need not seek the prior written consent of TVCA to such Planned Disposal, provided the Grant Recipient can demonstrate that the disposal meets the definition of a Planned Disposal as agreed in accordance with this Funding Agreement;

11.4.2 further to clause 11.4.1 above, where the Grant Recipient intends to make a Planned Disposal the Grant Recipient shall notify TVCA in good time prior to such Planned Disposal, supplying evidence that such disposal meets the definition of a Planned Disposal as set out herein, and TVCA shall promptly supply to the Grant Recipient a letter addressed to the relevant Land Registry consenting to the disposal;

11.4.3 the Grant Recipient must not Dispose of any interest in any Asset without the prior written consent of TVCA. If TVCA grants consent to a Disposal, such consent may be subject to satisfaction of certain conditions, to be determined by TVCA;

11.4.4 where the Grant Recipient Disposes of any interest in any Asset without the prior written consent of TVCA, then the proceeds of the Disposal (limited to the total amount paid by TVCA to the Grant Recipient under this Funding Agreement) shall be held on trust by the Grant Recipient for the benefit of TVCA;

11.4.5 the liability under clause 11.4.4 is separate from the liability to comply with any decision of TVCA under clause to require repayment of the whole or any part of the amount paid of the Grant, to the Grant Recipient; and

11.4.6 the Grant Recipient shall provide to TVCA as part of the progress report referred to in clause 12.1 information in relation to any Disposals which it either intends to make or has made with the prior written consent of TVCA at the date of such progress reports.

## 12. MONITORING AND REPORTING

- 12.1 As part of each Claim, the Grant Recipient shall provide a report including the following information:-

12.1.1 a financial summary which identifies:-

- a) the amount of the Grant spent since the last Payment Date (if any);

- b) how the Grant identified at (a) above was spent;
  - c) confirmation that each item of expenditure identified above at (b) above is Eligible Expenditure; and
  - d) any remaining balance of the Grant held by the Grant Recipient;
- 12.1.2 full evidence of the expenditure itemised at 12.1.1a) above
  - 12.1.3 an update of progress against Key Milestones and confirmation of any Key Milestones which have not been met; and
  - 12.1.4 an update of progress against delivering Agreed Outputs and confirmation of any Agreed Outputs which have not been delivered.
- 12.2 In addition to the requirements set out in clause 12.1 above, the Grant Recipient shall (to the extent required):-
- 12.2.1 provide TVCA with financial and operational reports in relation to the Project on the frequency and in the format specified in the Funding Particulars and as further notified by TVCA from time to time;
  - 12.2.2 provide TVCA with such further information as TVCA may reasonably require in order for TVCA to establish that the Grant has been used properly in accordance with this Agreement within fourteen (14) days; and
  - 12.2.3 on reasonable written request, permit any person authorised by TVCA such reasonable access to its employees, agents, facilities and records, for the purpose of evaluating the Grant Recipient's compliance with this Agreement within fourteen (14) days.
- 12.3 For the duration of the Approved Use Period, the Grant Recipient shall inform TVCA immediately in relation to any Disposal:-
- 12.3.1 which it intends to make seeking the prior written consent of TVCA; and
  - 12.3.2 which it has made with the prior written consent of TVCA.
- 12.4 The Grant Recipient shall provide TVCA with a final report within fourteen (14) days of the Agreed Completion Date which shall confirm whether the Project has been successfully and properly completed.
13. **INTELLECTUAL PROPERTY**
- 13.1 The Grant Recipient agrees:-
- 13.1.1 to provide TVCA with digital images in electronic format which accurately demonstrate the Project (as reasonably requested by TVCA from time to time), along with the right to use those images at any time including the right to publish and to alter the images and to share them with relevant third parties;

- 13.1.2 to hereby grant an irrevocable, perpetual and royalty-free licence to TVCA to use, copy, keep and disseminate the Digital Outputs;
- 13.1.3 obtain and maintain in force all authorisations of any kind the Grant Recipient requires to use, copy, keep and disseminate the Digital Outputs and to grant the licence in clause 13.1.2 to TVCA;
- 13.1.4 to contract to the effect that any creation made on its behalf of material which forms Digital Output is undertaken on terms which enable it to grant the licence at clause 13.1.2 to TVCA; and
- 13.1.5 ensure that Digital Outputs are held securely and are available on request by TVCA.

## 14. **PUBLIC RELATIONS AND MARKETING**

### 14.1 The Grant Recipient agrees:-

- 14.1.1 to include the statement, 'This Project is funded by Tees Valley Combined Authority' and the Logo on or in:-
  - all Site hoardings and billboards;
  - on all communications it releases relating to the Project in whatever format;
  - where the Grant is made in relation to a Fixed Asset, on a sign in a prominent position to be agreed by TVCA;and that such statement and Logo will be given equal prominence to the Grant Recipient's own branding;
- 14.1.2 that TVCA has the right to publicise the Grant and the Project;
- 14.1.3 not to publish or display any item bearing the Logo or the name of TVCA without prior TVCA approval (not to be unreasonably withheld);
- 14.1.4 to give TVCA as much advance notice as possible of announcements and milestone events (at least four (4) weeks) to allow quotes to be arranged for any media releases from the TVCA and/or HM Government as TVCA considers this appropriate;
- 14.1.5 not to issue any public statement, press release or other publicity in relation to the Project without
  - a) prior TVCA approval (not to be unreasonably withheld); and
  - b) giving TVCA and/or HM Government (where TVCA considers this appropriate) the opportunity to include a quote or comment in the statement; and

14.1.6 to meet any additional acknowledgment or publicity requirements specified in the Funding Particulars or notified by TVCA from time to time, including the requirement to use the Logo in certain contexts.

14.2 TVCA grants to the Grant Recipient a non-exclusive, non-assignable licence to use the Logo where authorised or required to do so pursuant to this clause 14 (Public Relations and Marketing) only.

## 15. **SUBSIDY CONTROL**

15.1 The Grant Recipient confirms it has undertaken its own independent assessment of the compatibility of the Project with Subsidy Control Law and confirms to TVCA that the Project is structured so it is compliant with Subsidy Control Law.

15.2 Where TVCA has provided its views on any aspect of Subsidy Control Law, the Grant Recipient confirms that it has considered this information alongside all other sources of Subsidy Control Law available at the time of entering into this Agreement in undertaking its own assessment of the Project's compliance. TVCA has taken into account the Grant Recipient's representations on Subsidy Control Law compliance in deciding to offer the Grant.

15.3 The Grant Recipient agrees to:-

15.3.1 procure and maintain the necessary expertise and resources to deliver the Project in accordance with Subsidy Control Law for the full term of the Project; and

15.3.2 to maintain appropriate records of compliance with Subsidy Control Law and agrees to take all reasonable steps to assist TVCA to respond to any investigation(s) instigated by a regulator of UK Subsidy Control Law into the Project.

## 16. **EVENTS OF DEFAULT**

16.1 TVCA may at its absolute discretion:-

16.1.1 reduce, suspend or withhold the Grant or any part of it; and/or

16.1.2 require that all or part of the Grant be repaid, and/or

16.1.3 may terminate this Agreement, or any part of it, on written notice with immediate effect;

on the occurrence of any of the Events of Default listed in clause 16.2.

16.2 The Events of Default are:-

16.2.1 the Grant Recipient:-

a) is in breach of a material term of this Agreement which (in the reasonable opinion of TVCA) is not capable of remedy;



- b) is in breach of a material term of this Agreement which is (in the reasonable opinion of TVCA) is capable of remedy and the Grant Recipient has failed to remedy the breach within fourteen (14) days of receipt of written notice from TVCA specifying the breach and requesting that it be remedied;
- c) fails to commence the Project Activities by the date which is three (3) months after the date of this Agreement;
- d) does not claim the expenditure in line with the Expenditure Profile;
- e) does not complete the Project Activities by the Agreed Completion Date;
- f) fails to meet any Key Milestone or to deliver any Agreed Output;
- g) becomes bankrupt or insolvent, makes any composition with its creditors, or has a receiver appointed under the Mental Health Act 1983;
- h) dies or becomes unable to perform their obligations under this Agreement due to incapacity for any consecutive or aggregate period of four (4) weeks in any period of twelve (12) calendar months;
- i) ceases or threatens to cease to carry on its business;
- j) is guilty of any conduct bringing itself or TVCA into serious public disrepute, including but not limited to, a breach of clause 25 (Prevention of Bribery); or
- k) in the opinion of TVCA (acting reasonably) commits any act of dishonesty or serious or persistent misconduct in connection with or referable to the Project or this Agreement (including a material breach of health and safety legislation or of the Public Contracts Regulations 2015); or

16.2.2 any Consent necessary to enable the Grant Recipient to deliver the Project is not obtained or, having been obtained, is revoked, withdrawn, suspended, modified or made subject to conditions;

16.2.3 the Approved Use of any Asset has ceased without the prior written consent of the TVCA;

16.2.4 any of the warranties given or representations made by the Grant Recipient as set out in clause 7 (Warranties) and clause 25.2 (Prevention of Bribery) prove to be untrue or incorrect;

16.2.5 a Change occurs without the prior written approval of the TVCA;

16.2.6 any event or circumstance which (in the reasonable opinion of TVCA) might materially adversely affect:-

- a) the carrying out and completion of the Project or any part of it, or
- b) the Grant Recipient's ability to achieve the Agreed Outputs; or

c) the Grant Recipient's ability to meet the Key Milestones; or

16.2.7 a finding of non-compliance with Subsidy Control Law is made in respect of the Project by a Court of competent jurisdiction (in which case, the Grant Recipient acknowledges and agrees to repay the Grant with interest in accordance with the applicable reference rates on request).

## 17. DISPUTE RESOLUTION PROCEDURE

17.1 Any dispute arising in relation to any aspect of this Agreement shall be resolved in accordance with this clause 17.

17.2 The Parties shall endeavour to:-

17.2.1 notify each other of any anticipated disputes so that any potential dispute can be avoided by negotiation between them; and

17.2.2 resolve any failure to agree matters or any disputes by direct negotiations between senior representatives of the Parties.

17.3 Where direct negotiations have failed to resolve the dispute, either Party may refer the matter to an adjudicator ("the Adjudicator"). The Adjudicator shall be selected by the President for the time being of the Chartered Institute of Arbitrators unless the Parties in dispute agree another appropriate person.

17.4 The Adjudicator shall be deemed not to be an arbitrator but shall render his decision as an expert, and the provisions of the Arbitration Act 1996 and the law relating to arbitration shall not apply to the Adjudicator or their determination or the procedure used to reach the determination.

17.5 The Grant Recipient shall continue to comply with, observe and perform all its obligations hereunder regardless of the nature of the dispute and notwithstanding the referral of the dispute for resolution under this clause 17.

17.6 The Parties shall give effect forthwith to every decision of the Adjudicator delivered under this clause 17.

## 18. SURVIVAL

18.1 The following clauses will survive termination or expiry of this Agreement:-

18.1.1 clause 5 (Obligations of the Grant Recipient) to the extent the obligations continue to be capable of being met;

18.1.2 clause 6 (Project Works);

18.1.3 clause 10 (Corrections);

18.1.4 clause 11 (Provisions Relating to Assets);

18.1.5 clause 12 (Monitoring and Reporting);

- 18.1.6 clause 13 (Intellectual Property);
- 18.1.7 clause 14 (Public Relations and Marketing);
- 18.1.8 clause **Error! Reference source not found.** (Subsidy Control);
- 18.1.9 clause 16 (Events Of Default) in relation to the right to require repayment of the Grant only;
- 18.1.10 clause 20 (Freedom of Information and Data Protection);
- 18.1.11 clause 21 (Confidentiality);
- 18.1.12 clause 22 (Limitation of Liability);
- 18.1.13 clause 23 (insurance);
- 18.1.14 clause 25 (Prevention of Bribery);
- 18.1.15 clause 28 (Severance); and
- 18.1.16 clause 31 (Law and Jurisdiction).

## 19. **VARIATION**

- 19.1 No variation or modification to this Agreement is valid unless it is in writing and signed by each of the Parties.

## 20. **FREEDOM OF INFORMATION AND DATA PROTECTION**

- 20.1 The Grant Recipient acknowledges that TVCA is required to comply with the provisions of the Freedom of Information Act 2000 and the Environmental Information Regulations 2004.
- 20.2 The Grant Recipient agrees to assist and co-operate with TVCA as required by TVCA to enable TVCA to comply with its information disclosure obligations.
- 20.3 The Grant Recipient acknowledges that the Commercially Sensitive Information is indicative only and that TVCA may be obliged to disclose it to comply with its information disclosure obligations.
- 20.4 Except where the Grant Recipient is itself required to comply with the provisions of the Freedom of Information Act 2000 and the Environmental Information Regulations 2004, the Grant Recipient will not answer any request for information itself without the prior written consent of TVCA but shall pass these on to TVCA at the earliest opportunity for TVCA to respond to.
- 20.5 Where the Grant Recipient is required to comply with the provisions of the Freedom of Information Act 2000 and the Environmental Information Regulations 2004, the Grant Recipient shall use best endeavours to consult with TVCA before responding to any request for information directly relating to the Project.

20.6 The Grant Recipient shall (and shall procure that any of its staff involved in connection with the Project shall) comply with all applicable requirements of the Data Protection Legislation which arise in connection with this Agreement.

## 21. CONFIDENTIALITY

21.1 Subject to clause 20 (Freedom of Information and Data Protection), each Party shall during the Approved Use Period and thereafter keep secret and confidential all intellectual property rights (as per clause 13) or other business, technical or commercial information (including the Commercially Sensitive Information) disclosed to it as a result of the Agreement and shall not disclose the same to any person save to the extent necessary to perform its obligations in accordance with the terms of this Agreement or save as expressly authorised in writing by the other Party.

21.2 The obligation of confidentiality contained in this clause shall not apply or shall cease to apply to any intellectual property rights, or other business, technical or commercial information which:-

21.1.1 at the time of its disclosure by the disclosing Party is already in the public domain or which subsequently enters the public domain other than by breach of the terms of this Agreement by the receiving Party; or

21.1.2 is already known to the receiving Party as evidenced by written records at the time of its disclosure by the disclosing Party and was not otherwise acquired by the receiving Party from the disclosing Party under any obligations of confidence; or

21.1.3 is at any time after the date of this Agreement acquired by the receiving Party from a third party having the right to disclose the same to the receiving Party without breach of the obligations owed by that Party to the disclosing Party.

## 22. LIMITATION OF LIABILITY

22.1 TVCA accepts no liability for any consequences, whether direct or indirect, that may come about from the Grant Recipient running the Project, the use of the Grant or from withdrawal of the Grant. The Grant Recipient shall indemnify and hold harmless TVCA, its employees, agents, officers or Subcontractors with respect to all claims, demands, actions, costs, expenses, losses, damages and all other liabilities arising from or incurred by reason of the actions and/or omissions of the Grant Recipient in relation to the Project, the non-fulfilment of obligations of the Grant Recipient under this Agreement or its obligations to third parties.

22.2 Subject to clause 22.1, TVCA's liability under this Agreement is limited to the payment of the Grant

## 23. INSURANCE

23.1 The Grant Recipient shall affect and maintain with a reputable insurance company a policy or policies in respect of all risks which may be incurred by the Grant Recipient, arising out of the Grant Recipient's performance of the Agreement, including death or personal injury, loss of or damage to property (including any Assets) or any other loss (the "Required Insurances").

23.2 The Required Insurances referred to above include (but are not limited to):-

23.2.1 public liability insurance with a limit of indemnity of not less than ten million pounds (£10,000,000) in relation to any one claim or series of claims arising from the Project; and

23.2.2 employer's liability insurance with a limit of indemnity of not less than five million pounds (£5,000,000) in relation to any one claim or series of claims arising from the Project.

23.3 The Grant Recipient shall (on request) supply to TVCA a copy of such insurance policies and evidence that the relevant premiums have been paid.

## 24. **NOTICES**

24.1 Any notices required to be given by either Party to the other shall be in writing and shall be served personally or sent by registered post to the address stated in this Agreement for the relevant Party.

24.2 Any notice served will be deemed to have been served as follows:-

24.2.1 notice served personally will be deemed to have been served on the day of delivery; and

24.2.2 notice sent by post will be deemed to have been served forty-eight (48) hours after it was posted.

## 25. **PREVENTION OF BRIBERY**

25.1 The Grant Recipient shall not, and shall procure that any employee, agent or representative of the Grant Recipient shall not, in connection with this Agreement or the Project, commit a Prohibited Act.

25.2 The Grant Recipient warrants, represents and undertakes that it is not aware of any financial or other advantage being given or promised to be given to any person working for or engaged by TVCA.

## 26. **THIRD PARTY RIGHTS**

26.1 This Agreement is enforceable only by the Parties to it, by their successors in title and permitted assignees. Any rights of any person to enforce the terms of this Agreement pursuant to The Contracts (Rights of Third Parties) Act 1999 are excluded.

## 27. **NO WAIVER**

27.1 Failure by any Party at any time to enforce any one or more of the provisions of this Agreement or to require performance by another Party of any of the provisions shall not constitute or be construed as a waiver of the provision or of the right at any time subsequently to enforce all terms and conditions of this Agreement nor affect the validity of this Agreement or any part of it or the right of the Parties to enforce any provision in accordance with its terms.

## 28. SEVERANCE

If any provision of this Agreement shall become or shall be declared by any court of competent jurisdiction to be invalid or unenforceable in any way, such invalidity shall not impair or affect any other provision all of which shall remain in full force and effect.

## 29. COSTS AND EXPENSES

29.1 The Parties have agreed to share the costs incurred by TVCA in ensuring compliance with its Assurance Framework in the proportions set out in the Funding Particulars. The Grant Recipient notes that its share of these costs are to be deducted from the Grant as specified in the Funding Profile.

29.2 Each Party shall pay their own legal and administrative costs and expenses incurred in connection with the negotiation, preparation, execution, completion and implementation of this Agreement.

## 30. NO AGENCY OR PARTNERSHIP

Nothing contained in this Agreement, and no action taken by the Parties pursuant to this Agreement, will be deemed to constitute a formal partnership, joint venture, principal and agent or employer and employee. No Party has, nor may it represent that it has, any authority to act or make any commitments on any other Party's behalf.

## 31. LAW AND JURISDICTION

This Agreement shall be governed by the laws of England and shall be subject to the exclusive jurisdiction of the English Courts.

## APPENDIX 1 to Part 3 – Definitions and Interpretation

1. In this Agreement, unless the context otherwise requires:-

- 1.1. references to any individual includes his or her personal representatives and successors by law and references to 'TVCA' include its permitted assigns;
- 1.2. reference to any statute or statutory provision includes a reference to that statute or provision as from time to time amended, extended, re-enacted or consolidated and all statutory instruments or orders made pursuant to it;
- 1.3. words denoting the singular shall include the plural and vice versa, words denoting any gender include all genders, and words denoting persons shall include firms and corporations and vice versa; and
- 1.4. references to clauses and clause headings are for convenience only; and
- 1.5. the following expressions shall have the following meanings:-

“Agreed Completion Date” means the date specified in the Funding Particulars or such other date as may be agreed in writing by TVCA for the completion of the Project;

“Agreed Purpose” means the purpose for which the Grant may be used by the Grant Recipient as specified in the Funding Particulars;

“Agreed Outputs” means the outputs or deliverables that the Grant Recipient has agreed to deliver as part of the Project as specified in the Funding Particulars;

“Agreement” means the documents setting out TVCA’s agreement to provide (and the Grant Recipient’s agreement to accept) the Grant, consisting of the following documents which are to be read as one document:-

- a) Part 1 – the Offer Letter;
- b) Part 2 – the Funding Particulars;
- c) Part 3 – the Standard Funding Terms; and
- d) Part 4 – the Application Form;

and in the event of conflict between any of the Parts of the Agreement, the Parts shall have the order of precedence set out above;

“Application Form” means the application form submitted by the Grant Recipient to TVCA attached at Part 4 of this Agreement which sets out the purposes for which the Grant was sought;

“Approved Use”	means approved use of the Asset as set out in the Funding Particulars;
“Approved Use Period”	means the period set out in the Funding Particulars;
“Asset”	means any asset being funded in whole or in part by the Grant as described in the Application Form which may be either a Fixed Asset or a Major Asset as appropriate in the relevant context and Assets shall be construed accordingly;
“Asset Register Template”	means the asset register template notified by TVCA to the Grant Recipient;
“Audit”	means and inspection and verification of the accounts conducted by an independent qualified accountant;
“Certificate of Title”	of means a certificate of title evidencing the Grant Recipient's title to the Site of the Works in the form required and notified by TVCA;
“Change”	means in relation to the Project as defined in the Application any of the following changes:- <ul style="list-style-type: none"><li>a) a change in the Ownership, Control and Nature of Business of the Grant Recipient;</li><li>b) a change in the nature or purpose of the Project;</li><li>c) any change to the Eligible Expenditure;</li><li>d) any change to the Expenditure Profile;</li><li>e) any change to any of the Key Milestone Dates;</li><li>f) any change to any of the Agreed Outputs; or</li><li>g) any material change to the Project Specifications (that is, more than merely trivial and inconsequential in its consequences);</li></ul>
“Claim”	means the submission of a Claim Form by the Grant Recipient to TVCA at the intervals agreed in the Funding Profile;
“Claim Form”	means the form provided to the Grant Recipient by TVCA to request draw down of the Grant;
“Claim Requirements”	means the requirements which trigger each payment of the Grant as set out in clause 8 (Payment of Grant) and the Funding Particulars (where relevant) or as subsequently notified to the Grant Recipient;



“Commercially Sensitive Information”	any information identified by the Grant Recipient in the Funding Particulars as being of a commercially sensitive nature, which, if disclosed by TVCA would cause the Grant Recipient significant commercial disadvantage or material financial loss;
“Completion”	means completion of the Project Activities to the satisfaction of the TVCA;
“Conditions”	means the terms and conditions upon which the Grant is payable as contained in clause 8 of the main body of this Capital Funding Agreement;
“Consents”	includes any approval, consent, exemption, licence, permission or registration by or from any governmental or other authority or other person to enable the Project to be lawfully commenced, carried out and/or maintained;
“Control”	control as defined by section 416 of the Income and Corporation Taxes Act 1988;
“Corrections”	means an amount to be repaid or withheld from the Grant payable as determined following the finding of an Irregularity in accordance with clause 10;
“Data Protection Legislation”	means all applicable data protection and privacy legislation in force from time to time in the UK including the UK GDPR, the Data Protection Act 2018, (and regulations made thereunder), and the Privacy and Electronic Communications Regulations 2003 (SI 2003/2426) as amended;
“Delivery Partner”	means a third party that (in collaboration with the Grant Recipient) shall deliver the Project, itself defray expenditure to be claimed and carry out the Project Activities and which third party is not intended by either Party to be providing services or works under a contract for services or works;
“Digital Outputs”	all material created in or copied into digital format by or for the Grant Recipient in connection with the Project, including all advice, reports, studies and other documentation prepared or commissioned by the Grant Recipient in connection with the Project;
“Disposal”	means the disposal, sale, transfer or the grant of any estate or interest in any Asset including a Lease Disposal, where relevant in the context, and includes the creation of any charge, legal mortgage, debenture, lien or other encumbrance and any contract for a disposal and ‘Dispose’ shall be construed accordingly;
“Eligible Expenditure”	means the costs relating to the Project that the Grant can be used to fund as set out in the Funding Particulars;
“Event of Default”	of means any of the events described in clause 16.2;

“Expenditure Profile”	means the information provided by the Grant Recipient detailing the spend forecast for the carrying out of the Project Activities and defrayal of expenditure from the Project Start Date to the Agreed Completion Date as set out in the Funding Particulars;
“Financial Year”	means 1 April to 31 March;
“Fixed Asset”	means any Asset which consists of land and/or buildings, plant, machinery or other thing that is, or is to be, fixed to any land and which is to be acquired, developed, enhanced, constructed and/or installed as part of the Project;
“Funding Particulars”	means the document detailing the specific core terms agreed between the Grant Recipient and TVCA in respect of the provision of the Grant at Part 2 of this Agreement;
“Funding Profile”	means how and when the Grant shall be defrayed to the Grant Recipient as specified in the Funding Particulars;
“Governing Body”	means the governing body of the Grant Recipient including its Directors or Trustees;
“Grant”	means the monies to be provided to the Grant Recipient by TVCA for the Agreed Purposes;
“Grant Claim”	means a claim for Grant in accordance with clause 8;
“Grant Recipient”	means the Party named in the Offer Letter;
“Irregularity”	means an infringement of a provision of applicable Law (including Subsidy Control Law and procurement requirements) resulting from an act or omission by a Grant Recipient or a Delivery Partner (and/or its agents and Subcontractors), which has, or would have, the effect of prejudicing the general budget of the TVCA by charging an unjustified item of expenditure to the general budget as determined following an Audit;
“Key Milestone”	means any milestone(s) which the Grant Recipient is required to meet with regard to delivering the Project and/or the Agreed Outputs as specified in the Funding Particulars;
“Law”	means any applicable Act of Parliament, subordinate legislation within the meaning of section 21(1) of the Interpretation Act 1978, exercise of the Royal Prerogative, bye-law, regulatory policy, guidance or industry code, judgement of a relevant court of law, or directives or requirements of any regulatory body of which the Grant Recipient is bound to comply;
“Lease Disposal”	means the grant of a Market Rent Lease;
“Logo”	means the logo for TVCA, the Tees Valley Mayor and HM Government as follows (and must be reproduced in colour):-

“Long Lease”	means a lease for a term equal to or exceeding ninety nine (99) years granted at a premium and reserving either a peppercorn or a nominal rent but which is not a Market Rent Lease;
“Losses”	all costs, actions, demands, expenses, losses, damages, claims, proceedings, awards, fines, orders and other liabilities (including reasonable legal and other professional fees and expense) whenever and however arising;
“Major Asset”	means an Asset which is not a Fixed Asset but has a value as at the date of this Funding Agreement (or date of acquisition if the acquisition is funded (in whole or in part) by this Grant) of at least £5,000.00 (five thousand pounds);
“Market Rent Lease”	means any lease which is granted at a full market rent namely not for a nominal rent or at a significant undervalue;
“Match Funding”	means the contribution to the Project to meet the balance of Eligible Expenditure not supported by Grant and the Match Funding details are contained in the Funding Particulars;
“Monitoring Period”	means the period specified in the Funding Particulars or such other period as may be agreed in writing by TVCA;
“Offer Letter”	means the letter to the Grant Recipient offering the Grant forming Part 1 of this Agreement;
“Ownership, Control and Nature of Business”	shall be construed in accordance with section 840 of the Income and Corporation Taxes Act 1988 and section 1162 of the Companies Act 2006 and for the avoidance of doubt shall include an evaluation of dominant influence and shadow directorships in the Grant Recipient from time to time;
“Party”	means the Grant Recipient or the TVCA as appropriate and ‘Parties’ means both the Grant Recipient and the TVCA;
“Payment Date”	means the date or dates given in the Funding Profile for the payment of the Grant or any part of it;
“Payment Period”	means the period from one Payment Date to the next consecutive Payment Date;
“Permitted Security”	any charge, legal mortgage, debenture, lien or other encumbrance over any Asset which has been approved by TVCA the details of which are set out fully in the Funding Particulars;
“Planned Disposal”	means a Lease Disposal of any Fixed Asset (or any part of the Fixed Asset) or the grant of a licence to occupy by the Grant Recipient which is intended as a planned step in the implementation of the Project, was referred to as such in

	the Application, and the details of which are set out fully in the Funding Particulars;
“Preconditions”	means the Conditions Precedent in clause 3 and any other conditions which the Grant Recipient is required to meet prior to the Grant being paid by TVCA as set out in the Funding Particulars;
“Preliminary Expenditure”	means Eligible Expenditure in relation to site investigation works, site surveys, environmental appraisals and/or feasibility studies carried out in relation to the Project;
“Prohibited Act”	means any offence under the Bribery Act 2010 or any other legislation creating offences concerning fraudulent acts;
“Project”	means the Project in relation to which the Grant has been provided as described in the Funding Particulars;
“Project Activities”	means all activities to be carried out in implementing the Project and includes any Works to be carried out in relation to any Fixed Assets;
“Project Specifications”	means the drawings and specifications describing the Works which have been approved by TVCA in writing, or such revised drawings and specifications as TVCA may from time to time approve in accordance with the provisions of this Funding Agreement;
“Project Start Date”	means the date specified in the Funding Particulars, or such other date as may be agreed in writing by TVCA;
“Site”	means the land registered in favour of the Grant Recipient under the title numbers referred to in the Certificate of Title including any part thereof and also includes any estate or interest therein;
“Standard Funding Terms”	means TVCA’s Standard Terms and Conditions of Funding attached at this Part 3 of this Agreement;
“Subsidy Control Law”	means the rules embodied in Part 2, Title XI of the EU-UK Trade and Co-operation Agreement dated 24 <sup>th</sup> December 2020 and the Subsidy Control Act 2022;
“Sustainable Development”	means social progress which recognises the needs of everyone, effective protection of the environment, prudent use of natural resources and economic development that is inclusive, efficient and stable;
“Term”	means the period from the Project Start Date to the Agreed Completion Date;
“TVCA”	means Tees Valley Combined Authority of Teesside Airport Business Suite, Teesside International Airport, Darlington DL2 1NJ;

“UK GDPR”	has the meaning given to it in section 3(10) (as supplemented by section 205(4) of the Data Protection Act 2018;
“Value Added Tax (VAT)”	value added tax chargeable under the Value Added Tax Act 1994 and any similar replacement or additional tax; and
“Works”	means any works of construction and/or demolition and/or remediation and/or any other works in relation to a Fixed Asset which are described in the Project Specifications.

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## RESTRICTED: BUSINESS CASE

FOR TVCA USE ONLY – INITIAL GATEWAY CHECK	
TVCA Reference Number	PROJ-2371
Programme / Project Name	Linthorpe Road Highway Reinstatement
TVCA Group Company / Directorate	Infrastructure
TVCA Cabinet Allocation Amount	£2,387,585, including a proposed £2,169,699 GFA to MBC.
Cabinet Decision reference & date	TVCA 42/21 28 January 2022 DfT CRSTS Programme Delivery Plan 29 July 2022
Change required from SOBC to FBC?	This is an FBC, subject to final tendered costs by a procurement to be ran by Middlesbrough Council (MC)
Strategic Theme this project contributes to	Transport & Infrastructure
Investment Plan Theme this project delivers	Transport/Place/Business Growth
Equality Impact Assessment Signed?	Yes
Mayoral / Corporate Policy fit	Links to Middlesbrough Town Centre Development Corporation
Subsidy Control Regime Reviewed?	Yes
Outline Stakeholder Management Plan?	Yes
Contractual structure eg JV, partnership	N/A
Date of receipt of completed application	16/12/24
Priority Project?	Yes
Form signed	Yes

### TVCA DISCLAIMER

Submitted Business Cases are subject to TVCA's appraisal process including appropriate due diligence. Following this process, a decision to fund or not will be made under the Local Assurance Framework.

There should be no expectation of funding assistance unless and until both parties sign a Funding Agreement. All the project sponsor's costs and charges incurred in making this Business Case shall be for the project sponsor's account and cannot be claimed as part of the Programme / Project

FOR DEVELOPMENT USE ONLY: VERSION CONTROL				
Date	Version No	Section Ref	Summary of Significant Change	Initials
16.12.24	1.0		Draft Business Case	CM
20.12.24	2.0	2	Revisions to Economic Case	CM

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PROJECT SPONSOR DETAILS	
Lead Organisation:	Tees Valley Combined Authority
Registered Address:	
Type of Organisation:	Combined Authority
Date of Formation:	April 2016
Company Registration Number:	N/A
VAT Registration Number:	GB 232 6802 24
Are you part of a group of companies?	Yes
If so, who is the parent company?	TVCA
Lead Sponsor: name	Tom Bryant
Lead Sponsor: telephone number	07720601286
Lead Sponsor: email address	tom.bryant@teesvalley-ca.gov.uk
Lead Sponsor: position in organisation	Director - Infrastructure
Contact address if different from above:	
Project Manager: name	Craig MacLennan
Project Manager: telephone number	07386656020
Project Manager: email address	craig.maclennan@teesvalley-ca.gov.uk
Project Manager: position in organisation:	Senior Major Projects Manager
Contact address if different from above:	

PUBLICITY STATEMENT	

EXECUTIVE SUMMARY	
TVCA Ref:	PROJ-2371
Programme / Project Name:	Linthorpe Road Highway Reinstatement
Location: (delete as appropriate)	Linthorpe Road, Middlesbrough. (Ayresome Street to Borough Road)



Total Programme / Project Cost:	£2,387,585 – CRSTS1, including a £2,169,699 GFA to MBC.
TVCA funding requested: £	£2,387,585 – CRSTS1, including a £2,169,699 GFA to MBC.
Total of other funding sources: match £	0
Total of other funding sources: leverage £	0

The previous installation of the cycle lane infrastructure has generated a number of negative comments since its installation, particularly the loss of parking and loading provision, now not being adjacent to some businesses.

Considering the issues reported, it is proposed to remove the cycle lane infrastructure and reinstate the previous highway layout, including the installation of the previous parking supply. This includes the reinstatement of 47 bays to their original locations. This will support local business and the economy, and also mitigate other comments regarding impacting traffic flow (including for buses), which has been perceived as a negative consequence of the cycle lanes being introduced.

The value of the project and associated ask is £2,387,585, and it is proposed this is 100% funded from City Regional Sustainable Transport Settlement 1 (CRSTS1), with an allocation within the wider CRSTS programme to be utilised to support the Middlesbrough Development Corporation. This includes a Quantified Risk Assessment allocation, monetising foreseen risks. A cost validation exercise has been undertaken on estimates from both MC and the WSP detailed designer, based on a detailed Bill of Quants measured from the detailed design drawings.

A programme has been developed in dialogue with MC, seeking Traffic Regulation Orders to be advertised following their Executive Committee on February 5<sup>th</sup>, which would see a contractor appointed to allow commencement on site in May 2025, and completion before the end of 2025. The NEPO framework has been identified as the sourcing option to market.

The **BCR is 1.56** and has a Medium Value for Money rating and has also been tested using sensitivity tests based on parking usage, parking income and associated visitor expenditure.

## CASE 1: STRATEGIC CASE

### Key Messages:

Reinstatement of previous highway layout, including 47 parking bays back to their original locations, to support the local economy and businesses along Linthorpe Road, between Borough Road and Ayresome Street.

The project aligns with Local and National Economic and Regeneration policies and strategies, providing infrastructure to support the local economy. Overwhelming support has been received for the reinstatement of pay and display parking, enabled by the removal of cycle lanes, during a consultation in Summer 24.

The proposed scheme has been developed, considering a number of key success factors, including being delivered to programme and budget, and reinstatement of 47 pay and display bays generating additional parking revenue and associated visitor expenditure.

### 1.1 Strategic fit with Sponsor Organisation's Strategic or Local Plans

Name of Plan / Strategy / Programme	Summarise the relevant sections, and describe how this Programme / Project fits
TVCA Strategic Economic Plan (SEP)	The SEP is focused around six thematic building blocks which reflect the main priorities and areas of activities over the next ten years to unlock transformational growth: The project contributes to TVCA's policy objectives by aligning with Place Theme of the TVCA SEP. The Place Theme includes the wording "create places that attract and retain businesses and business leaders, and make the area an attractive place to live, work and visit".
Middlesbrough Development Corporation (MDC)	<p>The MDC was created to fund, manage, and accelerate regeneration in Middlesbrough town centre. The removal of the cycle lane and reinstatement of parking will support footfall and contribute to safeguarding existing and supporting new employment along Linthorpe Road, linking into the MDC area including Gresham.</p> <p>An allocation within CRSTS1 to support the MDC.</p>
Tees Valley Investment Plan	<p>This ten-year Investment Plan (2019-2029) is central to TVCA's plan to drive Teesside, Darlington and Hartlepool forward. The Devolution Deal with Government has secured hundreds of millions of pounds to stimulate economic growth and support the creation of thousands of jobs for local people. The Linthorpe Road Highway Reinstatement proposal links to three of the six growth generating themes:</p> <ul style="list-style-type: none"> <li>Transport</li> <li>Business Growth</li> <li>Place</li> </ul>

### 1.2 Strategic fit with National and Regional Policy / Strategy Documentation

Name of Strategy	Summarise relevant strategy and explain how the Programme / Project aligns
National Planning Policy Framework	<ul style="list-style-type: none"> <li>- Building a strong and competitive economy</li> <li>- Ensuring the vitality of town centres</li> </ul>
Government Cluster of Town Centre Regeneration Funds (Towns Deal, Future High Street Funding and UK Shared Prosperity Funding)	Whilst the scheme doesn't have any of these funds, it aligns to their overarching objective of supporting town centres and economic growth.
Build Back Better: Our Plan for Growth, HM Treasury (2021)	Infrastructure: Investment in roads to stimulate short-term economic activity and drive long-term productivity improvements.

### 1.3 Geographical Location and Summary of overall Strategic fit

The proposed project will be delivered on Linthorpe Road (B1272), between Borough Road and Ayresome Street. The length of the scheme is circa 1km. This section of Linthorpe Road is the most northern section, and links to the town centre and Middlesbrough Development Corporation. It serves both as a tertiary shopping area and an area with nightlife, with restaurants and pubs/bars along it. Despite the corridor acting as a high frequency bus corridor, there is a dependency for car parking.

The demand for parking is throughout the day, reflecting the dual nature as both a shopping and also nightlife area. Currently there is only 54 pay and display bays along the length, which is a reduction of 47%, following the installation of the cycle scheme. Feedback from businesses is that loading is difficult, with formal provision not adjacent to some businesses. Observations have shown that 'informal' loading and parking occurs in areas where it is prohibited, causing further traffic flow issues including on public transport operations.

It should be noted that the current provision of parking provision is not continuous along the whole length, and is grouped, which is thought to be linked to the parking occupancy levels decreasing from 33% in the previous layout to 18% currently. i.e. parking supply is not located as desired. This disadvantages businesses, who do not have parking and loading provision directly adjacent.

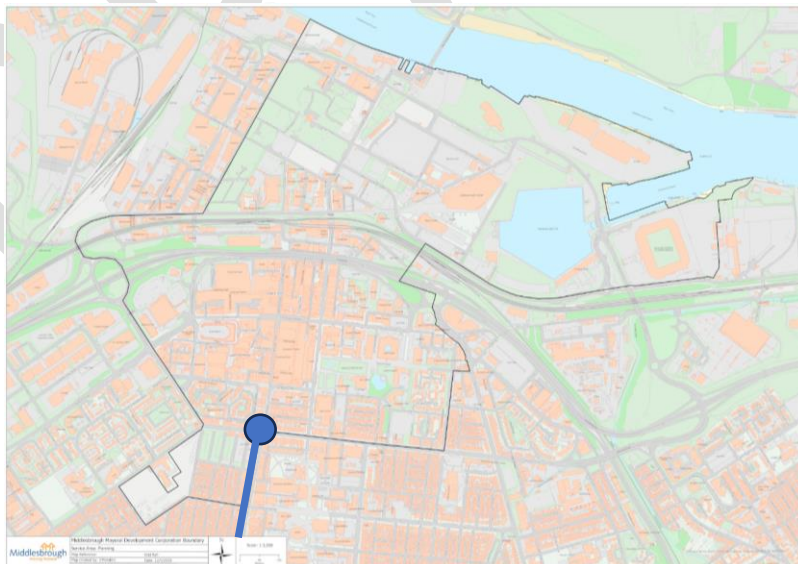
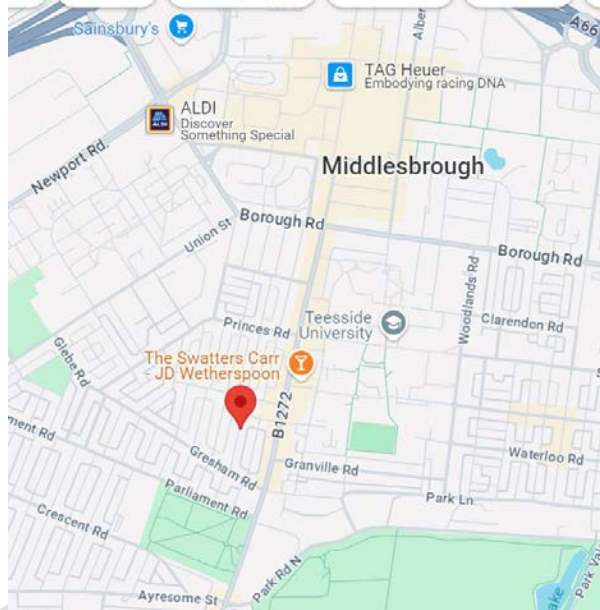
The road also serves residential streets to both the west and east of it, with a large population. Teesside University is also to the east. A significant proportion of the side roads have been closed to traffic, with footway crossovers installed as part of the original scheme. This has inconvenienced residents living in these areas, with longer journey distances.

It is proposed to reintroduce the original levels of Pay and Display parking, to support local businesses and local economy. To reintroduce the 47 Pay and Display Bays in their original location, this needs to be achieved, by removing the cycle lane infrastructure throughout. A highway cross section is not available to accommodate both the cycle lanes and the full parking reinstatement.

The reinstatement will also lead to a more linear layout, aiding the movement of buses and other highway users.

Side roads will be reopened, apart from King Edward Square and Victoria Street, to provide more convenient access for residents.

## Geographical Context Plan of Linthorpe Road (B1272). Scheme proposal from Ayresome Street to Borough Road



## 1.4 Evidence of Need, Supply and Demand

Since the installation of the existing cycle lane in Autumn 2022 and the initial amendments to the scheme to address some of the problems with tripping on 'light segregation' features, feedback has continued from both businesses and residents related to problems and issues with the existing cycle lane infrastructure and the layout. Feedback has included:

- The remaining orcas present a trip hazard to pedestrians;
- Loading has become more difficult for businesses;
- There has been a loss of parking on Linthorpe Road, which has been deemed by the businesses to have negatively impacted their commercial operations;
- and
- Bus islands have created conflict between cyclists and bus users.

TVCA undertook a month-long consultation into the removal of the cycle lanes in August and September 2024. A total of 390 responses were received, approximately 60% from residents of Middlesbrough and 30% from Tees Valley residents living outside of Middlesbrough. Approximately 7% of responses were received from business owners or representatives, with the remainder from other local groups, schools or residents from outside the Tees Valley. The results of this consultation have shown the high levels of support for removing the cycle lane and reinstating the previous layout. The survey responses show 70.7% support for the removal of the cycle lanes on Linthorpe Road. 73% of respondents said parking and/or loading space should be reinstated.

Recurring themes that were mentioned in the responses include:

- Business owners state that the loss of car parking as a consequence of the cycle lanes, negatively affects trade, loading and deliveries;
- Comments that the cycle lanes have worsened traffic congestion. The reduction in road width and changes to bus stop designs have led to longer delays and difficulties for drivers, particularly during peak hours;
- Comments that the cycle lane's layout, and how people are informally parking/loading is said to obstruct emergency vehicles, making it harder for them to access Linthorpe Road; and
- Comments the cycle lanes are not well-used compared to the disruption they cause.

TVCA has also consulted with the local bus operators Stagecoach and Arriva over the proposal. Stagecoach strongly advocates for the removal of the cycle lane, citing delays to their services entering Middlesbrough due to the current road layout. Both operators support reinstating key bus stops, including at The Crown/King Edward Square, Granville Road, and outside One Life Medical Centre. The operators also urged a return to wider running lanes for general traffic to address safety concerns.

### **Cycle Flows**

A comparison of average daily cycle count data for May 2022 (pre installation of the cycle lane) and May 2024 (post installation of the cycle lane) is set out below:

## Comparison of Daily Cycle Flows, Before and After Installation

	Cyclists
May 2022	293
May 2024	394
Difference	101

Whilst cyclist numbers have increased with the installation of the cycle lane, this has been countered with negative perceptions of the original scheme.

### Car Parking Numbers

On-street parking offers convenience, especially in areas where off-street parking options are limited. It allows drivers to park closer to their destinations, reducing the need for long walks. The location of the car parking facilities has an impact on where people choose to shop as consumers are more likely to visit stores in the close vicinity of where they parked. As a result, the reduction in car park users gives weight to the business concerns about a loss in trade. It should be noted that observations (14/12/2024) showed that the majority of vacant units along Linthorpe Road, no longer had pay and display parking or loading provision adjacent, as a consequence of the cycle lane infrastructure being introduced. Circa a dozen units were vacant along the impacted section of Linthorpe Road.

In 2018 there were 10 accidents recorded on Linthorpe Road – of these, none involved cyclists. Accidents involving pedestrians resulted in slight injuries to five pedestrians. Three of these (60%) involved pedestrians attempting to cross the carriageway from the driver's nearside and two from the drivers offside.

In the first full calendar year after installation of the cycle lane (2023), 8 accidents were recorded on Linthorpe Road – of these, one of which involved a cyclist. Accidents involving pedestrians resulted in slight injuries to four pedestrians and serious injuries to one pedestrian. Three of these (75%) involved pedestrians attempting to cross the carriageway from the driver's nearside and thus would have also been crossing the cycle lane.

Following opening there were previous news reports citing incidents, including a 78 year-old woman who suffered a broken wrist, a black eye, and concussion after tripping over one of the orcas and also a 27 year-old woman who fractured her elbow whilst crossing the cycle lane.

It should be noted the number of road accidents and casualties recorded fluctuates from year to year, and the extent to which these fluctuations represent an indication of a real underlying trend as opposed to random year to-year variation should be treated with some caution. This also considers the safety improvements implemented post opening.

Although there is no official data documenting the trip hazard issues, the consultation responses continue to raise safety concerns.

### 1.5 Need for Public Intervention

Reflecting the value of the scheme (>£2.3m), it's not viable or practical for businesses along Linthorpe Road to part or fully fund the measures. This particularly considers the businesses are small in nature, with typically less than 20 employees.

There is no S106 funding currently available, or likely to come forward, which could be utilised for the proposals.

The original scheme, which removed the parking, was funded using DfT funding. It would therefore not be felt appropriate for private sector funding, to reinstate the previous highway layout, even if such funding was available.

## 1.6 Constraints

Constraint	Description
Permanent Traffic Regulation Orders	<p>Traffic Regulation Orders are a legal requirement under The Road Traffic Regulation Act 1984, which are necessary when traffic restrictions are changed, as part of a proposed scheme. This is the case with this project. The TROs have to be advertised for a statutory period by MBC as the Highway Authority. This will occur following an MBC Exec Committee, intended for 5<sup>th</sup> February, subject to assurance of this Business Case. Construction can't commence until the TROs are advertised and made.</p> <p>Consultation has occurred during Summer 24 to formally gauge the opinion regarding the removal of the cycle lane infrastructure, which received overwhelming support.</p>
Highway Technical Approvals	<p>TVCA commissioned the design for the reinstatement.</p> <p>However MBC as the Highway Authority have had to formally approval the design, which occurred at their Executive Committee on 4<sup>th</sup> December 24.</p>
Road Safety Audit	<p>An RSA 1-2 has been undertaken in line with GG119 related to the proposed design.</p> <p>A RSA3 will be undertaken at the end of construction completion, ahead of opening.</p> <p>MBC as the Overseeing Organisation have the final say on recommendations from the Audits.</p>

## 1.7 Critical Success Factors

Critical Success Factor	Description and SMART Measures of Success
To Programme	The scheme to be constructed and open by the end of 2025
To Budget	The scheme to be delivered within the budget ask of £2,387,585
Parking reinstatement	Reinstatement of 47 Pay and Display parking spaces
Pay and Display user numbers	Increase in user numbers to previous levels – 45,805 increase, generating extra visitor expenditure.
Reduction in the number of vacant units	Reduced number of vacant units – currently circa 12.

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## CASE 2: ECONOMIC CASE

### Key Messages:

Shortlisted option taken forward into the Business Case is for the full reinstatement of the previous highway layout.

Present Value of Benefits of **£1,793,024**, over a 20-year appraisal period. BCR of **1.56**, offering Medium Value for Money. Net Present Value of **£675,084**.

Benefit generation linked to increased parking levels, through the reinstatement of pay and display parking bays, with an increased income level of **£84,913.94 p.a.** And related visitor expenditure of **£229,025 p.a.** These figures before discounting.

### 2.1 Options Development: Long list to short list

#### Do Nothing

In this option the current layout, with the cycle lanes demarcated by orcas and wands, will remain in place with no changes. 54 parking bays will remain.

#### Do Minimum Option: Remove Orcas but Retain Cycle Lane Layout – up to circa £100k

This option sees the orcas that provide partial separation of the cycle lane from vehicles removed, to address the specific issues raised around potential trip hazards. The existing cycle lane layout would be retained, but with the removal of those vertical features. No other significant changes would be implemented. 54 parking bays would remain, with the other 47 bays not reinstated.

#### Do Something Option 1: Full Removal - £2.38m - retaining closures of Victoria Road and King Edward Square, and retaining 20 mph speed limit

In this option, the existing cycle lane infrastructure between Borough Road and Ayresome Street will be removed, and the road will be put back to its original layout. Although the Victoria Road and King Edwards Square closures will remain in place, as will the retention of the current 20mph speed limit. As part of the removal of the cycle lane, 47 short-stay parking spaces will be reinstated, taking the total number to 101. All bus stops will also be put back to their original design and layout. All other side road closures will be removed allowing direct access to/from Linthorpe Road from adjacent residential areas.

#### Do Something Option 2: Full Removal – circa £2.5m

This option reflects the above, but also reopens the King Edward Square and Victoria Road closures, as well as reinstating the previous 30mph speed limit.

#### Long List to Short List

The **Do Nothing Option** is **discounted** from the Long List as doesn't resolve any of the issues raised during consultation.

The **Do Minimum Option** would address any pedestrian trip hazard issues with the existing orcas, referenced in the consultation. However the issues raised in the consultation by local businesses about the reduction in trade and difficulties with servicing would also remain. As a result, this option is **discounted** from the Long List.

## Short List Prioritisation

The **Do Something 1** and **2 Options** are comparable in the economic outputs they provide, in terms of pay and display bays reinstated, and related visitor expenditure.

**Do Something 2** is not consistent with an approved planning application from Wetherspoons for an outside table area at the junction with Victoria Street. **Do Something 2** is also not consistent with a potential future pedestrian crossing linking over Linthorpe Road from the Gresham development. It should be noted however this is subject to separate processes, including related planning applications.

**Do Something 1** also provides retains a lower speed limit, which will assist with cyclists riding within traffic lanes with general traffic, with the proposed existing light segregation removed.

Therefore **Do Something Option 1** has been taken forward as the shortlisted option to test via an economic appraisal.

## 2.2 Shortlisted Option: Monetary Costs and Benefits

Removing the existing cycle lanes and restoring on-street car parking will generate additional parking revenue, over and above what would be received if the cycle lane infrastructure was to remain in place.

To calculate the value of this additional revenue, the following assumptions have been made:

- Calculations are based on on-street car parking income figures obtained from Middlesbrough Council for 2019/20 and 2023/24;

- It is assumed that with the cycle lane still in place, the parking revenue would remain at 2023/24 levels;

- With the cycle lane removed, parking demand would return to 2019/20 levels, but with an uplift to reflect increases in parking charges. This considers parking is to be reinstated in its original locations;

- The value of this additional car parking revenue has been estimated in 2026/27 prices for a 20-year appraisal period, commencing from 2026;

- Average parking cost would increase in line with historic levels at a rate of 1.028 per annum, informing an average cost of £1.85 in 26/27. To provide a conservative and robust assessment, the parking cost is held flat from 26/27;

- This gives a value of the additional car parking revenue over a 20 year appraisal period of **£484,974**, discounted to 2010. Before discounting this equates to **£84,914** extra parking revenue per annum;

- Visitor expenditure has been applied at a conservative £5 per car over an appraisal period of 20 years. This provides an expenditure figure of **£1,308,409**, discounted to 2010. Before discounting this equates to **£229,025** extra visitor expenditure per annum on Linthorpe Road, supporting local businesses and the economy.

- With sunken development/design costs, inflation and the QRA value removed, but with Optimism Bias of 20% applied, the **Present Value of Costs in 2010**

- Market Prices** is **£1,146,405** over the appraisal period;

- The Net Present Value is **£646,614**;

The Benefit Cost Ratio is **1.56**, reflecting **Medium Value for Money**; Maintenance Costs haven't been applied, as qualitatively it is felt there will be a maintenance saving, compared to the current layout. This considers there will be less infrastructure within the carriageway.

### Parking Demand and Revenues – Before and After Introduction of the Cycle Lane Infrastructure

	2019/20	2023/24
	Linthorpe Road (previous layout – without cycle lane infrastructure)	Linthorpe Road (with cycle lane infrastructure)
No. spaces	101	54
19/20 income (£)	£108,315.00	£43,260.00
No. customers	71,453	25,648
Average cost (£)	£1.52	£1.70
Average stay (hours)	1.2	1.2
Max Annual income (100% efficiency of spaces used based on average use/income) (£)	£327,724.80	£242,611.20
% of actual vs maximum income	33%	18%

### Do Nothing versus Do Something Scenarios, with Car Parking Prices Uplifted

	2026/27	2026/27
	Linthorpe Road Do Nothing – cycle lane infrastructure in place	Linthorpe Road Do Something – cycle lane infrastructure removed
No. spaces	54	101
19/20 income (£)	£47,192.32	£132,106.26
No. customers	25,648	71,453
Average cost (£)	£1.85	£1.85
Average stay (hours)	1.2	1.2
Max Annual income (100% efficiency of spaces used based on average use/income) (£)	£262,590.95	£399,709.15
% of actual vs maximum income	18%	33%
	<b>Increased parking revenue of £84,913.94 per annum x 20 years</b> <b>Benefits before discounting = £1,698,279</b> <b>Present Value of Benefits, after discounting to 2010 = £484,974</b>	

## Direct Construction Costs

Base Construction Cost (Q2 2021 Prices)	£891,445
Allowance for traffic signals	£150,000

## Indirect Construction Costs

Main Contractors preliminaries and traffic management	£325,000
Overheads and Profits	£136,644
Fees (construction PM, CDM, PM)	£122,127
Benefits Realisation Report	£30,000

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**Total excl. Risk and Inflation** **£1,655,216**

Optimism Bias	£331,043
Inflation	£283,768

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**Total** **£614,811**

**Present Value of Costs** **£2,270,027**

**£1,146,045**

**Present Value of Costs (discounted to 2010 market prices)**

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An additional 45,805 vehicles are projected per annum. Based on a conservative expenditure per car of £5, this equates to £229,025 additional expenditure per annum, before discounting. With discounting to 2010 prices, this equates to £1,308,049, over a 20 year appraisal period.

Present Value of Benefits (parking revenue) = £484,974

Present Value of Benefits (visitor expenditure) = £1,308,045

Above Divided by Present Value of Costs = £1,146,045

**BCR = 1.56**

The Centre of Cities Visitor economy data tool (November 2024) finds that the average spend per trip of a day visitor to Middlesbrough was £43. For the purpose of this business case, the average local spend of those visitors parking on Linthorpe Road has been conservatively estimated at £5 for an average stay of 1.2 hours.

## 2.3 Shortlisted Option: Sensitivity Analysis

Parking demand (no. of customers) would need to decrease by 2,953 customers per annum, from the projected level, for the Value for Money rating to go from a Medium to Low rating (<1.5). This would represent a 4.2% reduction in the number of users, compared to the projected level.

### Sensitivity Analysis – Parking Demand – Medium to Low Value for Money

	2026/27	2026/27
	Linthorpe Rd (On carriageway) - Do Nothing	Linthorpe Rd (On carriageway) (2026 Do Something)
No. spaces	54	101
19/20 income (£)	£47,192.32	£126,646.59
No. customers	25648	68,500
Average cost (£)	£1.85	£1.85
Average stay (hours)	1.2	1.2
Max Annual income (100% efficiency of spaces used based on average use/income) (£)	£262,590.95	£383,190.03
% of actual vs maximum income	18%	33%
	<b>Increased parking revenue of £79,454.27 per annum x 20 years</b> <b>Increased visitor expenditure of £214,260 p.a.</b> <b>Total Present Value of Benefits discounted to 2010 over a 20 year appraisal period (£1,677,509) /</b> <b>Present Value of Costs (£1,146,405) =</b> <b>BCR = 1.46</b>	

Alternatively if the parking demand did not change from projected levels, the Present Value of Costs (discounted to 2010) would need to increase from £1,146,405 to £1,195,347 for the Value for Money rating to go from Medium to Low (<1.5). This would represent a 4.1% increase in costs.

Parking demand (no. of customers) would need to decrease by circa 16,453 customers per annum, from the projected level, for the Value for Money rating to go from Medium to Poor (<1.5). This would represent a 23.11% reduction in the number of users, compared to the projected level.

### Sensitivity Analysis – Parking Demand – Medium to Poor Value for Money

	2026/27	2026/27
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	Linthorpe Rd (On carriageway) - Do Nothing	Linthorpe Rd (On carriageway) (2026 Do Something)
No. spaces	54	101
19/20 income (£)	£47,192.32	£101,687.04
No. customers	25648	55,000
Average cost (£)	£1.85	£1.85
Average stay (hours)	1.2	1.2
Max Annual income (100% efficiency of spaces used based on average use/income) (£)	£262,590.95	£307,670.82
% of actual vs maximum income	18%	25%
<b>Increased parking revenue of £54,494.72 per annum x 20 years</b> <b>Increased visitor expenditure of £146,760</b> <b>Total Present Value of Benefits discounted to 2010 over a 20 year appraisal period (£1,146,405) / Present Value of Costs (£1,146,405) = BCR = 1</b>		

There are also other monetised benefits, which could have been attainable linked to the scheme. However for robustness for the BCR these haven't been quantified. These include:

- Some benefit to bus journey times/delays; and
- Reduced maintenance liabilities for the infrastructure removed.

The increased parking numbers and visitor expenditure are also likely to support new jobs and safeguard existing jobs along Linthorpe Road, as well as leading to a decrease in vacant units.

It should also be noted that the discounting year is to change from the DfT in May 2025, from 2010 to 2023, which would further boost the economics.

It can therefore be seen with confidence that the BCR has a Medium Value for Money rating.

## 2.4 Shortlisted Option: Non-Monetary Costs and Benefits

This section considers TAG Appraisal Summary Table qualitative impacts.

### 2.4.1 Economy

#### Business Users and Transport Providers

The realignment of the highway, and removal of the cycle lanes, will enable the easier movement of buses along Linthorpe Road. **Slight Beneficial**

#### Reliability Impacts on Business Users and Transport Providers

As above, an assessment of **Slight Beneficial** has been concluded for the scheme.

## Regeneration

A moderate beneficial impact for regeneration is expected, with increased parking and associated expenditure, safeguarding and creating employment. **Moderate Beneficial**

## Wider Impacts

The removal of the cycle lane infrastructure will remove an active mode route on one the main radial routes into the town centre. However this will be offset by other active mode links, to be delivered by LUF2 and CRSTS1, including on Newport Road, Longlands Road and Marton Road. **Negligible**

### 2.4.2 Society

#### Commuting and Other Users

The impact on commuters and other users is expected to be a **Negligible** impact. Whilst the cycle lanes will be removed, as well as pedestrian priority measures over side streets (side streets proposed to be reopened), the removal of the cycle lanes will allow easier movement for buses along Linthorpe Road.

#### Physical Activity

Physical activity benefits primarily refer to the uptake of cycling and walking. With the scheme involving the removal of cycle lane infrastructure, there will be a **Moderate Adverse** impact, offset to some extent by the proposed introduction of active mode schemes linking to the town centre via LUF 2 and CRSTS1 funding.

#### Journey Quality

Journey quality is defined as a “measure of the real and perceived physical and social environment experienced while travelling” according to TAG Unit A4.1 (Social Impact Appraisal). There are three distinct aspects of journey quality:

- Traveller Care: Dedicated provision for cyclists will be removed, potentially detracting from traveller care.
- Travellers' Views: Consultation has shown the majority of people want the cycle lanes removed.
- Traveller Stress: Easier movement for buses and other vehicles along Linthorpe Road, with the cycle lanes removed.

Overall **Negligible** impact.

#### Accidents

The number of road accidents and casualties recorded fluctuates from year to year and the extent to which these fluctuations represent an indication of a real underlying trend as opposed to random year to-year variation needs to be treated with caution.

However, issues of concern regarding the safety were raised in the Summer 2024 consultation.. **Negligible**

#### Personal Safety

Dedicated segregated cycle provision is proposed to be removed, which would potentially be perceived as a disadvantage by some less confident cyclists.

Natural surveillance related to the perception of crime would be unchanged.

Perceived tripping hazards related to orcas would be removed.

Overall **Negligible** impact.

### **Affordability**

The scheme will have **No Impact** on affordability.

### **Severance**

The proposal will largely remove side road priority crossing measures for pedestrians, but will reopen the majority of side roads, providing direct access from adjacent residential areas onto Linthorpe Road. Overall **Negligible** impact.

### **Access to Services**

Removal of active mode measures will reduce the attractiveness of one modal choice to access services. **Slight Adverse** impact.

### **Option Values**

TAG states the monetisation of option values should be limited to the opening / closure of rail stations or the introduction / loss of good quality local bus services. Therefore, **No Impact** is expected.

## **2.4.3 Environment**

### **Noise**

The removal of the cycle lanes, may lead to a lessened number of cyclists and potentially an increase of private car journeys, albeit some of the mode shift may go to buses. The removal of the cycle lanes will ease movements of buses along Linthorpe Road. **Slight Adverse** impact on noise in the area.

### **Local Air Quality**

A decrease in mode share for cyclists may have a **Slight Adverse** impact on local air quality as the number of car journeys may increase slightly. Albeit some of the mode shift may go to buses. The removal of the cycle lanes will ease movements of buses along Linthorpe Road.

### **Greenhouse Gases**

The scheme may increase the mode share for private car travel and reduce it for cyclists, leading to some greenhouse gases increases. **Slight Adverse**. Albeit some of the mode shift may go to buses. The removal of the cycle lanes will ease movements of buses along Linthorpe Road. There would be some carbon impacts during construction, albeit efforts would be made to minimise this.

### **Landscape and Townscape**

**No impact** is anticipated.



## Cultural Heritage

No impact is anticipated.

## Biodiversity

No impact is expected.

## Water Environment

No impact is anticipated.

### 2.4.4 Other Benefits

There are also other monetised benefits (Level 1 and 2) which could have been attainable linked to the scheme. However for robustness for the BCR these haven't been quantified. These include:

- Some benefit to bus journey times/delays; and
- Reduced maintenance liabilities for the infrastructure removed.

The increased parking numbers and visitor expenditure are also likely to support new jobs and safeguard existing jobs along Linthorpe Road, as well as leading to a decrease in vacant units.

### 2.5 Shortlisted Option: Delivery Risks

The strategic risk and potential showstopper to the scheme, outside of the Business Case not being approved and funding being released, are the TROs not being approved. Relevant objections would need to be received during the advertisement period, which would need to be upheld by the Highway Authority, meaning the construction couldn't occur. It however should be noted that the proposal received widespread support during consultation earlier in 2024.

Whilst the scheme is in a sensitive location on a radial route at the edge of the town centre, including as a bus route and a tertiary shopping/nightlife area, the construction risks are considered standard for a scheme of this nature. MBC have a thorough knowledge of the locality and risks following the installation of the original scheme, including the location and depths of utilities. Elements of the original Construction Phase Plan are thought likely to be able to be used, to inform the sequencing of the works.

A robust cost estimate has been put together, including with an appropriate QRA value, including an allowance for any uplift in inflation associated with factors outside of the control of TVCA or MBC.

The NEPO framework will be utilised to appoint a contractor, with market testing to be considered, following the appraisal of the business case.

### 2.6 Value for Money Statement

The VfM assessment of Linthorpe Road Highway Improvements has highlighted the scheme is expected to be of **Medium VfM**. The overall core **BCR is 1.56** and, which does not include other potential monetised benefits, which potentially could have improved the BCR.

Sensitivity testing has been undertaken which has shown there would need to be a reduction in projected parking demand or an increase in costs, providing confidence to the Medium VfM rating. Parking demand (no. of customers) would need to decrease by circa 2,953 customers per annum, from the projected level, for the Value for Money rating to go from a Medium to Low rating (<1.5). This would represent a 4.2% reduction in the number of users, compared to the projected level.

The strategic motivation for the scheme further strengthens the VfM. The promotion of the town centre, as a retail and employment destination, via increased parking in suitable locations is evident in the policy and strategy review presented in the Strategic Case.

To offset the loss of the cycle lane infrastructure, TVCA and MBC are looking to deliver active mode schemes along suitable corridors into the Town Centre, including Marton Road, Longlands Road and Newport Road. These designs avoid impacting upon parking provision and any negative associated impacts upon businesses and residents. These schemes are proposed to be delivered in the LUF and CRSTS 1 period, ahead of March 27, with opening shortly after the proposed reinstatement of the original Linthorpe Road Highway. However, it should be noted these schemes are subject to their own processes, including TROs and Business Case assurance.

## CASE 3: COMMERCIAL CASE

### Key Messages:

The construction contract to be tendered via the NEPO Framework by MBC. NEC Option A Contract between MBC and appointed contractor, but TVCA to approve compensation events raised.  
No subsidy control issues, but TROs needed to be advertised (by MBC) and made, before construction can commence.

### 3.1 Subsidy Control

It is considered that the funding does not conflict with subsidy control issues as the funding is for infrastructure (within the adopted highway), which will not be commercially exploited and will be open for general public use by all. The parking bays will be available to be used by all, and not just by selective businesses or individuals, and will not involve a selective advantage which would distort or threaten to distort competition. The wider amendments to the highway will also be available to be used by all highway users. Construction will be tendered competitively via the NEPO framework, so will not give assistance to one or more undertakings over others. TVCA and MBC are carrying out a non-economic activity as public authorities in promoting and introducing infrastructure on the adopted highway.

MBC will receive a projected increased level of parking revenue, related to the reinstatement of parking, previously removed as part of the installation of the cycle scheme. 100% of this increased parking income will be utilised for revenue within their Parking Service, including enforcement and maintenance of Pay and Display Bays, upon an adopted highway in their role of Highway Authority. A private sector parking operator will not operate or benefit from the additional parking bays and related forecast income.

### 3.2 Delivery Mechanism

TVCA have utilised WSP for the detailed design of the reinstatement scheme, with them being their CRSTS1 framework partner consultancy. WSP also produced the design for the original cycle lane installation, and have a thorough knowledge of the local highway, including holding various relevant surveys such as drainage and topographical.

Middlesbrough Traffic Signals will be utilised for the traffic signals detailed design and commissioning, as the framework Traffic Signals design team, utilised by Local Authorities across the Tees Valley.

TVCA will fully fund the proposal, without a need for match funding, from CRSTS1 funds. This is subject to assurance of this business case and advertisement of the Traffic Regulation Orders (TROs).

An RSA 1-2 was commissioned by TVCA, utilising Nicholson Sloan Consultancy, with MBC responsible for Overseeing Organisation responsibilities, as the Highway Authority.

MBC are also responsible for the approval of the detail design, which occurred at their Executive Committee on 4<sup>th</sup> December 2024.

MBC are responsible for advertising TROs, and making subsequent decisions on feedback/objections received.

Ahead of this TVCA and MBC have collaboratively ran a consultation over summer 2024, to inform the detailed design and subsequent TROs.

Without a Section 8 (Highways Act 1980) in place to allow the option of TVCA of procuring the works onto site, this will be undertaken by MBC, who will procure the works via the NEPO Framework.

MBC will adopt the highway alterations at the end of construction, as part of their Highways Assets Management register.

## 3.3 Procurement Approach

### 3.3.1 Sourcing Options

This explains the options for sources of provision of services to meet the business need with rationale for selected preferred sourcing option.

#### Design

The civils detailed design for Linthorpe Road Highway Reinstatement has been undertaken by WSP, commissioned by TVCA, as TVCA's framework consultant for CRSTS1. This is via an existing overarching call off contract.

The traffic signals design and commissioning will be undertaken by Middlesbrough Traffic Signals, as the signals design body representing all the Highway Authorities in the Tees Valley.

#### Construction

With regards to the sourcing options for construction, this section considered the following: (i) existing frameworks, (ii) competitive tender process, and (iii) internal building construction services.

MBC will be responsible for arranging the construction procurement, with TVCA not holding a Section 8 to procure works onto the adopted highway directly.

#### Existing Frameworks

An appropriate framework exists for MBC to use for the construction and handover of built schemes, which could alleviate some degree of risk and reduce the timescale for delivery. This is the North East Procurement Organisation (NEPO) Building Construction Works Framework. As MBC is already a member of this framework, this option could be utilised. There are a number of regional and national contractors on the NEPO framework.

The use of this existing framework would require a contained tender period, and the Contractor would not have sight of the emerging designs, as they would not have been appointed in advance.

## **Competitive Tender Process**

The competitive tender process includes several options: (i) Open, (ii) Restricted, (iii) Accelerated Restricted and (iv) Competitive Dialogue. The advantages of a competitive tender process are that it provides a robust procurement route that follows legal regulations as the tender is open to a range of contractors, competitive prices should be received, MBC could choose which form of contract the work is awarded under, and the route provides a clear, auditable procurement and award process. However, the disadvantages include the increased level of MBC resource required to undertake the procurement process and the longer procurement timescales compared to alternative options.

## **MBC Highway Operations**

A team does exist within MBC to deliver projects similar this proposal. The use of internal resources allows involvement of the team from the early phases of design through to handover, working closely with the Designer. Once the project is complete on site, the team continue to work with MBC to ensure that all relevant compliance and maintenance requirements are in place.

## **Chosen Sourcing Option**

Following a review of the sourcing options, the chosen option has been to procure via the NEPO Framework. This decision was made for the following reasons:

- Reduces procurement timescales, associated with a competitive tender;
- Competitive tender disproportionate to the value of the works;
- MBC do not have internal construction resources available;
- Multiple contractors on the NEPO framework, will provide a competitive cost comparison proving best value for money;
- NEPO framework typically consists of North East based contractors, so therefore using local resources. Other social value requirements can be prescribed in the tender;
- Pre-qualification process to join the NEPO framework reduces the administration resource requirements, if MBC had ran a competitive tender;
- NEPO has been developed for the delivery of civils/highway schemes, which demonstrate bidder's experience delivering similar infrastructure schemes; and
- Following the original installation scheme, MBC have prior knowledge of the construction phasing, to act as early contractor involvement and help inform the tender.

This is consistent with MBC's internal procurement regulations, which require four tenders via NEPO, for construction contracts between £1,000,001 and £4,477,174.17 (exclusive of VAT). This also complies with TVCA's procurement regulations, as the funder of the project.

### **3.3.2 Contract Type and Payment Mechanism**

Control of costs throughout scheme development will be achieved through a New Engineering and Construction (NEC) Contract NEC4 Option A (Priced Contract with Activity Schedule). The contract will be between MBC Council and the appointed Contractor, but the Grant Funding Agreement will be between TVCA and MBC, detailing a collaborative open book process reflecting TVCA as the funder. The

Contractor will be paid following the submission of monthly claims. The Contractor will submit monthly claims to the Construction Project Manager/Quantity Surveyor. They will validate the claims, comparing progress on site, and make a recommendation to MBC to proceed. Following approval, payment will be made to the Contractor directly via MBC's finance system within 28 days of issues of the initial valuation. Quarterly claims will then be made from MBC to TVCA.

### **3.3.3 Risk Management**

In order to identify and devise a strategy to manage, or avoid risk, and also to understand the residual risk, a QRA was undertaken in December 2024. The process adopted the four-stage development process of:

- Risk identification;
- Risk impact assessment;
- Risk likelihood assessment; and
- Risk management.

The QRA sets out how the risk mitigation to minimise the likelihood of the risk event occurring. The QRA has been produced in line WebTAG Unit A1.2, producing a risk-adjusted cost estimate. The QRA is in the form a 5x5 calculation, with the value to go in the estimate, based on a median mitigated risk value. The QRA considers all foreseen risks identified during the development and design of the project.

If risks are realised on site and need to be drawn down against the QRA value, then these will be reported to TVCA for approval. Any unutilised element of the QRA allowance will be returned to TVCA.

TVCA's funding terms are that where it provides a grant to anyone who deliver a scheme, it cannot take responsibility for cost overruns over and above a quantified risk allowance which has formed part of the business case. However any exceptional risks and related financial implications realised during construction, which could not have been identified as part of the development of the scheme and quantified risk assessment process, can be reported back to the Tees Valley Combined Authority for consideration.

Any new risks not identified in the QRA, but can be contained within the original QRA value, can be claimed subject to TVCA approval.

### **3.3.4 Contract Length**

The construction period will be informed by the tenders returned and appointment of the contractor. However based on the programme for the original scheme installation, it is anticipated a 7 month construction period may be required, running from May to December 2025. This reflects the sensitivities of Linthorpe Road, in terms of being a key radial route to/from the Town Centre, a high frequency bus corridor and need to provide loading and parking access wherever possible during construction.

### 3.3.5 Contract Management

An NEC4 Option A contract will be agreed between MBC and the contractor, which is the standard form for UK construction works. A Construction Project Manager and Quantity Surveyor will administer the contract, working client side to MBC, but will operate in an open and collaborative manner with TVCA, as the funders of the project including approval of reported Compensation Events. The NEC Construction Project Manager will be responsible for the following:

- Monitoring progress;
- Issuing Project Manager instructions;
- Accepting subcontractors;
- Assessing Compensation Events;
- Issuing Early Warnings;
- Maintaining the Risk Register;
- Assessing amounts due for payment;
- Ensuring that the works are constructed in line with the specification;
- Ensuring any required quality testing is undertaken;
- Reporting any major issues to the Project Manager;
- Keeping daily logs and a site diary;
- Keeping photographic records of construction for future reference;
- Producing monthly progress reports; and
- Searching for and arranging the correction of defects.

### 3.3.6 Value for Money

Utilising the NEPO Framework for the construction procurement, will allow multiple contractors to tender, and help prove best value for money.

WSP and MBC's detailed design estimates show a close comparison, with only a marginal difference, giving confidence to the Finance and Economic Cases.

The construction estimate tender will be via a detailed Bill of Quants, providing granularity which will allow MBC and potentially TVCA to review relevant rates as required.

## 3.4 External Permissions and Studies

Consultation was held during August 2024, with the majority of respondents wanting the removal of the cycle lanes. This has informed the detailed design to return to the previous highway layout. The detailed design has now been complete and approved by MBC Committee on 4<sup>th</sup> December 2024. The TROs for this proposal will now be advertised from February, subject to the assurance of this Business Case by TVCA. Should the proposed TROs be made, the construction will then commence.

### 3.4.1 Feasibility Studies

Consultation on the proposals, to inform the detailed design and subsequent TROs, held in August 2024.

### 3.4.2 Land Ownership

Not Applicable – all within the adopted highway

### 3.4.3 Planning Permission

Not Applicable – permitted development rights, with MBC procuring the works. The Town and Country Planning (General Permitted Development) (England) Order 2015. Schedule 2. Part 9.

Permitted development

A. The carrying out by a highway authority -

(a) on land within the boundaries of a road, of any works required for the maintenance or improvement of the road, where such works involve development by virtue of section 55(2)(b)(1) of the Act; or

(b) on land outside but adjoining the boundary of an existing highway of works required for or incidental to the maintenance or improvement of the highway.

As described elsewhere permanent Traffic Regulation Orders will need to be advertised by MBC as the Highway Authority, related to The Road Traffic Regulation Act 1984.

### 3.4.4 Detailed Design

The detailed design has been approved by MBC, in their role as Highway Authority, at their Executive Committee on 4<sup>th</sup> December 2024.

## CASE 4: FINANCIAL CASE

### Key Messages:

The capital investment is to develop (within 24/25) and deliver (25/26) the highway reinstatement of Linthorpe Road as per the previous layout, removing the cycle infrastructure and reinstating previous pay and display car parking. The capital investment will be inclusive of all design and development fees, full construction costs, and also subsequent monitoring. The scheme is to be 100% fully funded from CRSTS1 from the TVCA, without any other match or leverage from other sources. MBC will pay the contractor on a monthly basis in line with NEC contract regulations and will make quarterly claims in arrears to TVCA.

### 4.1 Summary of Expenditure and Funding

The Financial Case considers the affordability of the project, funding arrangements and technical accounting issues, in line with DfT Transport Business Cases Guidance (2013). The Financial Case considers the costs and accounting issues, while the Value for Money (VfM) is dealt with separately in the Economic Case. This section,



therefore, sets out how much the scheme will cost and how this has been calculated, the risks that may affect the costs, the anticipated profile of expenditure and how the scheme will be paid for.

#### **4.1.1 Base Capital Costs**

The estimated base cost of the scheme from MBC, in Q3 2021 prices, excluding risk and future inflation is **£1,796,130**. This is made up of:

Base Construction Cost – £891,445  
Allowance for Traffic Signals – £150,000  
Main Contractors preliminaries and traffic management - £325,000  
Overheads and Profits - £136,644  
Fees (Design, Construction PM, CDM, Other PM Costs) - £263,041  
Benefits Realisation Report - £30,000

The base construction costs have been informed, after a detailed design process. The detailed design is fully complete for the scheme, bar the traffic signal design which is at a preliminary design stage. Measurements and off takes have been produced by the designer in the form of Bill of Quantities, with MBC then producing a Bill of Rates, from their most recent library which is 2021.

Following dialogue with Traffic Signals Engineers, an allowance of £150,000 has been provided for the traffic signals elements, ahead of the detailed design being complete.

Appropriate indirect construction costs, including for preliminaries and traffic management; overheads and profits; fees (design, construction PM, CDM) and a benefits realisation report have then been applied.

- Preliminaries and traffic management has an allowance of £325,000, which represents 32% of the direct construction costs;
- Overheads and Profits has an allowance of £136,644, which represents 10% of the direct construction costs plus preliminaries and traffic management;
- Fees (design, construction project management, CDM and other project management) has an allowance of £263,041, which represents 17.5% of direct construction costs, plus overheads and profits and plus preliminaries and traffic management

#### **4.1.2 Risk**

The risk value, via an agreed Quantified Risk Assessment, is valued at £285,518.

#### **4.1.3 Inflation**

Middlesbrough have provided the base construction costs in Q3 2021 prices, which is their latest library of rates, reflecting the date of the installation of the original scheme. The costs have been updated to Q3 2025 prices (BCIS Indices), which reflects the mid-point of construction. This reflects an inflation uplift of 20.35%, which equates to £305,937.

#### **4.1.4 Cost Comparison for Detailed Design Estimates**

The comparison between MBC's and WSP's overall detailed design estimates show a minimal cost difference of £42,201, providing confidence in both the Financial Case and for costs to be carried forward into the Economic Case. MBC's cost is the higher one, and has therefore been carried forward into the Economic Appraisal, to provide the most robust approach.

## **MBC Detailed Design Cost Estimate**

### **Direct Construction Costs**

Base Construction Cost (Q2 2021 Prices) £891,445

Allowance for traffic signals £150,000

### **Indirect Construction Costs**

Main contractors preliminaries and traffic management £325,000

Overheads and Profits £136,644

Fees (design, construction PM, CDM and other project management) £263,041

Benefits Realisation Report 30,000

**Total excl. Risk and Inflation £1,796,130**

Risk £285,518

Inflation (taken forward from Q3 21 to Q3 25 – mid point of construction – 20.35%)  
£305,937

**Total £591,455**

**Total Cost £2,387,585**

## **WSP Detailed Design Cost Estimate**

### **Direct Construction Costs**

Base Construction Cost inclusive of Traffic Signals allowance (2024 Q3 Prices)  
£1,209,325

### **Indirect Construction Costs**

Main contractors preliminaries and traffic management £325,000

Overheads and Profits £153,433

Fees (design, construction PM, CDM and other project management) £295,358

Benefits Realisation Report £30,000

**Total excl. Risk and Inflation £2,013,115**

Risk £285,518

Inflation (taken forward from Q4 24 to Q3 25 – mid point of construction – 2.77%)  
£46,751

**Total £332,269**

**Total cost £2,345,384**

### **4.1.5 Construction Tender**

The final estimate is subject to a tender to be organised via MBC and procured via the NEPO Framework. Multiple private sector contractors on the framework will provide a competitive comparison, ensuring best value for money. It should be noted that any significant variance would need to be discussed with TVCA and may require submission of a Project Change Request and a recalculated BCR which would require internal assessment and approval. The construction tender will run from April to May 25, with appointment planned to be made in May 25.

No on-costs will be applied by MBC, over and above hourly wages, for the procurement to be arranged by them.

#### 4.1.6 Accountancy Implications

The works are 100% capital investment, and to be completely funded from CRSTS funding, with funding devolved to the TVCA from Central Government. No other match is to be utilised, or leverage gained. No 'commuted' sum will be provided from this capital investment, towards future maintenance, which will be undertaken by Middlesbrough Borough Council as part of their Highways Assets Management register.

No income will be gained by the TVCA related to the schemes' operation once opened. Middlesbrough Borough Council will receive a projected increased level of parking revenue (£84,281 p.a.), related to the reinstatement of parking, previously removed as part of the installation of the cycle scheme. 100% of this increased parking income will be utilised for revenue within their Parking Service, including enforcement and maintenance of Pay and Display Bays.

#### Project Expenditure

All CRSTS1	24/25	25/26	26/27	27/28	28/29	29/30	30/31	Total
Design and Development Costs, including Project Management	£140,914 (67%)	£46,972						£187,886
Construction Costs		£1,809,026						£1,809,026
QRA (construction costs)		£285,518						£285,518
NEC Project Management/QS/Site Supervision Costs		£75,155 (100%)						£75,155
Evaluation and Monitoring Costs		£5,000 (16.67%)	£5,000 (16.67%)	£5,000 (16.67%)	£5,000 (16.67%)	£5,000 (16.67%)	£5,000 (16.67%)	£30,000
<b>Total</b>	<b>£140,914</b>	<b>£2,221,671</b>	<b>£5,000</b>	<b>£5,000</b>	<b>£5,000</b>	<b>£5,000</b>	<b>£5,000</b>	<b>£2,387,585</b>

#### 4.2 Programme / Project Match Funding Sources

No other match or leverage is needed or to be utilised for the project. 100% funded from CRSTS.

Ongoing revenue funding in the form of maintenance, will be funded by Middlesbrough Borough Council, and managed as part of their Assets Management Register. This is likely to be Local Transport Plan Highways Maintenance Block, or

other Council Capital funding. No 'commuted' sum will be allocated from CRSTS for this.

#### 4.3 Leverage Funding

No other match or leverage is needed or to be utilised for the project. 100% funded from CRSTS.

Ongoing revenue funding in the form of maintenance, will be funded by Middlesbrough Borough Council, and managed as part of their Assets Management Register. This is likely to be Local Transport Plan Highways Maintenance Block, or other Council Capital funding. No 'commuted' sum will be allocated from CRSTS for this.

#### 4.4 Operating Model: projected income and expenditure

Ongoing revenue funding in the form of maintenance, will be funded by Middlesbrough Borough Council, and managed as part of their Assets Management Register. This is likely to be Local Transport Plan Highways Maintenance Block, or other Council Capital funding. No 'commuted' sum will be allocated from CRSTS for this.

It should be noted that the maintenance costs over the 20-year appraisal period will likely be less for the proposed layout, than what currently exists, with a much-simplified highway layout. This will include the removal of 'within carriageway' infrastructure such as WANDS bollards and orcas.

No income will be gained by the TVCA related to the schemes' operation once opened. MBC will receive a projected increased level of parking revenue, related to the reinstatement of parking, previously removed as part of the installation of the cycle scheme. 100% of this increased parking income will be utilised for revenue within their Parking Service, including enforcement and maintenance of Pay and Display Bays.

#### 4.5 What will the TVCA funding be paying for?

Middlesbrough's detailed design cost estimate for the scheme is as follows:

##### **Direct Construction Costs**

Base Construction Cost (Q2 2021 Prices) £891,445  
Allowance for traffic signals £150,000

##### **Indirect Construction Costs**

Main Contractors preliminaries and traffic management £325,000  
Overheads and Profits £136,644  
Fees (design, construction PM, CDM) £263,041  
Benefits Realisation Report £30,000

**Total excl. Risk and Inflation £1,796,130**

Risk £285,518  
Inflation £305,937

**Total £591,455**

**Total cost £2,387,585**

Should the tendered costs vary significantly to the above, it is understood that it would need to be discussed with TVCA and may require submission of a Project Change Request and recalculated BCR for assessment.

The proposal will fund:

- the removal on unidirectional on carriageway cycles lanes between Ayresome Street and Borough Road;
- the removal of WANDS bollards and orcas;
- the reinstatement of 47 on street parking bays;
- bus stops are located back to their original positions – kerb side, where as currently there are boarding islands, with cycle lanes located between them and
- the footway;
- realignment of the carriageway to provide a more 'linear' layout, removing the meandering layout, related to the cycle lanes;
- retaining the current 20mph speed limit;
- retaining the closure of King Edwards Square;
- retaining the closure of Victoria Road; and
- removing the current closures of all other side streets, between Borough Road and Ayresome Street.

#### 4.6 Details of other funding routes explored

No other funding routes are available for this project. No private sector funding is available for a such a reinstatement project, which was originally funded using DfT funding secured from the TVCA.

No public sector contribution is available from MBC. This includes a constrained Local Transport Plan allocation from Central Government, and other MBC Capital Funding, which is committed to other funding requirements across the Borough.

There has been a previous commitment from the TVCA Mayor to fully fund the removal of the cycle lane project, which subject to processes and requirements, including the assurance of a Business Case by TVCA and advertisement and approval of Traffic Regulation Orders by MBC as the Highway Authority.

Projected increased parking revenue from the scheme, would not allow for an 'invest to save' type project, with this funding fully required for revenue purposes within MBC's Parking Service.

#### 4.7 Type of financial assistance sought

Approval of £2,387,585 CRSTS capital funding, with relevant elements of this overall cost estimate (**£2,169,699**), forming a Grant Funding Agreement between TVCA and MBC.

#### 4.8 Financial Return to TVCA

No financial return to TVCA to be generated.

The highway scheme will be adopted by MBC and maintained as part of their Highway Asset Management register, in their role as Highway Authority.

No income will be gained by the TVCA related to the schemes' operation once opened. MBC will receive a projected increased level of parking revenue, related to the reinstatement of parking, previously removed as part of the installation of the cycle scheme. 100% of this increased parking income will be utilised for revenue within their Parking Service, including enforcement and maintenance of Pay and Display Bays.

#### 4.9 Financial Risks

A Quantified Risk Assessment has been undertaken, involving transport officers from both TVCA and MBC, and Highway Design/Engineering Officers from MBC.

Risk management is integral to all projects, as risks can have a considerable effect on the timescale, cost and overall impact of initiatives. The production of a risk register forms an integral task associated with standard project management procedures that are followed by TVCA. The risk register for the Linthorpe Road Highway Reinstatement project will be reviewed regularly throughout the remaining stages of the project by the Delivery team. Any unresolved or significant issues, which are identified, will be escalated through the appropriate governance mechanisms in place outlined in the Management Case.

Risks to delivery to the project were considered within the following categories: (i) preparation and supervision, (ii) land, (iii) strategic and legal, (iv) engineering highway, (v) environmental mitigations, (vi) ground conditions, (vii) construction / contractual, (viii) other work, (ix) delays in commencing construction, (x) delays during construction and (xi) capacity.

The production of a risk register will enable the effective management and communication of potential conflicts, ensuring appropriate mitigation is incorporated. The Risk Register identifies the potential causes and consequences of each risk and will be a 'live' document that is maintained and owned by the Project Manager throughout.

The monetised value of the risks has been quantified by considering the likelihood and probability scores. The scoring system for the risk assessment is shown below:

Key:		Impact					
Extreme Risk		Very Low	Low	Medium	High	Very High	
High Risk		1	2	3	4	5	
Moderate Risk							
Low Risk							
Very Low Risk							
Likelihood	Very High (>80%)	5	M	M	H	E	E
	High (51-80%)	4	L	M	H	H	E
	Medium (21-50%)	3	L	L	M	H	H
	Low (6-20%)	2	V	L	L	M	M
	Very Low (0-5%)	1	V	V	L	L	M

Probability Score	1-2	3-5	6-10	11-20	21-25
Probability Percentage	2.5%	12.5%	35.0%	65.0%	90.0%

The main financial risks to the scheme are listed below, with all risks detailed in the accompanying QRA:

- A01 Contractor resource availability - £78,000
- D01 Bill of Quantities incorrect from designer, when measured by the tenderer – £50,000
- D03 All ready defective measures (drainage/structures/street lighting etc), not related to our construction, but found on site - £90,000
- D04 Other unexpected underground apparatus encountered - £60,000
- D05 Unforeseen utilities encountered - £80,000
- D06 Increase in rates, due to events outside of our control – Middle East/Ukraine/etc - £60,000

#### 4.10 Cashflow of Programme / Project

CRSTS funding is devolved to the TVCA from Central Government, with Business Cases assurance undertaken by the TVCA. Therefore, funding is readily available, subject to appraisal and assurance processes.

**£140,914** is projected to be spent on design and other preparation costs by the end of 24/25. This also includes surveys and a Road Safety Audit. This activity will be funded directly by the Tees Valley Combined Authority to respective consultants.

**£46,971** will be spent in 25/26 on Project Management costs.

Please note the above two costs will be paid directly by TVCA and will not form part of the GFA to MBC.

£2,094,544 is projected to be spent on construction related activities in 25/26, with the construction fully delivered in 25/26. Control of costs throughout scheme development will be achieved through a New Engineering and Construction (NEC) Contract NEC4 Option A (Priced Contract with Activity Schedule). The contract will be between Middlesbrough Borough Council and the appointed Contractor. The Contractor will be paid following the submission of monthly claims. The Contractor will submit monthly claims to the Construction Project Manager and a Quantity Surveyor. They will validate the claims, comparing progress on site, and make a recommendation to MBC to proceed. Following approval, payment will be made to the Contractor directly via MBC's finance system within 28 days of issue of the initial valuation. The tender returns and subsequent contract will detail a monthly spend profile, which will be then managed.

MBC will be responsible for cashflow and will make quarterly claims in arrears to TVCA in line with TVCA's standard claims process.

£75,155 is projected to be spent on construction project management fees in 25/26. An external Construction Project Manager will be appointed via Middlesbrough, in the form of a NEC Professional Services Contract. The contract will detail monthly costs, which will be paid directly by MBC's finance system within 28 days of the respective claim. Quarterly claims will be made from MBC to TVCA.

£5,000 per annum (six years) will be spent on monitoring the project from 25/26 to 30/31. This will include a scheme opening report in 25/26, and then annual reports from 26/27, reflecting this will be the first full operational year. This activity will be funded directly by the Tees Valley Combined Authority.

**The monitoring costs will be funded directly by TVCA and will not form part of the GFA to MBC.**

The detailed financial profile will be available upon appointment of the Contractor, but it is anticipated the works will likely take circa 7 months from May to December 25, with likely consistent monthly payments across this period. This reflects the consistent nature of the works, along the length of Linthorpe Road, between Borough Road and Ayresome Street. The referenced works duration considers the programme for the original installation of the cycle lane infrastructure.

**The proposed total GFA amount to MBC will therefore be £2,169,699.**

### **Compensation Event Process**

A QRA has been produced in line WebTAG Unit A1.2, producing a risk-adjusted cost estimate. The QRA is in the form a 5x5 calculation, with the value to go in the estimate, based on a median mitigated risk value. The QRA considers all foreseen risks identified during the development and design of the project.

If risks are realised on site and need to be drawn down against the QRA value, then these will be reported to TVCA for approval. Any unutilised element of the QRA allowance will be returned to TVCA.



TVCA's funding terms are that where it provides a grant to anyone who deliver a scheme, it cannot take responsibility for cost overruns over and above a quantified risk allowance which has formed part of the business case. However any exceptional risks and related financial implications realised during construction, which could not have been identified as part of the development of the scheme and quantified risk assessment process, can be reported back to the Tees Valley Combined Authority for consideration.

Any new risks not identified in the QRA, but can be contained within the original QRA value, may be claimed subject to TVCA approval.

## CASE 5: MANAGEMENT CASE

### **Key Messages:**

Governance structure put in place allowing upwards reporting and identifying responsibilities of individual officers within both MBC and TVCA, and identifying the interfaces between the two organisations.  
A workable and sequential programme in place.  
Issue and risk, stakeholder communication and benefits monitoring processes identified.

### 5.1 Delivery Partners

TVCA the promotor and funder of the scheme.

MBC to undertake Highway Authority processes, including technical approvals, Overseeing Organising duties for RSA 1-2, advertiser of TROs and procuring the works onto site.

Grant Funding Agreement between TVCA and MBC, detailing terms and conditions of funding to deliver the proposals

### 5.2 Formal Partnership Arrangements

Grant Funding Agreement between TVCA and MBC, detailing terms and conditions of funding to deliver the proposals

### 5.3 Details of Programme / Project Management Structure

Tom Bryant (Director for Infrastructure) is the TVCA Senior Responsible Owner. Tom will be responsible for making final decisions on Compensation Event claims from MBC and their respective Contractor. Tom is also ultimately responsible for the assurance of the Business Case and production of the Grant Funding Agreement.

Craig MacLennan (Senior Major Projects Manager) has been responsible for ensuring the detailed design has been produced. Craig will receive Compensation Events claims from Middlesbrough/their Contractor and make recommendations to Tom for the approval or not. Craig will be also responsible for producing Highlight and

Exception Reports, based on information from Middlesbrough and their NEC Project Manager, and report upwards to Tom and the TVCA Projects Board as required.

An NEC Project Manager and Quantity Surveyor will work client side to MBC, and assess progress on site and be the point of contact for the contractor. This person will be the site representative, dealing with design and construction interfaces. They will also receive and assess Compensation Events and Claims from the contractor, and make recommendations on whether they should be paid. These will be reported to TVCA for approval.

Chris will be both the internal point of contact within Middlesbrough and also the interface with TVCA. Chris will be responsible for producing both Highlight Reports and Exception Reports on a monthly basis to TVCA, working alongside the NEC Project Manager, which will also be reported to Middlesbrough's Capital programme Board. Chris will be responsible for ensuring the Traffic Regulation Orders happen to schedule, and also producing the Executive Committee Report, to initiate the TROs.

Chris will be responsible for dealing with any processes and reports associated with TRO objections.

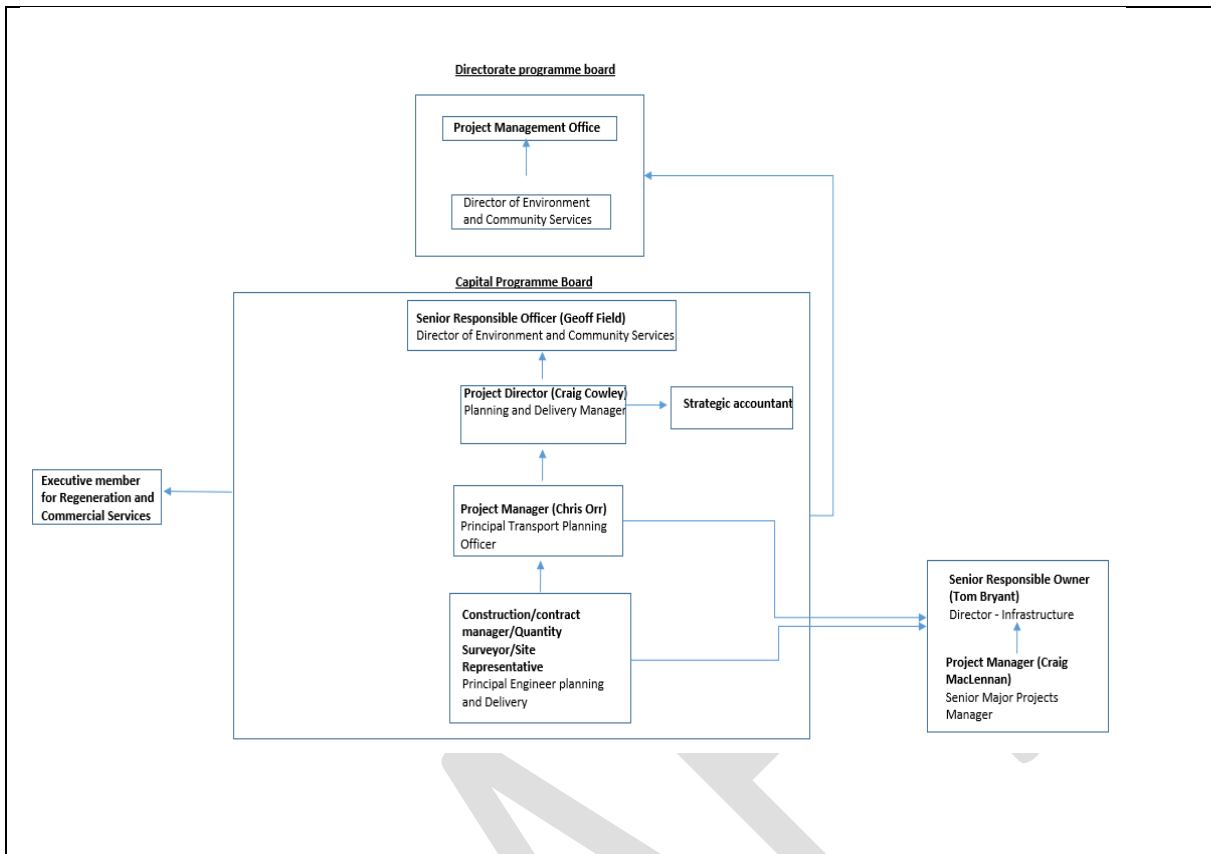
Craig Cowley is the Project Director, and will be responsible for decision making, which can't be made by the Project Manager and NEC Construction Manager. This will be either be decisions taken by himself, or as required in dialogue with the Strategic Accountant, Executive Member or Senior Responsible Officer. Craig will ensure briefings are held on a regular basis as required with these representatives.

Geoff Field is the Senior Responsible Officer, who is the chair of the Capital Programme Board, and is ultimately responsible for the delivery of the project to programme and budget. Geoff will make decisions, which are unable to be taken at a Project Manager or Project Director level.

A Directorate Programme Board will also have oversight of the project, which the Director of Regeneration is a member of.

The Capital Programme Board and Directorate Programme Board will both meet monthly.

The governance arrangements put in place enable a clear upwards reporting and decision making process, but also clearly identifies the roles of individual officers within both TVCA and MBC, and how they interface with each other.



## 5.4 Issue and Risk Management Processes

A QRA has been produced in line WebTAG Unit A1.2, producing a risk-adjusted cost estimate. The QRA is in the form a 5x5 calculation, with the value to go in the estimate, based on a median mitigated risk value. The QRA considers all foreseen risks identified during the development and design of the project.

If risks are realised on site and need to be drawn down against the QRA value, then these will be reported to TVCA for approval. Any unutilised element of the QRA allowance will be returned to TVCA.

TVCA's funding terms are that where it provides a grant to anyone who deliver a scheme, it cannot take responsibility for cost overruns over and above a quantified risk allowance which has formed part of the business case. However any exceptional risks and related financial implications realised during construction, which could not have been identified as part of the development of the scheme and quantified risk assessment process, can be reported back to the Tees Valley Combined Authority for consideration.

Any new risks not identified in the QRA, but can be contained within the original QRA value, may be claimed subject to TVCA approval.

5.5 Key Milestones	
Key Milestone Description	Expected Completion Date
<b>Project start date</b>	<b>1<sup>st</sup> July 2024</b>
Civils design complete	October 2024 - complete
Traffic signals design complete	February 2025
Appraisal of Business Case	December 2024
Consideration of Business Case recommendation by Tees Valley Management Group	January 2025
Approval to proceed with Permanent Traffic Regulation Orders by MBC Executive Committee	5 <sup>th</sup> February 2025
Traffic Regulation Order Advertisement	17 <sup>th</sup> February to 30 <sup>th</sup> March 2025
Tender	14 <sup>th</sup> April to 23 <sup>rd</sup> May 2025
Contract let	30 <sup>th</sup> May 2025
Work starts on site	End of May 2025
Work completes on site	December 2025
Site open for end user	December 2025
Financial completion	March 2026
Year 1 Monitoring Report	31 <sup>st</sup> March 2027
Year 2 Monitoring Report	31 <sup>st</sup> March 2028
Year 3 Monitoring Report	31 <sup>st</sup> March 2029
Year 4 Monitoring Report	31 <sup>st</sup> March 2030
Year 5 Monitoring Report	31 <sup>st</sup> March 2031
5.6 Stakeholder Management, Communications and Marketing Plan	
<p>Consultation occurred during August 2024, Led by MBC. TVCA promoted and shared the consultation in a variety of ways to encourage local communities to respond and feedback:</p> <ul style="list-style-type: none"> <li>• Consultation information and survey available online via the Tees Valley Combined Authority website</li> <li>• Social media content shared by TVCA</li> <li>• Political Briefing Notes</li> <li>• Bus Operator Briefing Notes; and</li> <li>• Stakeholder briefings held (where requested)</li> </ul> <p>A significant number of responses were received – 390.</p> <p>TVCA shared a briefing note outlining the proposal to remove the cycle lanes on Linthorpe Road with both Stagecoach and Arriva, the operators of bus services along this route. Stagecoach strongly advocated for the removal of the cycle lane, citing significant delays to their services entering Middlesbrough due to the current road layout.</p>	

The operators support reinstating key bus stops, including at The Crown/King Edward Square, Granville Road, and outside One Life Medical Centre. They also urged a return to a wider highway gauge to address safety concerns.

The same stakeholder groups and frontages will be contacted during the TRO advertisement period.

Required construction phasing will be developed into the tender by MBC. This will take into consideration access and loading requirements, as well as bus operations.

A website will be developed collaboratively between MBC and TVCA Comms and Marketing Team advising of construction progress. MBC and TVCA will also provide regular updates via social media and the press.

The NEC project manager will be the point of contact for stakeholders, with a dedicated email address and telephone number available.

## 5.7 Social Value Generation: Environmental and Social Impacts

NEPO works in partnership with our members, suppliers, and other key stakeholders to deliver positive social value outcomes. NEPO's social value programme enables the suppliers to use their skills, knowledge, opportunities and resources to make a difference for the communities, residents and environment across the North East region.

Whilst the Procurement Act 2023 has brought into effect a new regime and ways of working, NEPO has continued to work with Members to leverage tender processes to get the added benefits and impacts needed to support local economic and environmental challenges. NEPO's new ESG model will be finalised in 2024 and will enable a stronger partnership with our Member Authorities and suppliers to maximise social value benefits.

TVCA and MBC Procurement teams will identify a list of social value outcomes it wishes to take forward into the procurement and will work with NEPO to embed these within the tender documents.

Themes will include:

### **Economic prosperity:**

Directly contributing to economic growth including suppliers, local spend, new businesses, small-to-medium-size enterprises, micro, voluntary, charitable and social enterprises/mutuals;

Contributing to apprenticeships, skills and education, and regional economic prosperity

### **Improving the environment:**

Net Zero considerations in construction and materials;

Respecting neighbouring residences by reducing our impact on air quality, noise and water quality.

## Community wellbeing

Improving community amenities;  
Supporting community education and heritage programmes

## Equality, diversity and inclusion

Contributing to employment and opportunities for women; ethnic minorities; the long-term unemployed; veterans; people with disabilities; the LGBTQ+ community; care givers; school leavers; young people not engaged in education, employment or training; ex-offenders; the homeless; maternity returners; new to industry; flexible workers; Apprenticeship and training opportunities.

## 5.8 Monitoring and Evaluation Plan

An allocation has been made within the cost estimate, to monitor and evaluate the benefits of the project. This will allow SMART benefits to be measured upon completion and during operation. The TVCA Project Manager, working alongside MBC will be responsible for this.

	Out turn Cost v Budget	Completion v Programme	On-street parking bay usage and revenue	Retail Unit occupancy	Pay and Display Bay User numbers	Cyclist numbers	Bus journey times/delays
Upon Completion	X	X					
1 Year after Opening			X	X	X	X	X
2 Years after Opening			X	X	X	X	X
3 Years after Opening			X	X	X	X	X
4 Years after Opening			X	X	X	X	X
5 Years after Opening			X	X	X	X	X

## 5.9 Exit Strategy

The proposed highway changes will be adopted by MBC, as part of their adopted highway. Ongoing revenue funding in the form of maintenance, will be funded by Middlesbrough Borough Council, and managed as part of their Assets Management Register. This is likely to be Local Transport Plan Highways Maintenance Block, or other Council Capital funding. No 'commuted' sum will be allocated from CRSTS for this.

MBC will receive a projected increased level of parking revenue, related to the reinstatement of parking, previously removed as part of the installation of the cycle scheme. 100% of this increased parking income will be utilised for revenue within their Parking Service, including enforcement and maintenance of Pay and Display Bays.

## APPLICANT SIGN OFF

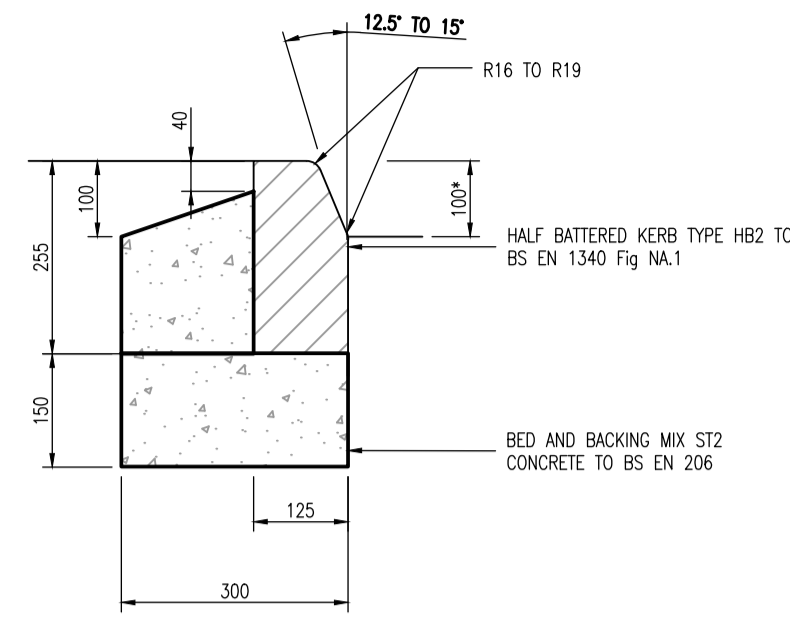
TO BE SIGNED BY PROJECT SPONSOR PRIOR TO SUBMISSION FOR APPRAISAL

I declare that to the best of my knowledge and belief, the information given within this application form is correct. I understand that acceptance of this application form does not in any way signify that Tees Valley Combined Authority has agreed to invest. I declare I am an authorised signatory of the lead organisation, with the authority to sign off this application form and have notified the necessary senior finance officers.

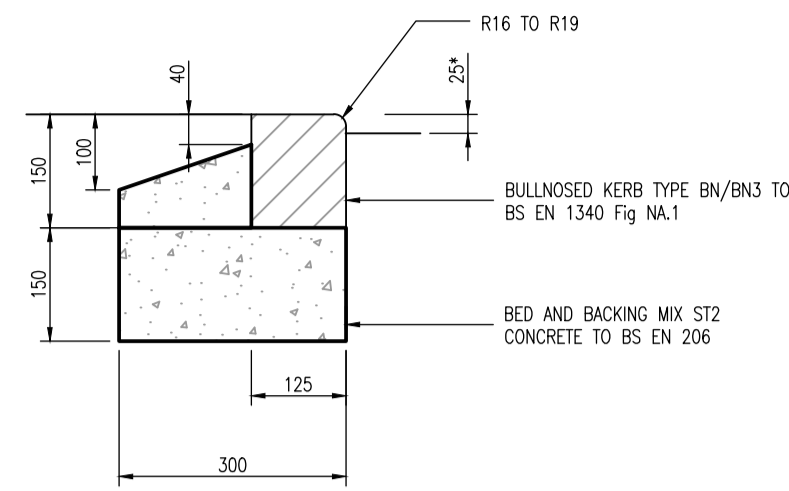
### FREEDOM OF INFORMATION

I understand the requirements of the Freedom of Information Act 2000. I understand that Tees Valley Combined Authority is subject to the provisions of the Freedom of Information Act 2000 ("the Act"). The Act provides for information to be exempt from the general right of access if its disclosure would, or would be likely to, prejudice the commercial interests of any person. A Project Sponsor may request that certain information in their submission and any subsequent Agreement is treated as covered by this exemption. However, if the information is requested the availability of this exemption will be subject to a test of whether the public interest lies in disclosing the information or keeping it confidential. We understand that while Tees Valley Combined Authority will endeavour to take into account the Project Sponsor's views as to the keeping of information confidential, it reserves the right to disclose information if required to do so.

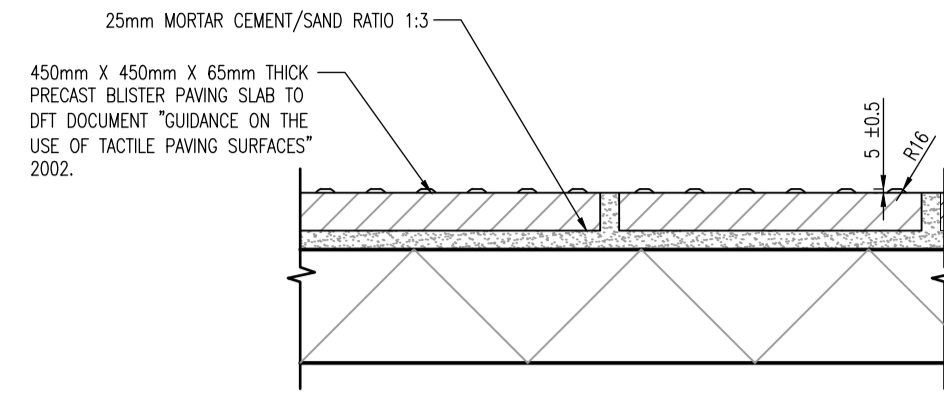
Signature:	<i>Tom Bryant</i>
Name:	Tom Bryant
Position / Title:	Director - Infrastructure
Company / Organisation:	Tees Valley Combined Authority
Date:	15/12/2024



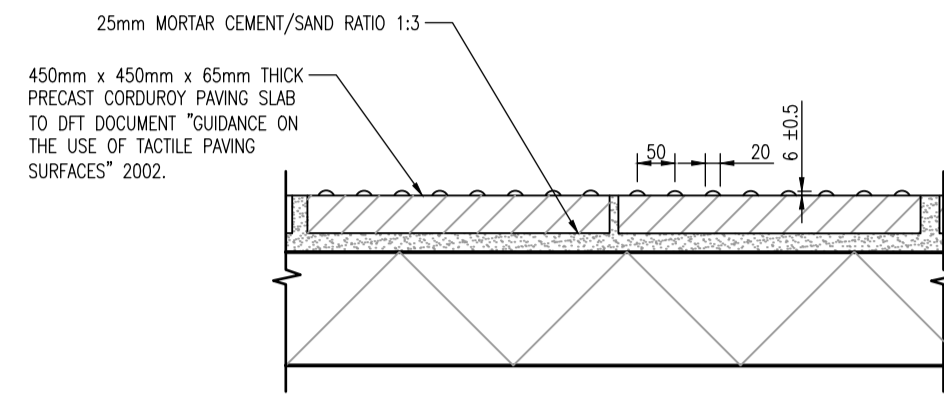
**HB2 TYPE KERB**  
1:10 SCALE  
(\*UPSTAND HEIGHT IS SUBJECT TO CHANGE)



**BN3 TYPE KERB**  
1:10 SCALE  
(\*UPSTAND HEIGHT IS SUBJECT TO CHANGE)

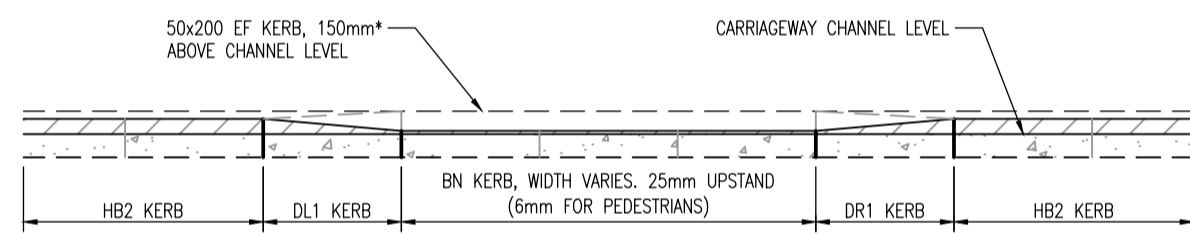


**TACTILE PAVING - BLUSTER SLAB UNITS**  
1:10 SCALE

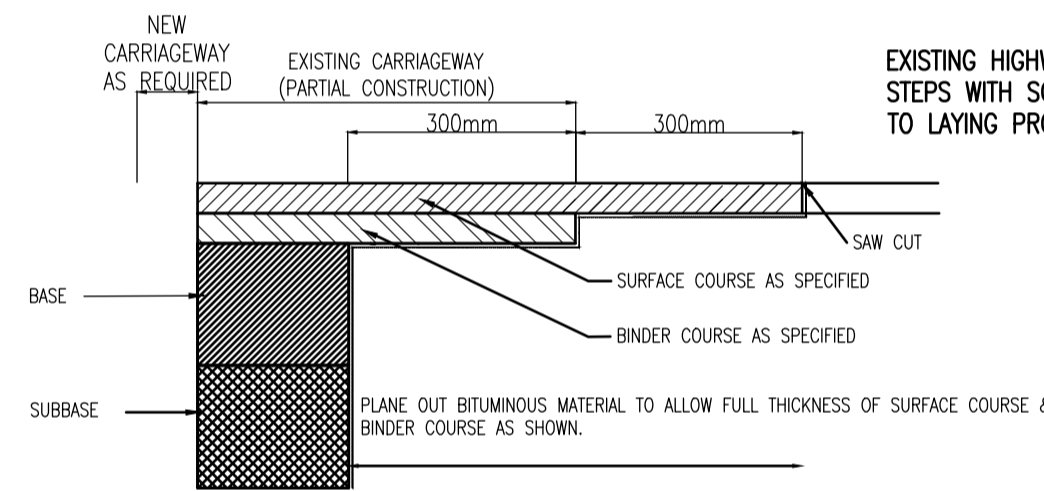


**TACTILE PAVING - CORDUROY SLAB UNITS (HAZARD WARNING)**  
1:10 SCALE

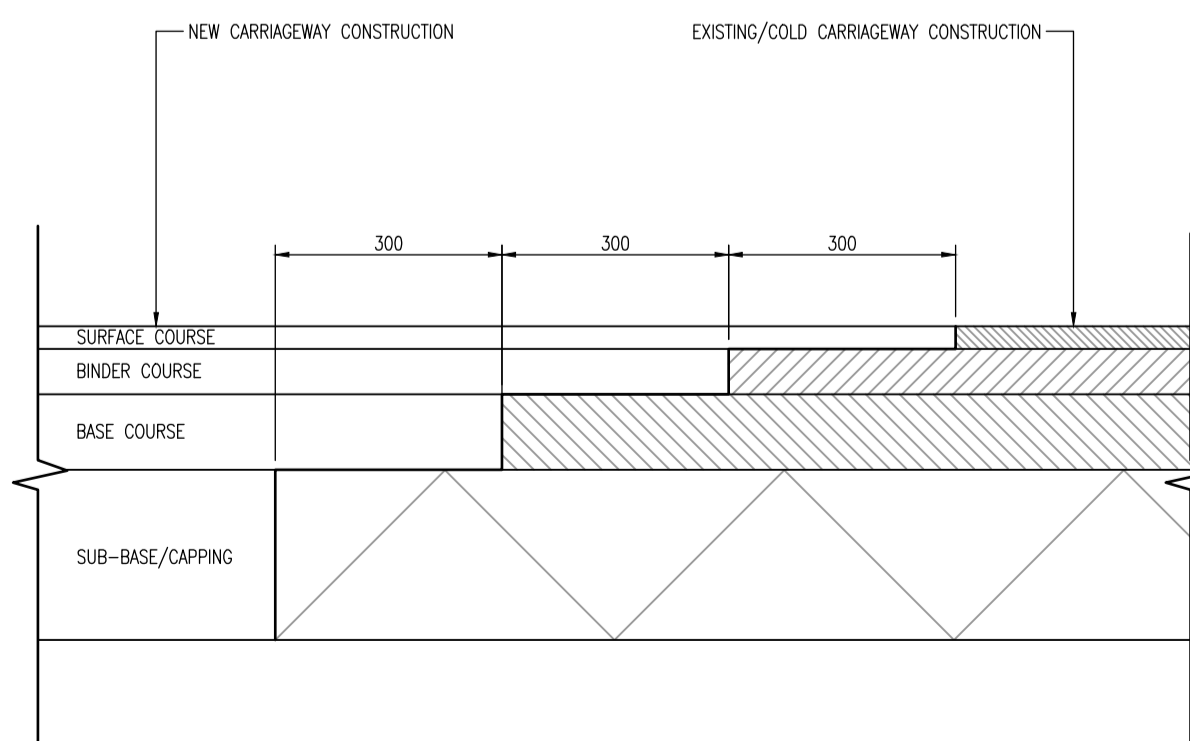
PRIOR TO LAYING SUBSEQUENT LAYERS OF BITUMINOUS MATERIAL THE SURFACE SHALL BE THOROUGHLY CLEANED AND A TACK COAT OF BITUMEN EMULSION CLASS K1-40 TO BS434 SHALL BE APPLIED AT A RATE OF 0.4 TO 0.6 LITRES PER SQUARE METRE TO ANY BITUMINOUS SURFACE THAT HAS BEEN LEFT UNCOVERED FOR MORE THEN THREE DAYS



(\*DIMENSIONS TO BE ADJUSTED TO SUIT SITE LAYOUT/DESIGN. REFER TO EXTERNAL WORKS DESIGN LAYOUTS AND SPECIFICATION)

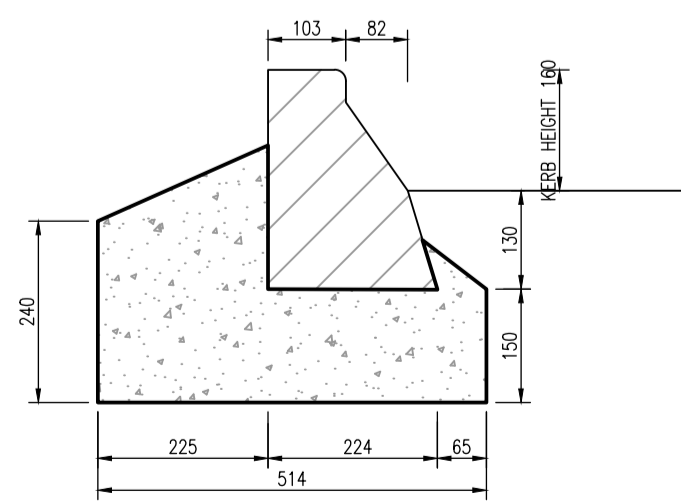


**ROAD PAVEMENT TIE-IN CONSTRUCTION**  
**NARROW WIDTHS**  
(SCALE 1:10)

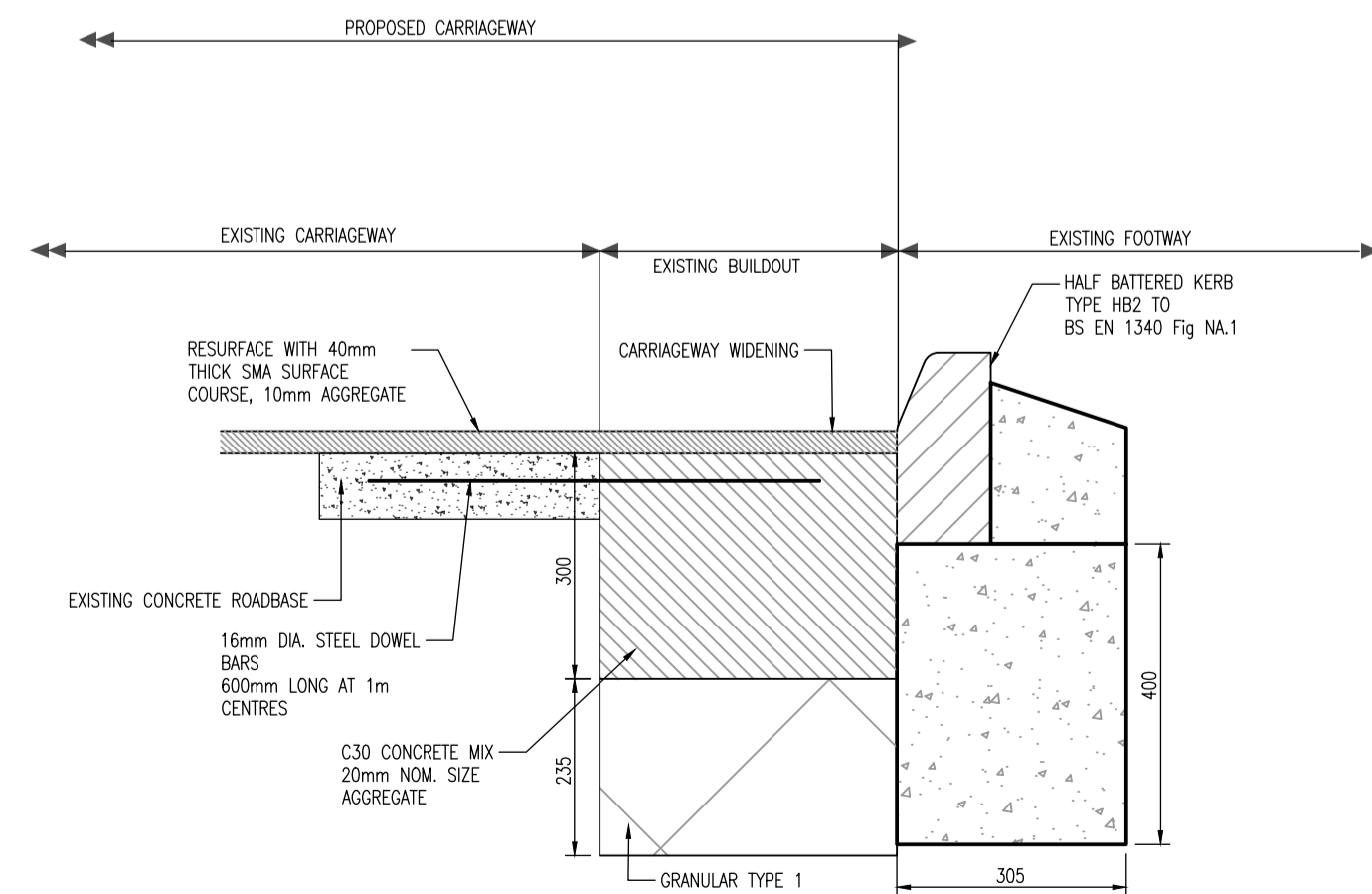


**LONGITUDINAL CARRIAGEWAY JOINT**  
1:10 SCALE

VERTICAL FACES OF COLD BITUMINOUS MATERIALS TO BE PAINTED WITH HOT BITUMINOUS BINDER OF NOT LESS THAN 40/60 PEN. ALL HORIZONTAL OR INCLINED EXISTING SURFACES TO ACCEPT BITUMINOUS MATERIALS TO BE PREPARED WITH A BOND COAT IN ACCORDANCE WITH BS 594987



**160MM ACCESS KERB BY CHARCON**  
**STANDARD PROFILE WITHOUT MARKER BUMP**  
(SIDE VIEW)  
1:10 SCALE



**TYPICAL CROSS SECTION**  
1:10 SCALE

**NOTES**

- THIS DRAWING SHOULD BE READ IN CONJUNCTION WITH ALL RELATED DOCUMENTATION AND DRAWINGS.
- ALL DIMENSIONS ARE IN MILLIMETRES UNLESS STATED OTHERWISE.
- THE WORKS SHALL BE CARRIED OUT IN ACCORDANCE WITH THE DFT MCHW, DMRB AND MIDDLESBROUGH COUNCIL REQUIREMENTS.
- REFER TO THE KERBS, FOOTWAYS AND PAVED AREAS DRAWINGS FOR SITE SPECIFIC DETAILS OF KERBING AND SURFACING
- KERBS TO BE BUTT JOINTED. WHERE KERB ALIGNMENTS INCUR MINOR OPEN JOINT TAPERS IN EXCESS OF 5mm BETWEEN FORMED SURFACES, MORTAR JOINTING SHALL BE USED.
- FULL LENGTH PCC KERBS ARE TO BE MECHANICALLY HANDLED.
- ALL PRECAST KERBS, CHANNELS AND EDGINGS SHALL BE TO BS EN 1340 AND LAID TO BS 7533-6 AND ALL SETTS OF NATURAL STONE SHALL BE TO BS EN 1342 AND LAID TO BS 7533-7.
- ALL KERBS, CHANNELS AND EDGINGS BED & BACKING SHALL BE ST2 CONCRETE WELL COMPACTED. UNLESS OTHERWISE STATED, THIS SHALL BE A MINIMUM BED THICKNESS OF 150mm FOR KERBS AND CHANNELS, 100mm FOR EDGINGS.
- THE MINIMUM CUT OF ANY LENGTH OF KERB SHALL BE 450mm.
- THE CORRECT TRANSITION SHALL BE USED FOR ALL DROP KERBS AND UPSTAND VARIATION LOCATIONS.
- KERBS SHALL BE LAID ON BEDDING WHILST CONCRETE IS STILL "GREEN", WHERE THE BEDDING CONCRETE HAS CURED PRIOR TO INSTALLING THE FINISHED KERBING, 20mm NOMINAL THICKNESS CEMENT MORTAR BED DESIGNATION (f) SHALL BE USED. N.B. THE MINIMUM BEDDING THICKNESS OF 150mm SHALL BE MAINTAINED.

**DO NOT SCALE**

- TACTILE PAVING SHALL BE COLOURED RED AT CONTROLLED CROSSING POINTS AND BUFF AT UNCONTROLLED CROSSINGS.
- MORTAR FOR TACTILE PAVING BE AS PER THAT SPECIFIED FOR BLOCK PAVING. CHLORIDE ION CONTENT OF MORTAR SHALL BE IN ACCORDANCE WITH BS EN 1744-1 AND SHALL NOT EXCEED 0.3% MASS OF CEMENT (0.2% FOR SULPHATE RESISTANT CEMENT. CALCIUM CHLORIDE IS NOT ACCEPTABLE).
- NO FROST-SUSCEPTIBLE MATERIALS TO BE USED WITHIN 450mm OF THE FINISHED SURFACE UNLESS EXPRESSLY REQUIRED BY THE ENGINEER.
- WHERE THE TRIMMING OF BLOCKS IS NECESSARY, PORTIONS OF LESS THAN ONE THIRD OF AN ENTIRE BLOCK SHALL NOT BE LAID. INSTEAD THE PATTERN SHOULD BE ALTERED TO ENABLE LARGER PIECES OF BLOCK TO BE USED.
- IF THE DEPTH OF AN ACCESS COVER FRAME PROHIBITS BLOCKS FROM BEING LAID UP CLOSE TO THE FRAME IT SHOULD BE SURROUNDED IN CONCRETE GRADE ST2 UP TO FINISHED GROUND LEVEL.
- JOINTING MATERIAL SHALL BE 0.5mm DRIED FREE FLOWING SILICA TO BS 7533-3 TABLE D.4. JOINT FILLING SHALL TAKE PLACE IMMEDIATELY AFTER THE BLOCK PAVERS HAVE BEEN COMPACTED INTO THE LAYING COURSE, AND COMPLETED WITH A FINAL COMPACTION OF THE FINISHED SURFACE.
- ASPHALTIC CONCRETE MATERIALS ARE TO BE IN ACCORDANCE WITH THE RELEVANT SECTION WITHIN BS EN 13108 PARTS 1-21, WITH ADDITIONAL GUIDANCE PROVIDED WITHIN PD 6691.
- INSTALLATION OF ASPHALTIC SURFACES TO BE IN ACCORDANCE WITH BS 594987.
- APPLICATION OF BOND COATS SHALL BE APPLIED IN COMPLIANCE WITH BS 594987 CL3.5 AND APPLIED AT A UNIFORM RATE OF SPREAD. TACK COATS SHALL NOT BE ACCEPTED, UNLESS AGREED IN ADVANCE WITH THE ENGINEER.
- COLD SURFACES OF ASPHALT AT TIE-INS TO BE CLEANED PRIOR TO APPLICATION OF BOND COAT TO ENSURE ADEQUATE COHESION OF NEW MATERIALS.
- IN THE AREAS OF NEW CARRIAGEWAY CONSTRUCTION, WHERE THE WIDTH OF CARRIAGEWAY IS LESS THAN 1.0M, CONCRETE FILL TYPE ST1 / ST2 OR OTHER SIMILAR SPECIFICATION AS APPROVED BY MIDDLESBROUGH COUNCIL TO BE USED AS A REPLACEMENT FOR TYPE 1 SUBBASE.
- CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.

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PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
PO1	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	16/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

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SITE/PROJECT:  
**LINTHORPE ROAD RESTORATION**

TITLE:  
**TYPICAL HIGHWAY DETAILS**

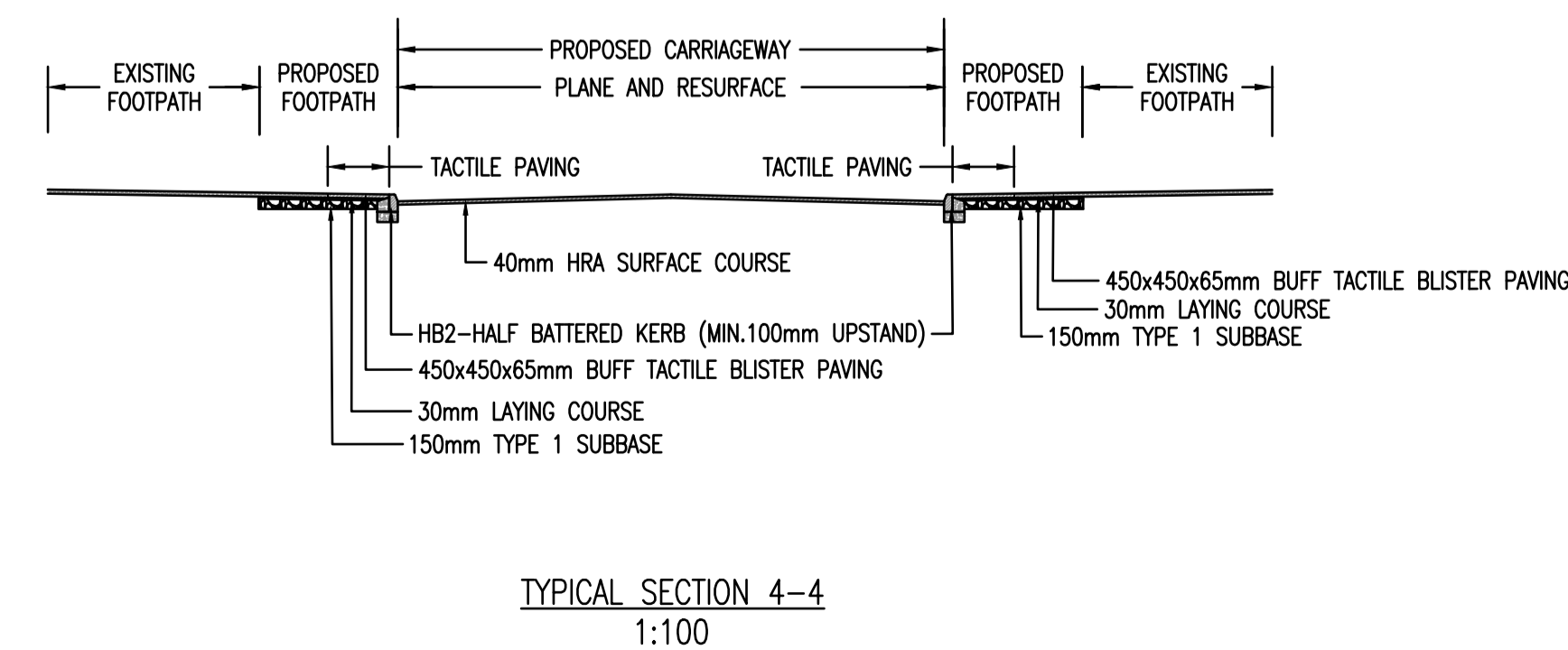
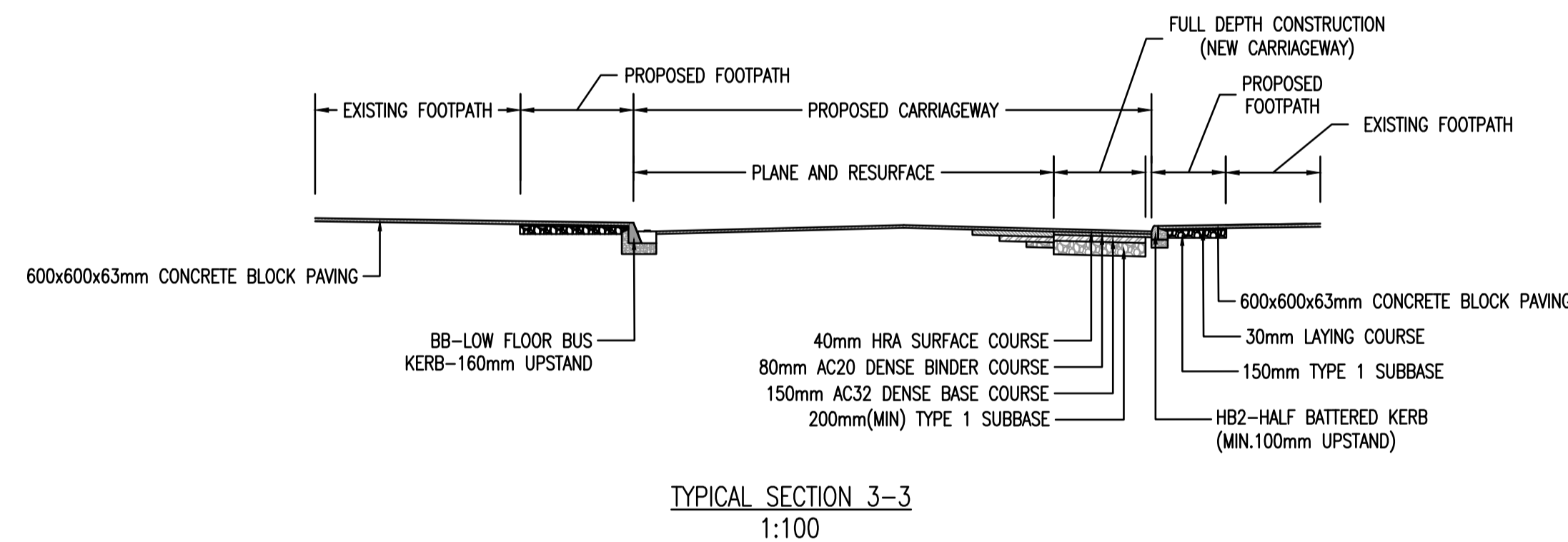
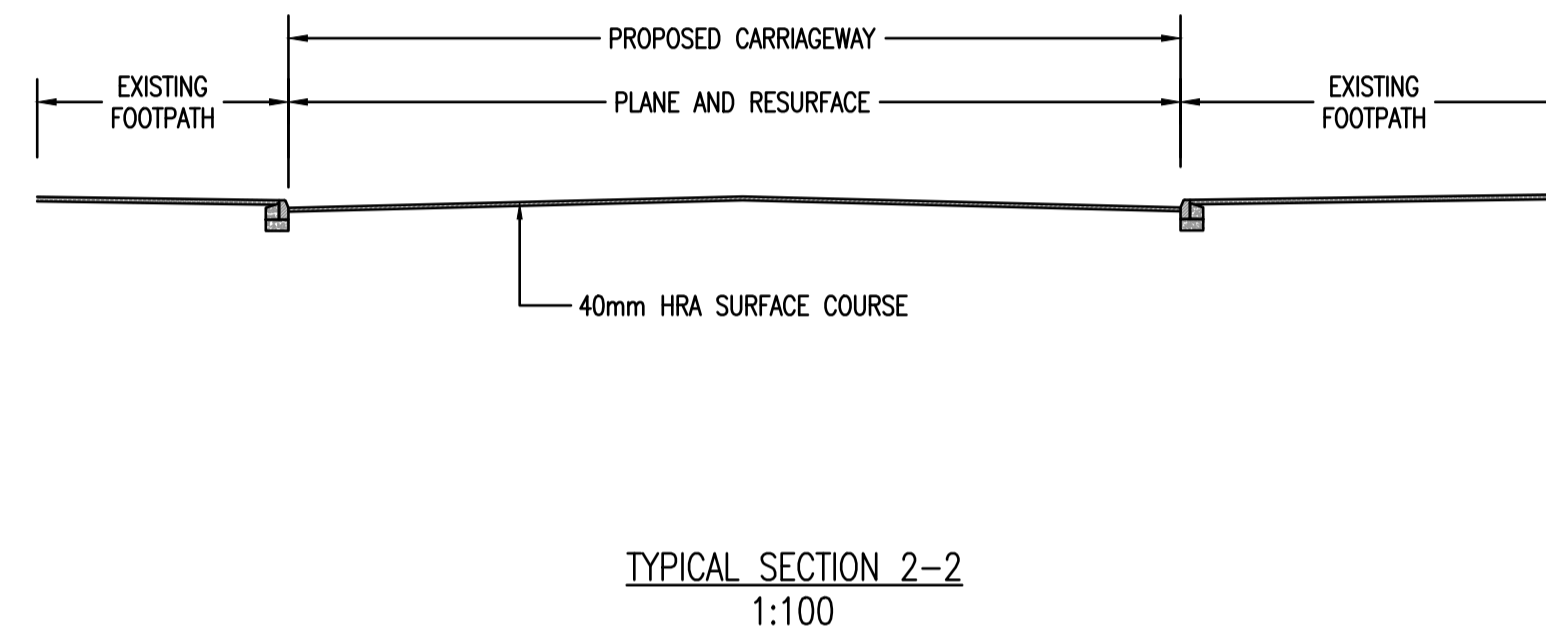
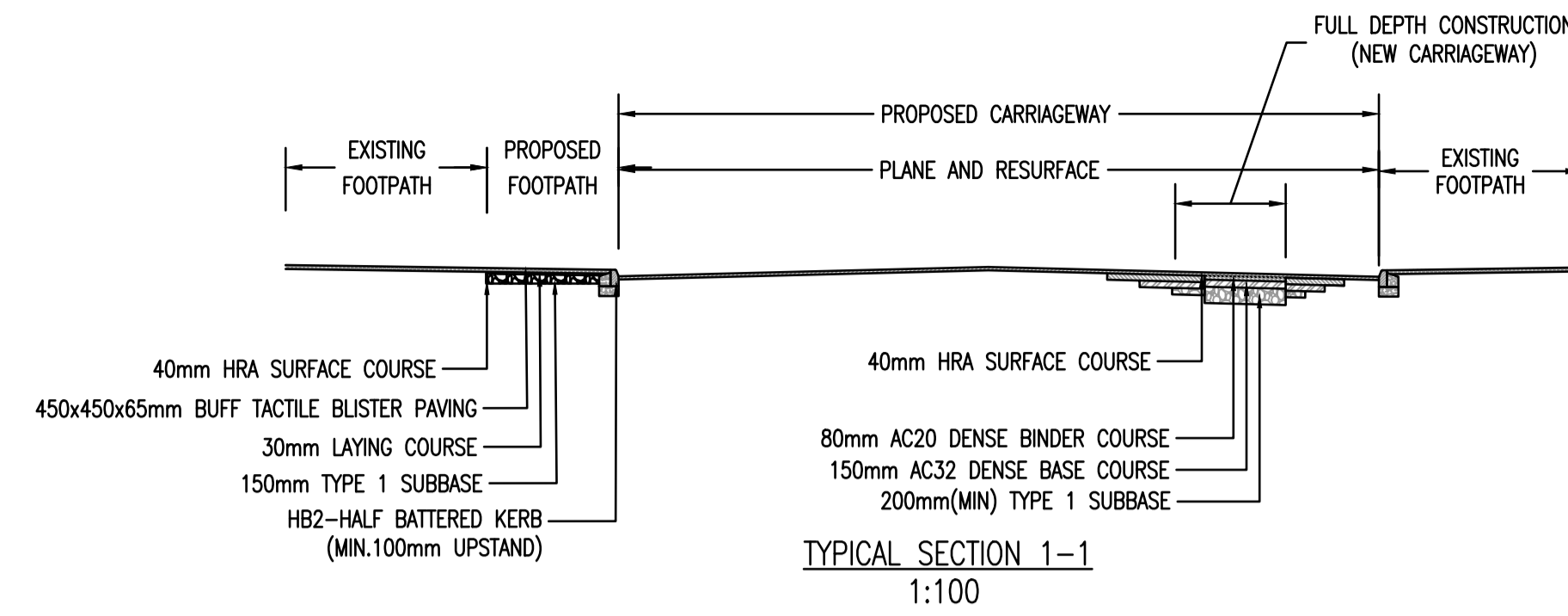
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PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
DRAWING NO:	288933-WSP-XX-XX-DR-C-1111	DATE:	JULY 2024	REV:	P02

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NOTES

1. ALL DIMENSIONS ARE IN METRES UNLESS NOTED OTHERWISE.
2. FOR SECTION LOCATIONS, REFER DRAWING NO. 288933-WSP-XX-XX-DR-C-000101 - 000104.
3. THIS DRAWING SHOULD BE READ IN CONJUNCTION WITH ALL RELEVANT DOCUMENTATION DRAWINGS AND STANDARD DETAILS BUT WITH PARTICULAR REFERENCE TO THE FOLLOWING 288933-WSP-XX-XX-DR-C-1101.



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PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
PO1	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	10/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

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CLIENT:



SITE/PROJECT:

LINTHORPE ROAD RESTORATION

TITLE:

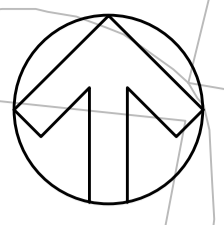
TYPICAL HIGHWAY SECTIONS

SCALE @ A1: AS SHOWN      CHECKED: JS      APPROVED: PWW

PROJECT NO: 2024UK293315      DESIGNED: NR      DRAWN: NR      DATE: JULY 2024

DRAWING NO: 288933-WSP-XX-XX-DR-C-1112      REV: P02





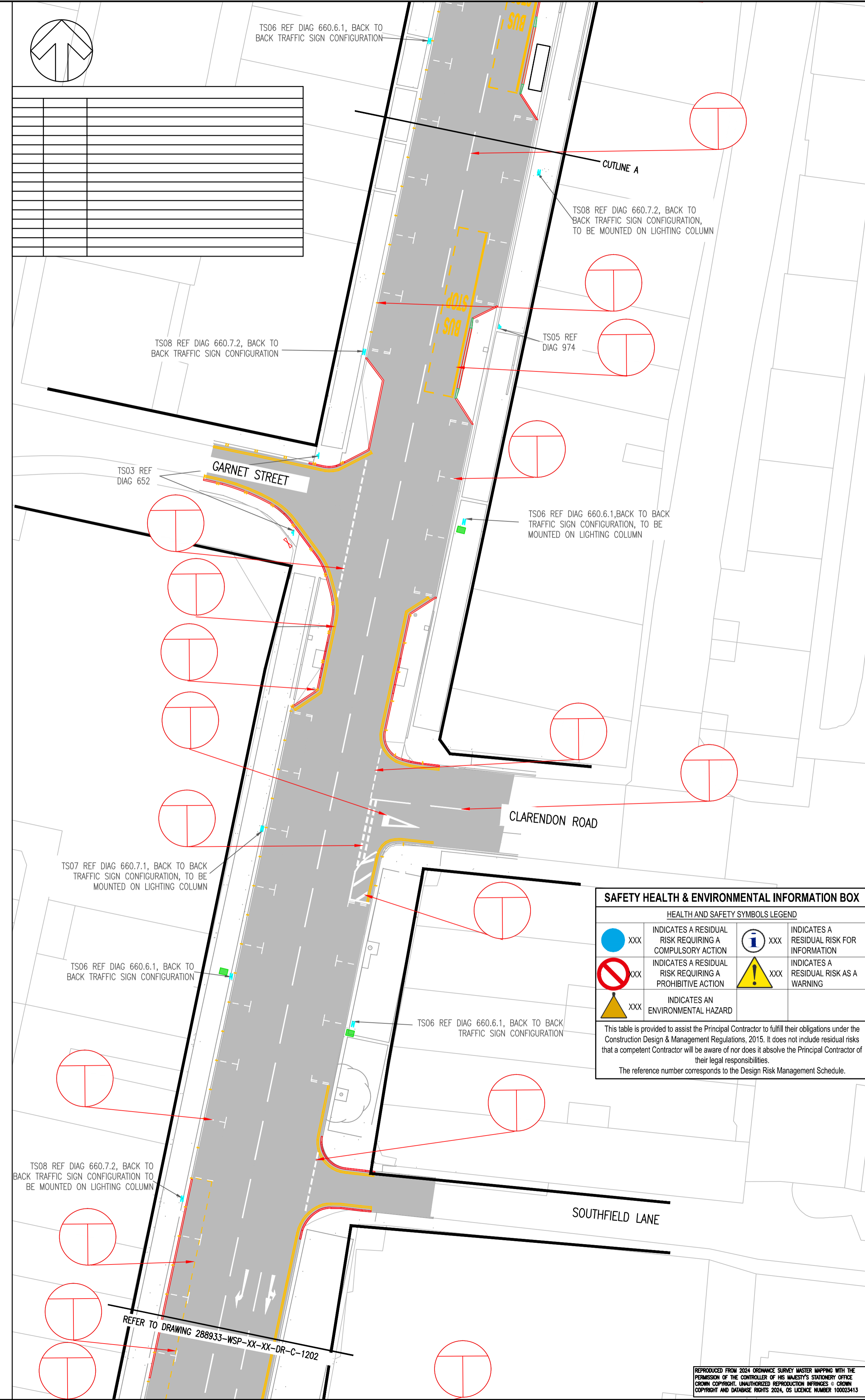
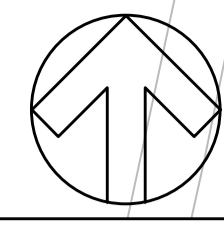
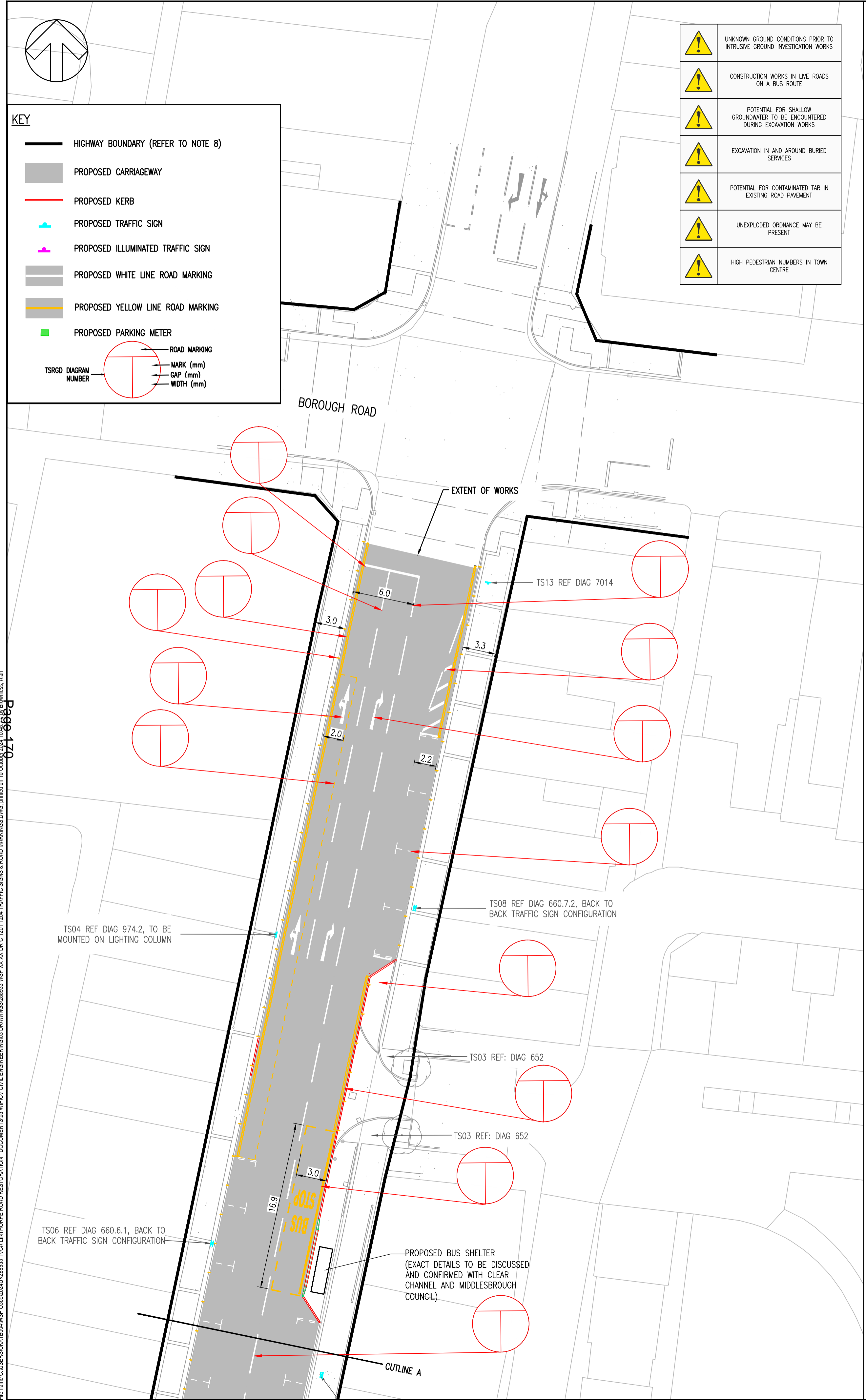
**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
- PROPOSED KERB
- PROPOSED TRAFFIC SIGN
- PROPOSED ILLUMINATED TRAFFIC SIGN
- PROPOSED WHITE LINE ROAD MARKING
- PROPOSED YELLOW LINE ROAD MARKING
- PROPOSED PARKING METER

**TSRGD DIAGRAM NUMBER**

- ROAD MARKING
- MARK (mm)
- GAP (mm)
- WIDTH (mm)

	UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS
	CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE
	POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS
	EXCAVATION IN AND AROUND BURIED SERVICES
	POTENTIAL FOR CONTAMINATED TAR IN EXISTING ROAD PAVEMENT
	UNEXPLODED ORDNANCE MAY BE PRESENT
	HIGH PEDESTRIAN NUMBERS IN TOWN CENTRE



**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

HEALTH AND SAFETY SYMBOLS LEGEND

	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION		INDICATES A RESIDUAL RISK FOR INFORMATION
	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		INDICATES A RESIDUAL RISK AS A WARNING
	INDICATES AN ENVIRONMENTAL HAZARD		

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**DO NOT SCALE**

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PO4	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
PO3	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
PO1	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	12/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

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SITE/PROJECT:

**LINTHORPE ROAD RESTORATION**

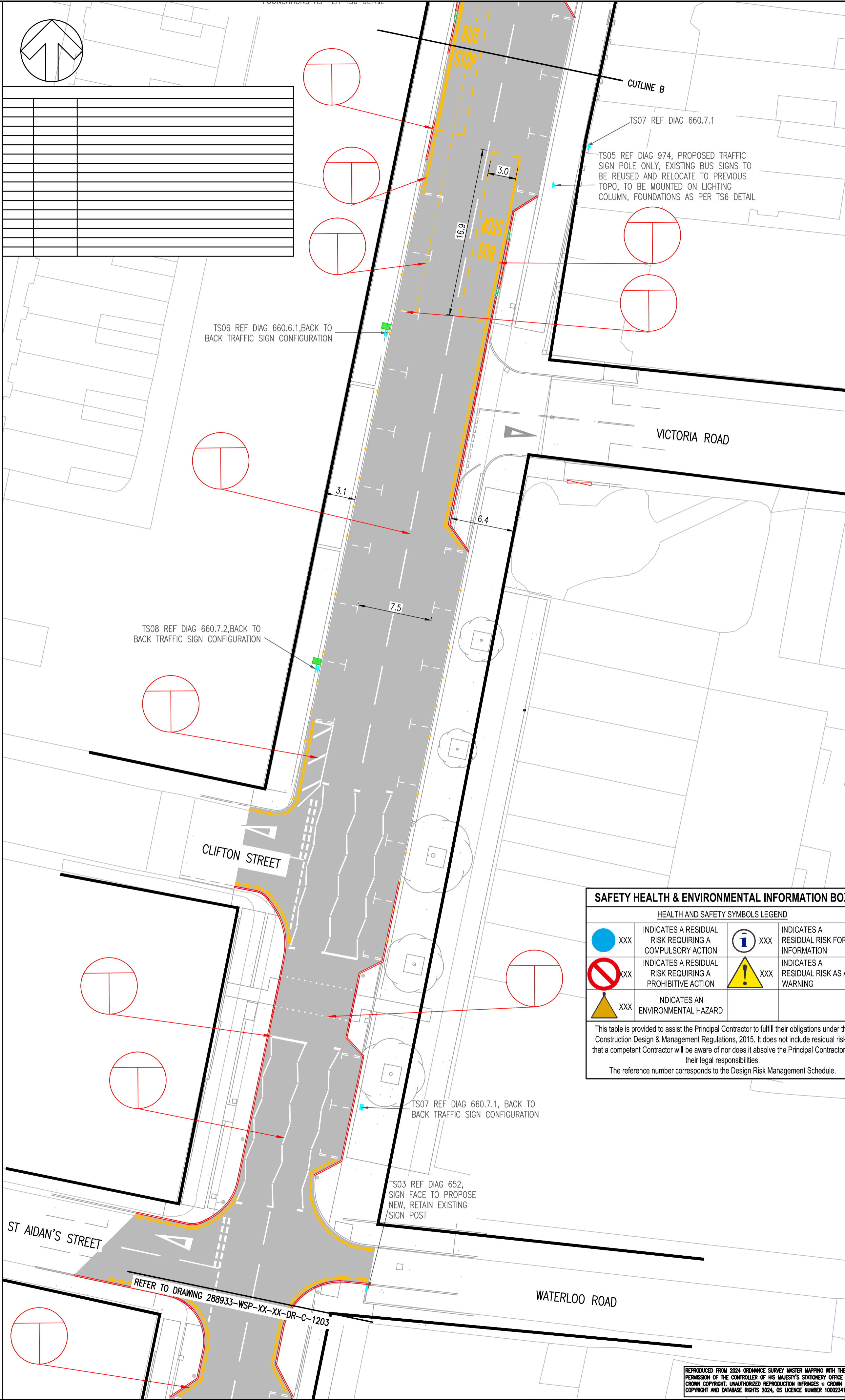
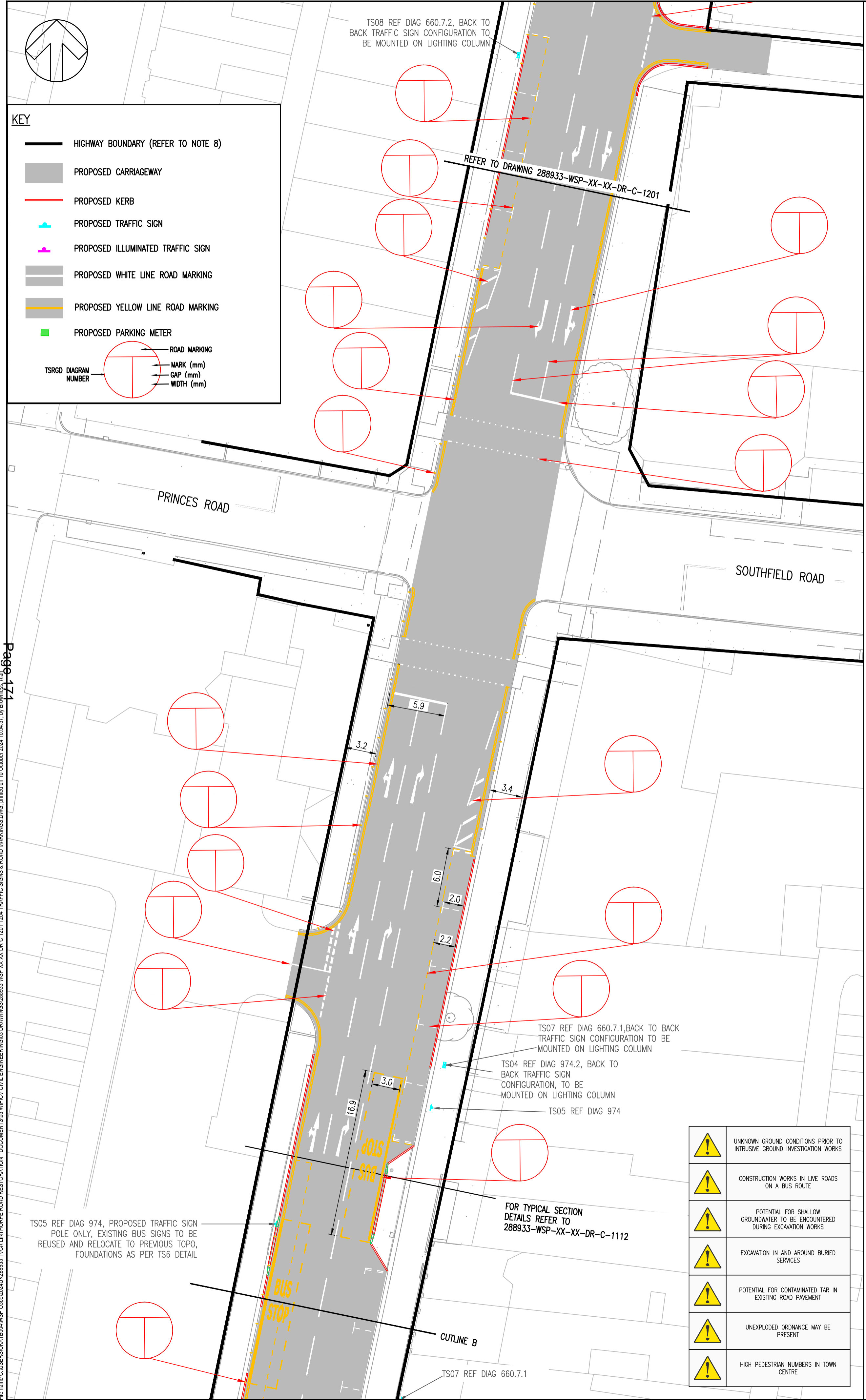
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**TRAFFIC SIGNS AND ROAD MARKINGS (SHEET 1 OF 4)**

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DATE:	JULY 2024
DRAWING NO:	288933-WSP-XX-XX-DR-C-1201	REV:			PO4

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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	12/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS:

**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

**HEALTH AND SAFETY SYMBOLS LEGEND**

	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		INDICATES A RESIDUAL RISK FOR INFORMATION
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**LINTHORPE ROAD RESTORATION**

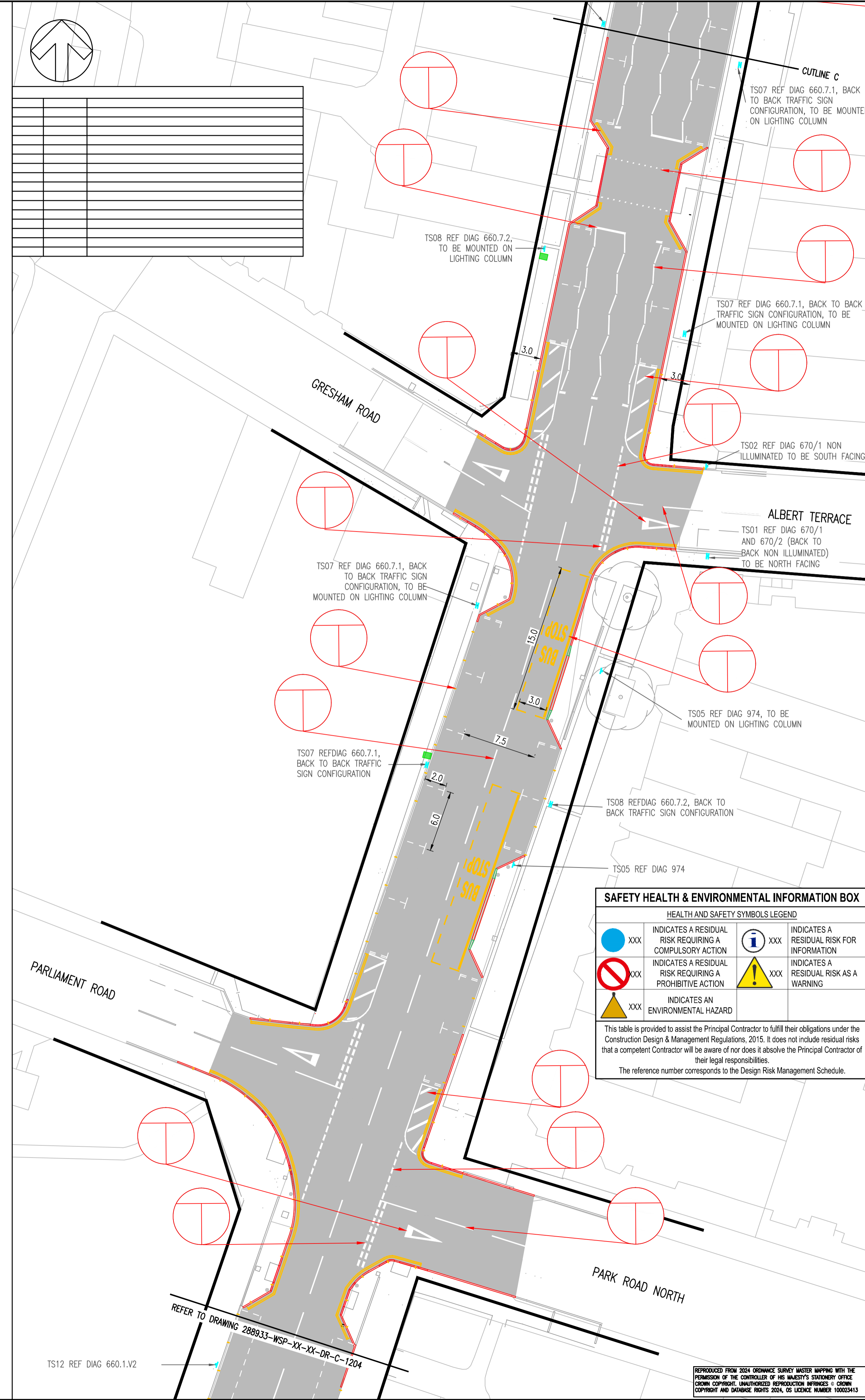
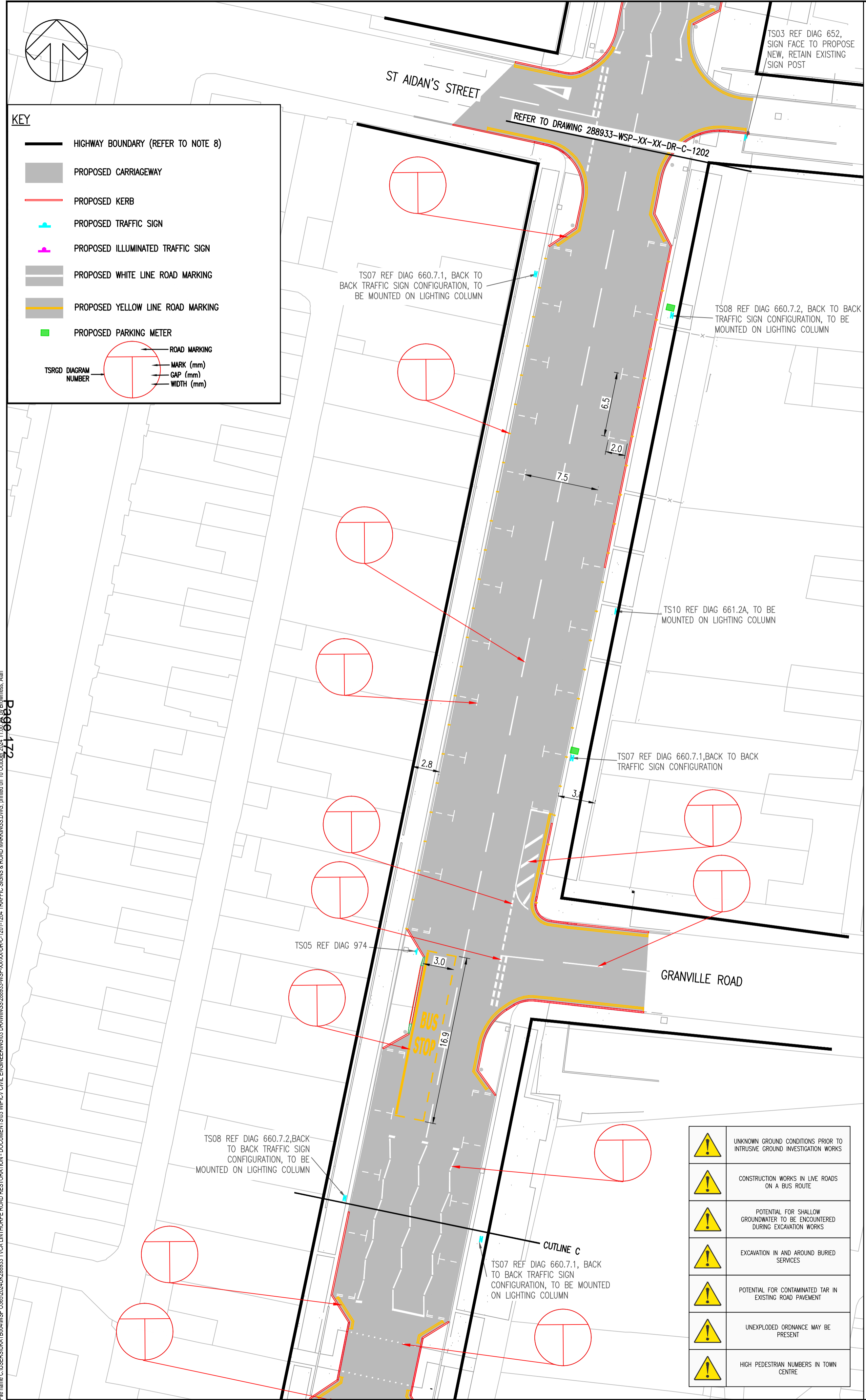
**TRAFFIC SIGNS AND ROAD MARKINGS (SHEET 2 OF 4)**

SCALE @ AT:	CHECKED:	APPROVED:
1:250	JS	PWW

PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024

DRAWING NO:	REV:
288933-WSP-XX-XX-DR-C-1202	P04

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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	12/07/24	NR	DRAFT ISSUE	JS	PWW

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SITE/PROJECT: LINTHORPE ROAD RESTORATION

TITLE: TRAFFIC SIGNS AND ROAD MARKINGS (SHEET 3 OF 4)

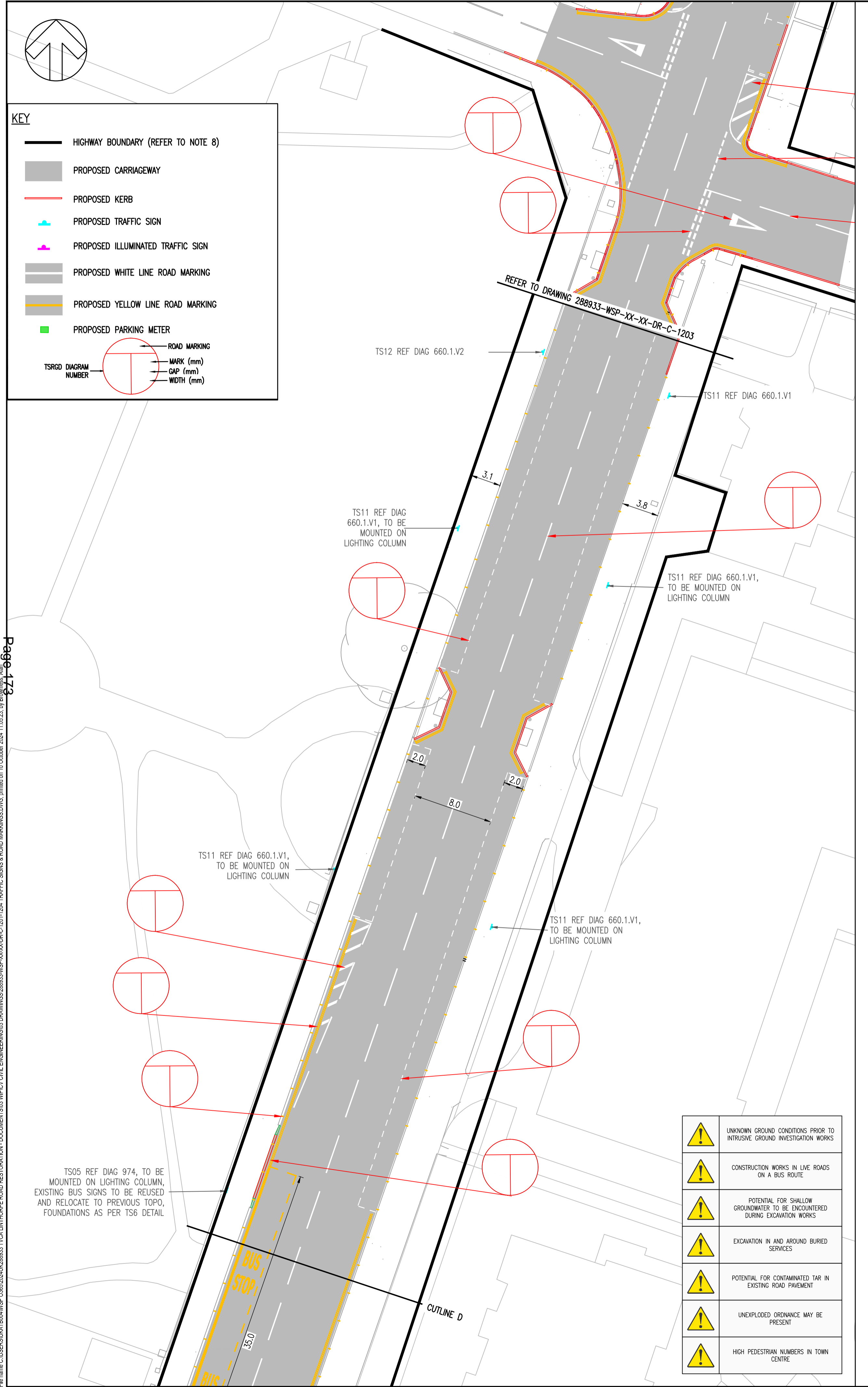
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PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024

DRAWING NO:	REV:
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 Page 172



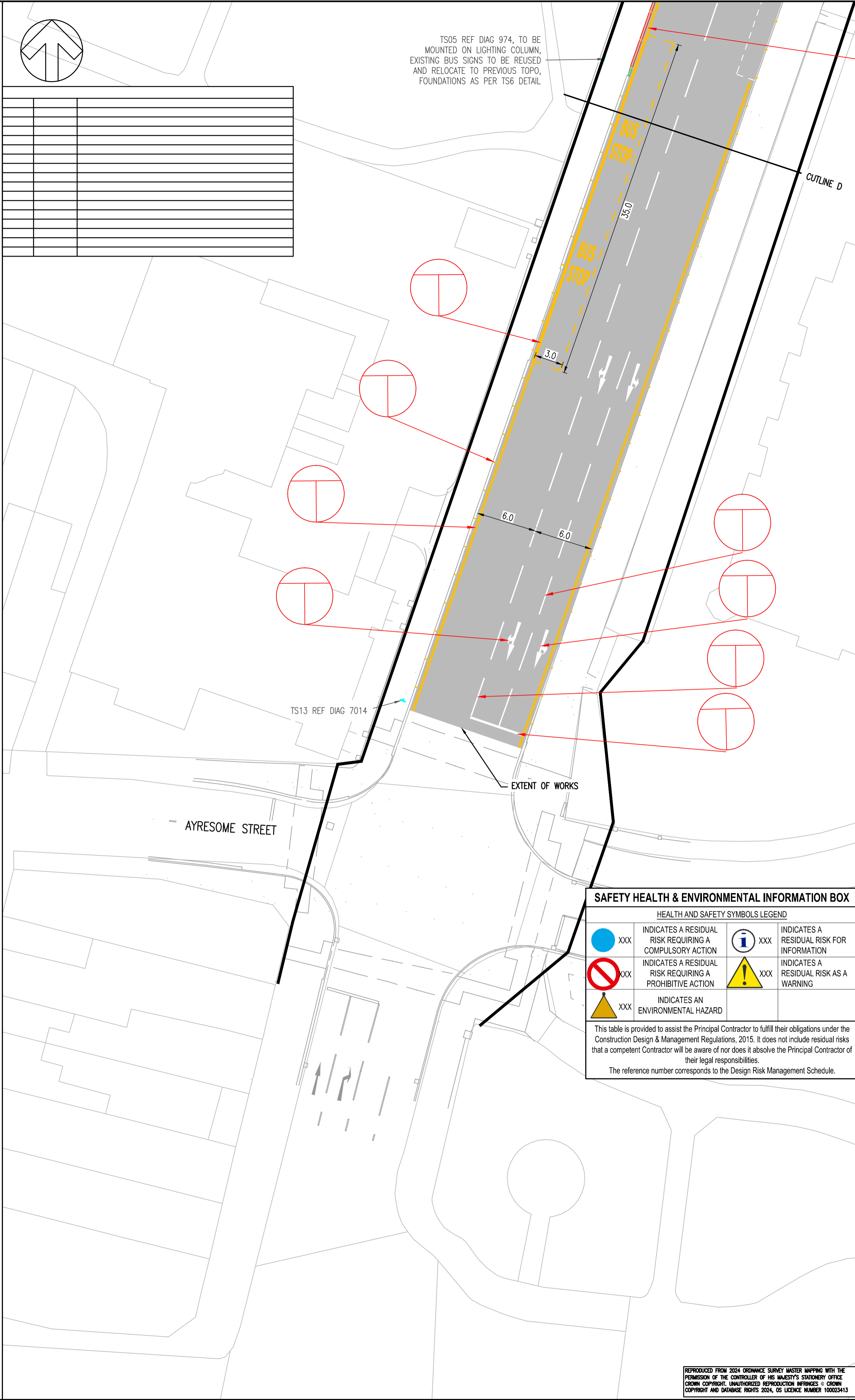
**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
- PROPOSED KERB
- PROPOSED TRAFFIC SIGN
- PROPOSED ILLUMINATED TRAFFIC SIGN
- PROPOSED WHITE LINE ROAD MARKING
- PROPOSED YELLOW LINE ROAD MARKING
- PROPOSED PARKING METER

ROAD MARKING  
 MARK (mm)  
 GAP (mm)  
 WIDTH (mm)

TSRGD DIAGRAM NUMBER

- UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS
- CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE
- POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS
- EXCAVATION IN AND AROUND BURIED SERVICES
- POTENTIAL FOR CONTAMINATED TAR IN EXISTING ROAD PAVEMENT
- UNEXPLODED ORDNANCE MAY BE PRESENT
- HIGH PEDESTRIAN NUMBERS IN TOWN CENTRE



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- NOTES**
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  - ALL DIMENSIONS ARE IN METRES UNLESS STATED OTHERWISE.
  - THE ORIGINAL OF THIS DRAWING WAS PRODUCED IN COLOUR - A MONOCHROME COPY CANNOT BE RELIED ON.
  - INFORMATION REGARDING THE LOCATION AND DEPTH OF EXISTING SERVICES CANNOT BE GUARANTEED BY THE STATUTORY UNDERTAKER AND SHOULD BE INVESTIGATED. THE CONTRACTOR SHALL ESTABLISH THE PRECISE LINE AND DEPTH OF ALL EXISTING UTILITIES PRIOR TO COMMENCING ANY EXCAVATION WORK.
  - THE DESIGN IS BASED ON TOPOGRAPHICAL SURVEY REFERENCE ASS 2963 BY ADH SITE SURVEYS LIMITED RECEIVED FEBRUARY 2021.
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  - ALL TRAFFIC SIGNS AND ROAD MARKINGS CONFORM TO TRAFFIC SIGNS REGULATIONS AND GENERAL DIRECTIONS (TSRGD) 2016 AND THE TRAFFIC SIGNS MANUAL (TSM).
  - ALL PROPOSED ROAD MARKINGS ARE TO TIE INTO EXISTING AT SCHEME EXTENTS.
  - THE USE OF TRAFFIC SIGN DIAGRAM REF 7014 IS RESTRICTED TO A PERIOD OF 3 MONTHS AFTER THE COMPLETION OF THE WORKS AND A "REMOVE BY" DATE MUST BE INCLUDED AT THE BACK OF THE SIGN CONFORMING TO TSRGD 2016.
  - ALL POST SIZES ASSUME LEVEL GROUND CONDITIONS.
  - SIGN LOCATIONS ARE SHOWN INDICATIVELY AND CAN BE ADJUSTED TO EASE BUILDABILITY / AVOID UNDERGROUND SERVICES
  - THIS DRAWING IS BASED IN A WHOLE OR IN PART ON INFORMATION AND/OR DATA APPROVED BY A THIRD PARTY INCLUDING MIDDLESBROUGH COUNCIL AND AS SUCH IN CONTINGENT UPON THE ACCURACY AND COMPLETENESS OF THAT INFORMATION AND/OR DATA. WSP UK LIMITED SHALL NOT BE LIABLE IN RELATION TO ANY INACCURACY PRESENTED WITHIN THE DRAWING AND/OR IN RELATION TO ANY DISCREPANCY OR AMBIGUITY WITH ANY OTHER PROJECT DOCUMENTS SHOULD ANY DATA AND OR INFORMATION UPON WHICH RELIANCE HAS BEEN BASED BE INCORRECT OR OUT OF DATE OR HAVE BEEN CONCEALED, WITHHELD OR BE INCOMPLETE, MISREPRESENTED OR OTHERWISE NOT FULLY DISCLOSED TO WSP UK LIMITED.

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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	12/07/24	NR	DRAFT ISSUE	JS	PWW

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Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
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wsp.com

CLIENT:

SITE PROJECT: LINTHORPE ROAD RESTORATION

TITLE: TRAFFIC SIGNS AND ROAD MARKINGS (SHEET 4 OF 4)

SCALE @ A1: 1/250	CHECKED: JS	APPROVED: PWW
PROJECT NO: 2024UK293315	DESIGNED: NR	DRAWN: NR
DATE: JULY 2024		REV: P04
DRAWING NO: 288933-WSP-XX-XX-DR-C-1204		

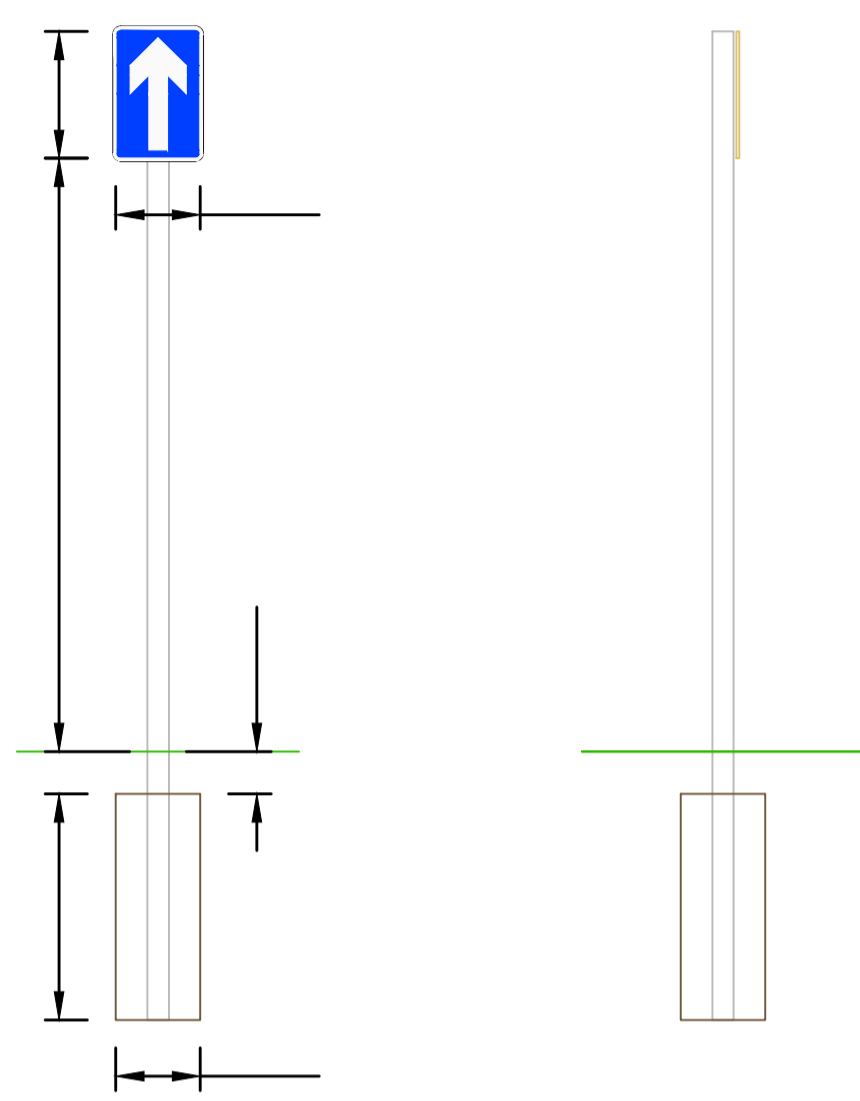
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DO NOT SCALE

NOTES

- ALL DIMENSIONS ARE IN METRES UNLESS OTHERWISE STATED.
- ALL LEVELS ARE IN METRES ABOVE ORDNANCE DATUM.
- WORKS SHALL BE CONSTRUCTED IN ACCORDANCE WITH THE RELEVANT B.S, MIDDLESBROUGH COUNCIL HIGHWAY DESIGN GUIDE AND DEPARTMENT OF TRANSPORTS 'SPECIFICATION FOR HIGHWAY WORKS', PUBLISHED BY HMSO. ALL SPECIFICATION CLAUSES REFER TO THIS DOCUMENT UNLESS OTHERWISE STATED.
- ALL SETTING OUT IS TO BE AGREED WITH THE ENGINEER PRIOR TO THE COMMENCEMENT OF THE WORKS. THIS DRAWING IS TO BE READ IN CONJUNCTION WITH ALL OTHER RELEVANT DRAWINGS, SCHEDULES AND SPECIFICATIONS.
- CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.
- TRAFFIC SIGNS & ROAD MARKING REFERENCES CONFORMS TO TSRGD 2016.
- SIGN POSITIONING AND SIZES ARE NOT TO SCALE, EXACT LOCATION AND ORIENTATION OF SIGNS TO BE CONFIRMED WITH ENGINEERS REPRESENTATIVE PRIOR TO ERECTION ON SITE.
- POST FOUNDATIONS SUBJECT TO FINAL DESIGN BY CONTRACTOR TO AVOID BURIED SERVICES.
- SIGNAGE LOCATED WITHIN FOOTWAYS TO HAVE A MOUNTING HEIGHT OF 2.3m;
- ALL ILLUMINATED SIGNS TO BE MOUNTED ON GALVANISED WIDE BASED POSTS WITH G1 FINISH KCC COASTAL SPECIFICATION AS MANUFACTURED BY STANTON FABRIKAT.
- ALL SIGN LIGHTING UNITS TO BE LED LUA RANGE (TO INCLUDE PHOTOCELL): 3W FOR SMALL PLATES (600MM AND UNDER), 10W FOR LARGE PLATES (OVER 600MM) AS MANUFACTURED BY SIMMONSIGNS.
- ALL ILLUMINATED AND NON-ILLUMINATED SIGN FACES TO BE CLASS 2 REFLECTIVE.
- NON-ILLUMINATED TRAFFIC BOLLARDS TO BE METRO PLUS ANTI-TWIST (REFLEX BOLLARD) AS MANUFACTURED BY TMP.

Signing Project	Signing Project	Width (mm)	Height (mm)	Area (sq.m)	Background	Border	Legend
Sign Reference	TS03	300	450	0.14	Blue	White	White
x Height							
Material	Class RA2						



TS03 - 652

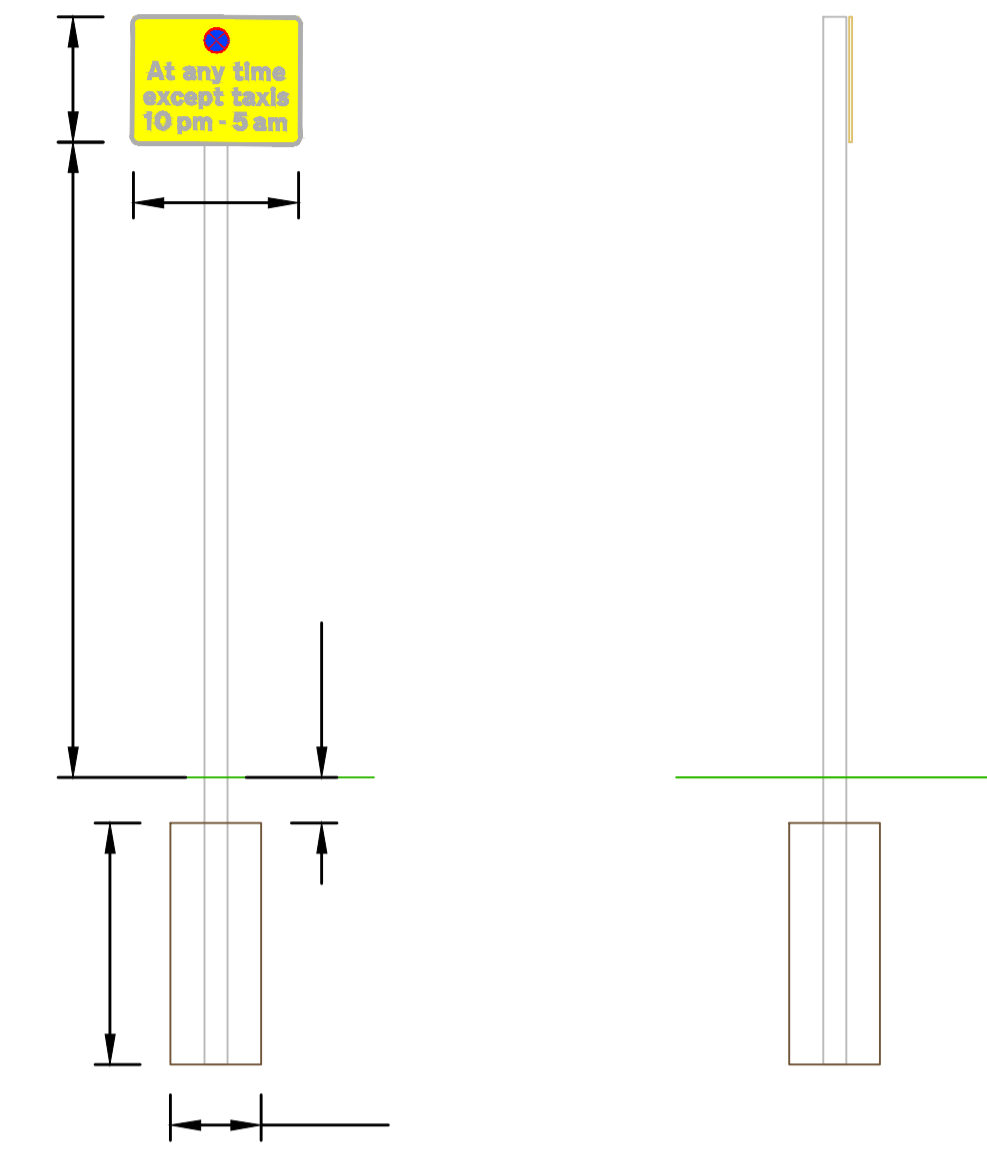
**Structural Calculation Details**

Signs:  
Reference: TS03  
Width: 300mm, Height: 450mm  
Shape: Rectangle  
Orientation: Facing front  
Mounted on posts: 1  
Mounting height: 2100mm, at post

Posts:  
Quantity: 1  
Type: 76.1 x 3.2 CHS (S355)  
Spacing: N/A  
Post 1 Length: 3500mm

Base:  
Type: Planted  
Diameter: 300mm  
Depth: 800mm  
Volume: 0.06cu.m  
Earth cover: 150mm

Signing Project	Signing Project	Width (mm)	Height (mm)	Area (sq.m)	Background	Border	Legend
Sign Reference	TS04	545	415	0.23	Yellow	Black	Black
x Height							
Material	Class RA2						



TS04 - 974.2

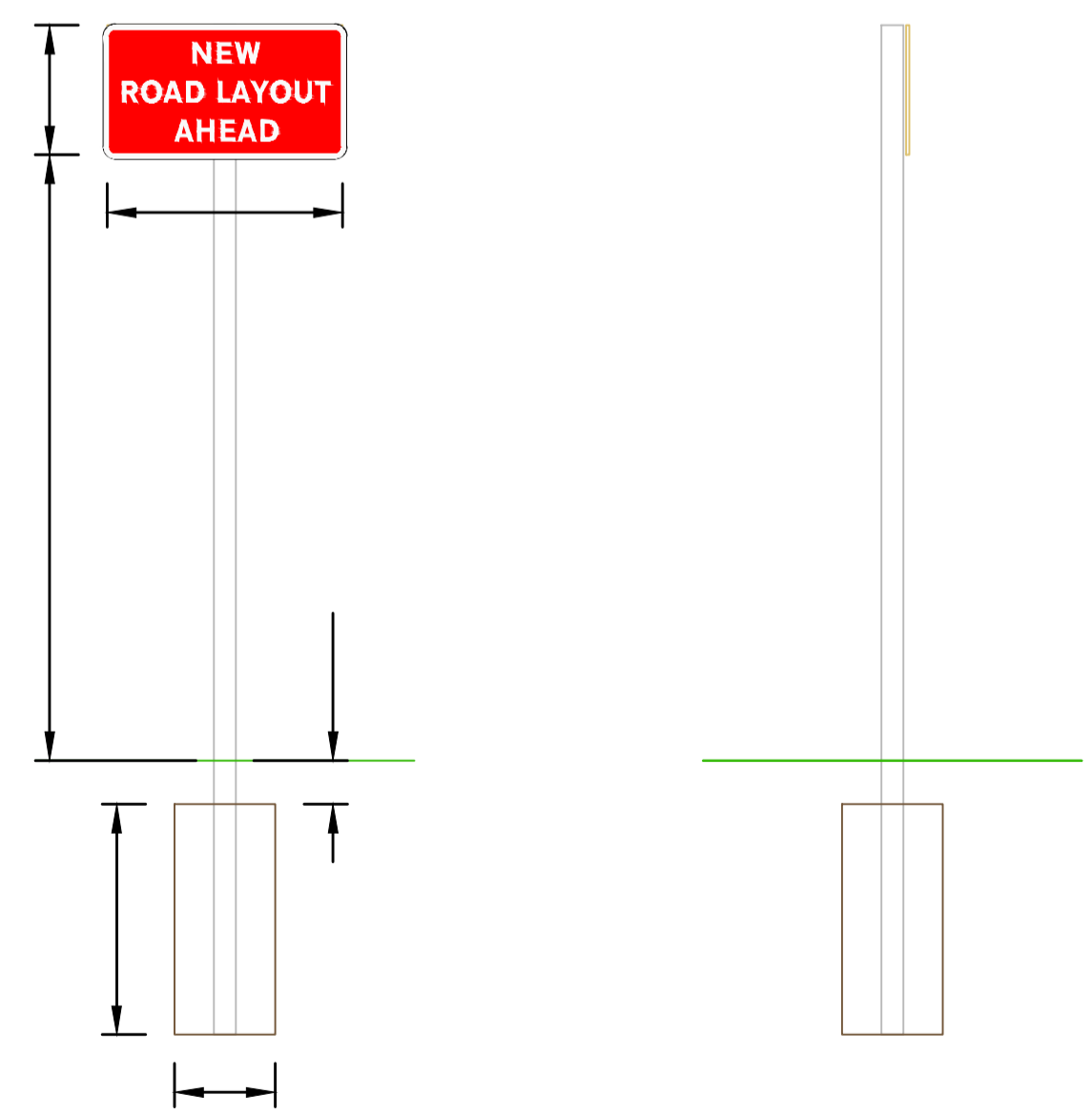
**Structural Calculation Details**

Signs:  
Reference: TS04  
Width: 545mm, Height: 415mm  
Shape: Rectangle  
Orientation: Facing front  
Mounted on posts: 1  
Mounting height: 2100mm, at post

Posts:  
Quantity: 1  
Type: 76.1 x 3.2 CHS (S355)  
Spacing: N/A  
Post 1 Length: 3465mm

Base:  
Type: Planted  
Diameter: 300mm  
Depth: 800mm  
Volume: 0.06cu.m  
Earth cover: 150mm

Signing Project	Signing Project	Width (mm)	Height (mm)	Area (sq.m)	Background	Border	Legend
Sign Reference	TS13	815	450	0.37	Red	White	White
x Height	50.0						
Material	Class RA2						



TS13 - 7014

**Structural Calculation Details**

Signs:  
Reference: TS13  
Width: 815mm, Height: 450mm  
Shape: Rectangle  
Orientation: Facing front  
Mounted on posts: 1  
Mounting height: 2100mm, at post

Posts:  
Quantity: 1  
Type: 76.1 x 3.2 CHS (S355)  
Spacing: N/A  
Post 1 Length: 3500mm

Base:  
Type: Planted  
Diameter: 350mm  
Depth: 800mm  
Volume: 0.08cu.m  
Earth cover: 150mm

SIGN SCHEDULE

Sign Reference	TSRGD NO.	x Height	Width (mm)	Height (mm)	Area (m <sup>2</sup> )	Mounting height	Post quantity	Post type	Post 1 length	Base type	Base depth	Base volume	Earth cover	Illumination
TS02	670/1	100	600	600	0.28	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3770	Planted	800	0.06	150	Yes
TS04	974.2	40.0	545	415	0.23	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3465	Planted	800	0.06	150	No
TS05	974.2	40.0	590	465	0.27	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3515	Planted	800	0.06	150	No
TS06	660.6.1	15.0	280	455	0.13	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3505	Planted	800	0.06	150	No
TS07	660.7.1	15.0	280	505	0.14	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3555	Planted	800	0.06	150	No
TS08	660.7.2	15.0	280	505	0.14	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3555	Planted	800	0.06	150	No
TS09	660.7.3	15.0	280	505	0.14	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3555	Planted	800	0.06	150	No
TS10	661.2A	15.0	235	165	0.04	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3215	Planted	800	0.06	150	No
TS11	660.1.V1	15.0	270	195	0.05	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3245	Planted	800	0.06	150	No
TS12	660.1.V2	15.0	270	235	0.06	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3285	Planted	800	0.06	150	No
TS13	7014	50.0	815	450	0.37	2100mm, at post	1	76.1 x 3.2 CHS (S355)	3500	Planted	800	0.08	150	No

REV	DATE	BY	DESCRIPTION	CHK	APP
P03	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	15/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS:

Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
wsp.com

CLIENT:

SITE/PROJECT:  
LINTHORPE ROAD RESTORATION

TITLE:  
TRAFFIC SIGN DETAILS  
(SHEET 1 OF 3)

SCALE @ A1:	CHECKED:	APPROVED:
NTS	JS	PWW
PROJECT NO:	DESIGNED:	DRAWN:
2024UK293315	NR	NR
DATE:	JULY 2024	
DRAWING NO:	REV:	
288933-WSP-XX-XX-DR-C-1211	P03	

File name: C:\USERS\NATEBOWEN\WSP\03602024\288933\DRAWINGS\TRAFFIC SIGN DETAILS\DRG\_C-1211-12-11-TRAFFIC SIGNS DETAILS.DWG, printed on: 10/10/2024 13:22:39  
 P999 171

Inputs are:  
Funding  
Resources

What will be delivered

What will be the direct result of  
the activities (note outputs  
relevant to investment priority)

Results or changes produced  
by the intervention

**Inputs**  
(Funding/Resources)

TVCA funding  
£2,387,585

Detailed Design

Advertisement of  
Traffic Regulation  
Orders

**Activities**  
(Monitor)

Reinstatement of 47  
parking spaces

Removal of 1km  
existing cycle way – in  
both directions

Reinstatement of  
previous TROs

**Outputs**  
(Quantify & Monitor)

47 pay & display parking  
spaces installed

Removal of street  
furniture within the  
carriageway

Realignment of highway,  
providing a more linear  
layout

Reinstatement of bus  
stops to previous location

**Outcomes**  
(Monitor & Evaluate)

Eradicate all accidents associated  
with pedestrian conflict with  
cycle infrastructure

45,805 extra Pay and Display  
users

Reduction in vacant units

Greater satisfaction with highway  
users, including bus operators

Increased Pay and Display income  
of £84,913.94 p.a.

High Value VfM

*Do not alter cells in this colour - automatic calculation*






**Direct Construction Costs**

Base Construction Cost (Q2 2021 Prices)	£891,445
Allowance for traffic signals	£150,000

**Indirect Construction Costs**

Main Contractors preliminaries and traffic management	£325,000
Overheads and Profits	£136,644
Fees (design, construction PM, CDM)	£263,041
Benefits Realisation Report	£30,000

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<b>Total excl. Risk and Inflation</b>	<b>£1,796,130</b>
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Risk	£285,518
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Inflation	£305,937
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<b>Total</b>	<b>£591,455</b>
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<b>Total cost</b>	<b>£2,387,585</b>
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# Appendix 1

## TVCA Equalities Impact Assessment

Equality Impact Assessment (EqIA): Linthorpe Road Proposed Cycle Lane Removal

PART 1. OVERVIEW	
<b>1.1 Decision Title: Name of policy/Project /Activity being assessed</b>	Linthorpe Road Proposed Cycle Lane Removal
<b>1.2 Date of Assessment</b>	August 2024
<b>1.3 Version number</b>	1.0
<b>1.4 Equality Analysis completed by: (Names &amp; Job Titles)</b>	Maisie Chadwick/ Emily Jones – WSP Communications & Engagement
<b>1.5 Lead Director &amp; Authoriser Senior Responsible Officer (if different)</b>	TBC
<b>1.6 Is the Activity: (Existing / Proposed / New)</b>	Proposed
PART 2. PURPOSE AND SCOPE	
<b>2.1 Summary of aims and objectives of the Decision (policy/funding/activity/event)</b>	<p>The Tees Valley Combined Authority (TVCA) is proposing the removal of the segregated cycle lane on Linthorpe Road. The cycle lane was introduced in 2022 but since then has received significant political opposition and negative feedback, particularly from businesses in the area. Safety concerns have also been raised.</p> <p>Both the Mayor of Middlesbrough, Chris Cooke and Tees Valley Mayor, Ben Houchen have pledged to remove the cycle lane during their electoral campaigns.</p>

	<p>The proposal is to remove the cycle lanes on Linthorpe Road and revert the road back to its original layout, including reinstating the on-street parking and reopening side streets (with the exception of Victoria Road and King Edward Square which would remain closed). The current 20mph speed limit will be retained, and blue badge car parking will be retained on Waterloo Road, subject to Middlesbrough’s Executive Approval.</p> <p>The removal of the cycle lane and reinstatement of the previous road layout will be funded by the TVCA.</p>
<p><b>2.2 What involvement and consultation has been done in relation to this Decision?</b> <i>(e.g. with relevant groups and stakeholders)</i></p>	<p>Internal discussions between TVCA and Middlesbrough Borough Council (MBC), including with their Accessibility Officer representing the views of different groups and users needs across the authority. MBC’s Accessibility Officer has reviewed and provided recommendations, which will be considered as part of the final design.</p> <p>TVCA and MBC have also held discussions with political stakeholders, including Ben Houchen and Chris Cooke. The proposal is subject to approval by Middlesbrough’s Executive Team with regards to which Traffic Regulation Orders (TROs) they would advertise.</p> <p>Furthermore, the plans will be presented to Active Travel England’s design review panel for consideration and review.</p> <p>A public consultation on the proposal was held from 5 August 2024 to 2 September 2024. Following this, the detailed design and statutory consultation i.e. Traffic Regulation Orders (TROs) which are due to be concluded by the end of 2024, subject to MBC’s Executive Committee.</p> <p>An accessibility workshop was held on Tuesday 27 August 2024 with the RNIB (Royal National Institute of Blind People) in attendance. The workshop aimed to understand the impact of the proposal on those who are visually or partially sighted. It was noted at the workshop that the RNIB were in favour of the scheme’s removal, however it is noted that further engagement will be required from other disability and seldom heard groups.</p>
<p><b>PART 3. ANALYSIS OF IMPACT ON PEOPLE</b></p>	
<p><b>3.1 Who is affected by Decision (policy/funding activity/event)?</b></p>	<p>The cycle lane removal will impact several groups: Residents will be affected as the proposals spans from Borough Road to Ayresome Street. There will be better access</p>

	<p>to and from Linthorpe Road for motorists due to the reopening of some side roads.</p> <p>Cyclists currently using the cycle lanes will be affected and will either need to cycle on the main carriageway with other vehicles or choose an alternative route, although it should be noted that the 20mph may remain, improving safety on the road for cyclists. Existing cycle parking will also be removed on Linthorpe Road and on side closed roads such as King Edward’s Square.</p> <p>Businesses on Linthorpe Road will be affected, as there will be increased parking and vehicle access. There will be more loading bay availability. This could lead to a boost in the local economy and an increase in footfall along the route.</p> <p>The removal of the bus islands will remove potential conflicts between cyclists, pedestrians and bus users. However, the existing infrastructure has been designed to LTN1/20 standard.</p> <p>Pedestrians on Linthorpe Road will benefit from some areas of widened footways and narrowed crossing distances. The ambiance of the road for pedestrians may be negatively impacted due to increased numbers of on street parking.</p> <p>Staff and students at Teesside University traveling by car on Linthorpe Road may be affected by longer travel times, especially when accessing Clarendon car park.</p> <p>Staff and users of the One Life Medical Centre by Ayresome Gardens may be impacted. The impacts will depend on their current mode of travel, but with the removal of the bus islands, journeys on the road will be improved.</p> <p>All road users will be affected during the construction phase, although this will be mitigated through appropriate work times and construction methods wherever possible.</p>
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**PART 4. RESPONSE TO ANALYSIS, ACTION PLAN AND MONITORING**

<p><b>4.1 What are the arrangements for monitoring and reviewing the actual impact of the Decision (policy/funding activity/event)?</b></p>	<p>TVCA will conduct regular progress reviews throughout the project’s design, implementation, monitoring and evaluation period. These reviews will assess whether the project is meeting its key objectives, including providing better access to businesses, boosting trade, and</p>
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	<p>supporting the local economy. Reviews will consider the impacts on all interests including residents, businesses and road users by mode. SMART objectives will be developed and will be monitored post-delivery in line with the key objectives.</p> <p>Monitoring is anticipated to include:</p> <ul style="list-style-type: none"><li>Traffic counts which will be undertaken pre- and post-delivery in order to measure the impact in terms of modes used. This will include pedestrian, traffic and cycle counts.</li><li>Parking surveys including parking accumulation and turn over/duration surveys.</li><li>Accident levels pre- and post-delivery – including pedestrian/cycle accidents not only vehicle accidents.</li><li>Information on business turn over and vacancy rates will be considered alongside feedback from the businesses themselves. This is to be considered in the context of wider economic trends.</li></ul>
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PART 5: DATA								
Baseline Table		England %	Tees Valley %	Darlington %	Hartlepool %	Middlesbrough %	Redcar & Cleveland %	Stockton-on-Tees %
<b>Census 2021 data</b>								
<b>Age</b>	0-15	18.6	19.2	18.3	19.1	20.8	17.7	19.6
	16-64	63.0	61.1	61.3	61.1	62.4	59.0	61.5
	65+	18.4	19.7	20.4	19.7	16.8	23.3	18.9
<b>Disability in household</b>	No long-term disability	68.0	63.4	66.2	60.3	62.8	61.7	64.9
	Long-term disability	32.0	36.6	33.8	39.7	37.2	38.3	35.1
<b>Gender (sex)</b>	Male	49.0	48.9	48.9	48.4	49.3	48.4	49.1
	Female	51.0	51.1	51.1	51.6	50.7	51.6	50.9
<b>Marriage / Civil partnership</b>	Married or in civil partnership	44.7	43.3	44.2	42.3	39.4	44.0	45.6
	Single / other	55.3	56.7	55.8	57.7	60.6	56.0	54.4
<b>Race / ethnicity</b>	Asian / Asian British / Asian Welsh	9.6	4.4	2.8	1.7	10.5	0.8	4.6
	Black / Black British / Black Welsh / Caribbean or African	4.2	1.1	0.7	0.5	2.7	0.2	1.1
	Mixed / Multiple ethnic groups	3.0	1.3	1.4	0.7	2.1	0.9	1.4
	White	81.0	92.1	94.4	96.5	82.4	97.7	92.0
	Other ethnic group	2.2	1.1	0.9	0.6	2.4	0.4	0.8
<b>Religion / belief</b>	No religion	36.7	39.0	39.7	40.1	36.4	40.2	39.1
	Christian	46.3	50.7	52.1	52.5	46.0	53.0	51.1
	Buddhist	0.5	0.3	0.3	0.2	0.3	0.2	0.3
	Hindu	1.8	0.5	0.4	0.2	1.0	0.1	0.4
	Jewish	0.5	0.0	0.0	0.0	0.0	0.0	0.0
	Muslim	6.7	3.8	1.7	1.3	10.2	0.7	3.4
	Sikh	0.9	0.3	0.4	0.2	0.4	0.1	0.4

	Other religion	0.6	0.3	0.4	0.3	0.3	0.4	0.3
	Not answered	6.0	5.2	4.9	5.1	5.3	5.3	5.0
<b>Sexual Orientation</b>	Straight or heterosexual	89.4	91.0	91.4	91.1	89.5	91.3	91.6
	Gay or lesbian	1.5	1.5	1.5	1.5	1.6	1.3	1.4
	Bisexual	1.3	1.0	1.1	1.0	1.2	0.9	0.9
	All other orientations	0.3	0.3	0.3	0.2	0.4	0.2	0.2
	Not answered	7.5	6.2	5.7	6.1	7.3	6.3	5.9
<b>ONS and IMD data</b>								
<b>Socio-economic status</b>	IMD average rank score	N/A	N/A	18284.63	22581.98	23729.10	20348.40	17541.72
	IMD Proportion of LSOAs in most deprived decile rank (out of 317 local authority areas)	N/A	2 <sup>nd</sup> most deprived LEP area out of 38	47 <sup>th</sup> most deprived	10 <sup>th</sup> most deprived	Most deprived district in England	29 <sup>th</sup> most deprived	39 <sup>th</sup> most deprived
	16+ Unemployment rate % (Jul'22-Jun'23)	3.8	3.7	2.5	4.9	5.6	2.4	3.5
	Median F/T weekly wage £ (2022)	645.8	580.4	558.2	593.7	555.0	568.4	609.4

Source: ONS, Census 2021, IMD 2019



PART 6: IMPACT ASSESSMENT BY COHORT			
Cohort: Protected Group/ Other	Impact effect (Positive/ Negative/ Neutral)	Please explain the identified impact(s) Provide examples, relate to any evidence/data used	Measures that will be taken to mitigate negative impacts, and/or maximise opportunities
Age	Neutral	<p>People of all ages travelling by car/taxi will be able to park on Linthorpe Road or be dropped off/ picked up by taxis more easily. They will benefit from better access to the businesses / properties along the route.</p> <p>Older people travelling by car and using businesses or services on Linthorpe Road may benefit from the increase in available parking, improved access from side roads and increased taxi drop off and rank availability. This group may also benefit from the simplification of the road layout including the removal of floating bus stops.</p> <p>Younger people are more likely to cycle and therefore could be negatively impacted by the proposed removal of the cycle lane.</p>	<p>Actively target older population groups during the consultation period. Provide alternative means for older people to engage with the consultation process.</p> <p>Maintain clear communication throughout consultation and moving into next design stage – not just relying on online platforms.</p> <p>Accessible survey and content made available upon telephone or email request. Option to also request printed surveys and return via post.</p>
Disability	Positive and Negative	<p>The proposal will allow for closer on street parking (and drop off/pick up facilities) to many of the local businesses, making them more accessible for people with mobility impairments. (Though noting that these are not currently proposed to be blue badge parking spaces, but general parking).</p> <p>The floating bus stops have been raised as an issue by people with sensory impairments. The proposed removal of these could lead to improved safety and a perceived benefit by these user groups.</p>	<p>TVCA held a workshop with the RNIB to understand the accessibility requirements of people with visual impairments. The Access Officer at Middlesbrough Council has reviewed the proposals and provided comments.</p> <p>The feedback has been taken on board and the groups engaged will be kept up to date with information on the design and site works going forward in order that any further concerns can be considered.</p> <p>Engage with further disability user groups to ensure views of others with differing needs within the community are considered and heard.</p>

		<p>Removal of the orcas and fixings that formed the segregation of the cycle lane may benefit those with sensory (particularly visual) impairments where people found these difficult to cross and a trip hazard.</p> <p>Physically impaired people walking along Linthorpe Road may benefit from the pedestrian crossings and appropriate tactile features at crossing points resulting in shorter crossing distances.</p> <p>The proposals may negatively impact cyclists including those who with physical, sensory, intellectual impairments, hidden disabilities and other conditions where users may prefer a segregated cycle route for safety rather than mixing with general traffic.</p> <p>The increase in parking availability and focus on vehicular traffic resulting from the cycle lane removal may lead to increased traffic levels. This could make the road and side streets less permeable for pedestrians, particularly impacting those with mobility difficulties.</p>	
<b>Gender (Sex)</b>	Slight negative	Women are potentially more likely to prefer segregated cycle lanes and are more likely to cycle where these are in place, compared to men. With the proposed removal of the cycle lane, women may feel less safe when cycling and may be less likely to cycle at all without dedicated cycle lanes in place on this busy route.	Engage with community groups including women's and cycling groups as the scheme progresses to provide information and ensure any concerns are considered and mitigated where necessary.
<b>Gender reassignment</b>	Neutral	No specific impact identified. The proposals will not discriminate in any way based on gender reassignment.	No specific mitigations
<b>Marriage or civil partnership</b>	Neutral	No specific impact identified. The proposals will not discriminate in any way based on marriage or civil partnership.	No specific mitigations
<b>Pregnancy and maternity</b>	Neutral	No specific impact identified. The proposal allows for closer parking to local businesses, making them more	No specific mitigations

		<p>accessible for pregnant women using vehicles on Linthorpe Road. This could benefit pregnant women in later pregnancy when mobility can become more difficult for some.</p> <p>Pregnant woman who use the dedicated cycle lane during earlier pregnancy will be negative affected if the cycle lane is removed.</p>	
<b>Race / Ethnicity</b>	Neutral	No specific impact identified. The proposals will not discriminate in any way based on race or ethnicity.	Engage with community groups as the scheme progresses to provide information and ensure any concerns are considered and mitigated where necessary.
<b>Religion / belief</b>	Neutral	<p>No specific impact identified. The proposals will not discriminate in any way based on religion or belief.</p> <p>There are no places of worship directly on this section of Linthorpe Road.</p> <p>Middlesbrough Community Church is located on Clifton Street, off Linthorpe Road. The scheme will not impact access to the church.</p>	Engage with local places of worship as the scheme progresses to provide information and ensure any concerns are considered and mitigated where necessary.
<b>Sexual orientation</b>	Neutral	No specific impact identified. The project will not discriminate in any way based on sexual orientation.	Engage with relevant community groups as the scheme progresses to provide information and ensure any concerns are considered and mitigated where necessary.
<b>Deprived Communities</b>	Positive and Negative	<p>People in deprived communities are less likely to own or have access to a car than on average. The proposal to remove the cycle lanes may mean these communities are negatively impacted.</p> <p>Those who do own or use a car or taxi to access businesses on Linthorpe Road may benefit from easier side road access, additional parking and drop off spaces.</p> <p>Additionally, those walking or those using a mobility device on Linthorpe Road will benefit from more space due to a wider footway.</p>	<p>Engage with local community groups as the scheme progresses to provide information and ensure any concerns are considered and mitigated where necessary.</p> <p>Engagement via key community representatives and local groups will be required to reach into deprived communities around Linthorpe Road as these communities will be less likely to engage online.</p>
<b>Other (please state)</b>			

PART 7: EVALUATION & AUTHORISATION	
Question	Summary & Recommendation
Is it possible the proposed Decision (policy/funding activity/event) or activity could discriminate or unfairly disadvantage people?	<p>There is the potential for the proposals to impact some protected groups, but measures to mitigate any potential impacts are being taken.</p> <p>This includes a workshop with the RNIB and establishing an Accessibility Working Group to gather views from accessibility and community groups in the area.</p> <p>The proposals will meet design guidance, as well as appropriate standards for disadvantaged people. Through future schemes, we will also connect Linthorpe and Acklam with the National Cycling Route at Emmerson Ave/Keith Road. This route allows for direct connections into Middlesbrough Town Centre and beyond.</p> <p>Ongoing engagement with the local community including those with protected characteristics through the detailed design and implementation will be required in order to ensure that any issues raised can be responded to and actioned. This engagement must include outreach via key community representatives and groups to ensure hard to reach communities are aware of the proposed changes and programme for implementation.</p>

<b>For completion by the Lead Director (Authoriser)</b>
Please identify the Option selected from below:

Option 1. <input checked="" type="checkbox"/>	Proceed with no major changes, with any small changes explained in the action plan at the end of the template
Option 2. <input type="checkbox"/>	Continue despite negative implications - because these are proportionate and cannot be avoided or mitigated, with the overall outcome important and overwhelmingly positive
Option 3. <input type="checkbox"/>	Adjust the proposal – there are some negative outcomes but you have identified actions to mitigate these - explain these in the action plan; or
Option 4. <input type="checkbox"/>	Do not proceed – you have identified major problems with serious impacts that cannot be avoided.

<b>Will this EqIA be published?</b> (EqIAs should always be published alongside relevant piece of work e.g. Cabinet papers, strategy and policy documents, calls and events)	<input type="checkbox"/> Yes <input type="checkbox"/> No If no, provide rationale:
<b>Date completed</b>	25/10/2024
<b>Review date (if applicable)</b>	
<b>Lead Director (signature)</b>	<i>Tom Bryant</i>

**EqIA ACTION PLAN: Linthorpe Road Cycleway Removal August 2024**

Task No	Task Description	Task Owner	Completion Date	Outcome
1	Engage with Middlesbrough Borough Councils Accessibility Officer on the proposals.	BD	August 24	Added to stakeholder matrix, will consult on future Middlesbrough projects
2	Hold workshop with RNIB to understand impact on blind and partially sighted community.	BD	August 24	Tied feedback into consultation. Setting up a Guided Walk for TPOG to increase awareness of those visually impaired.
3	Complete further community outreach via community groups and representatives to	TVCA	In Progress	

	ensure all protected groups and those with differing access needs have opportunity to raise concerns or support prior to scheme being implemented.			
4	Ensure local communities including protected groups are kept up to date with progress through design and construction.	TVCA	In Progress	
5	Engage with ATE to mitigate potential impacts for protected groups and cyclists more generally.	TVCA	In Progress	



# Linthorpe Road Cycle Lane Removal Consultation Summary

## Introduction

Both the Middlesbrough Mayor Chris Cooke and the Tees Valley Mayor Ben Houchen have pledged to remove the Linthorpe Road cycle lane. On August 1 2024, the Tees Valley Combined Authority (TVCA) launched a consultation, running until September 2, to seek public views on the removal. The consultation proposed removing the cycle lanes between Borough Road and Ayresome Street, returning the road to its original layout, including reinstating car parking and bus stop locations, whilst maintaining the closure of Victoria Road.

## Objectives and Approach

The objective of the consultation on the Linthorpe Road Cycle Lane removal is to gather public feedback on the proposed plan to return the road to its original layout. The plan aims to reinstate the previous road layout, which would restore parking spaces and improve access for businesses. The consultation seeks to understand public opinion on the impact of these changes on road users, residents, businesses, and the local economy.

TVCA has promoted and shared the consultation in a variety of ways to encourage local communities to respond and feedback:

- Consultation information and survey available online via the Tees Valley Combined Authority website
- Social media content shared by TVCA
- Political Briefing Notes
- Bus Operator Briefing Notes
- Stakeholder briefings held (where requested)

## Feedback

### Online Survey:

A consultation page was hosted on the TVCA website with information about the proposal. The page also featured a survey for public feedback. As part of our wider transport consultation occurring at the same time, we also received a number of responses regarding the Linthorpe Road cycle lane, all of which have been included in this report, resulting in a total of 390 responses.

1. When asked “**Are you responding as....?**” the public responded with the following:

- A resident of Middlesbrough: **59.2%**
- A Tees Valley resident living outside of Middlesbrough: **28.2%**
- A resident from outside the Tees Valley: **3.1%**
- A business owner or representative: **6.9%**
- A representative of a local community group or residents' association: **0.3%**
- On behalf of an educational establishment, such as a school or college: **0.5%**

On behalf of a charity, voluntary or community sector organisation (VCS): **1.3%**  
Other (please specify): **2.3%**

2. When asked “**How can we improve Linthorpe Road?**” the public responded with the following:

Return to its layout as it was before the cycle lanes and pedestrian changes were made in September 2022: **55.21%**

Return to its layout but keeping the closures of all side streets, except for Victoria Road: **6.29%**

Return to its layout with some side streets remaining closed: **9.20%**

Keep it as it is now: **17.92%**

Other (please specify): **11.38%**

The survey responses show 70.7% support the removal of the cycle lanes on Linthorpe Road, with some differences of view regarding side street closures, as shown in the above.

(390 responses, 0 skipped this question).

3. When asked “**Car parking spaces were removed as part of the cycleway scheme. Would you like to see parking and/or loading space on Linthorpe Road reinstated?**” the public responded with the following:

Yes: **72.82%**

No: **27.18%**

(390 responses, 0 skipped this question).

4. When asked “**Please let us know what you think of the plan to remove the cycle lanes and reinstate the road**” the public were provided with an open text box for comments. When reviewing these comments, we categorised each as either supporting or opposing the proposal:

Remove Linthorpe Road Cycle Lane: **74.5%**

Keep Linthorpe Road Cycle Lane: **23.8%**

Not Applicable: **1.6%**

Reoccurring themes which were mentioned in responses include:

Business owners state that the cycle lanes reduce car parking, affecting trade, loading and delivery.

Comments that the cycle lanes have worsened traffic congestion. The reduction in road width and changes to bus stop designs have led to longer delays and difficulties for drivers, particularly during peak hours.

Comments that the cycle lane’s layout is said to obstruct emergency vehicles, making it harder for them to access Linthorpe Road.

Comments the cycle lanes are not well-used compared to the disruption they cause.

Comments about the cycle lane’s role in improving cyclist safety and encouraging active travel.

Comments that cycle lanes promote health and environmental goals, benefiting Middlesbrough’s residents in the long run.

Comments that other countries show that well-designed cycle lanes can enhance local economies and public health.

Some comments include fixing current issues rather than removing the cycle lanes.

(369 responses, 21 skipped this question).



5. When asked **“Are there any existing safety concerns you would like to see addressed?”** the public responded with the following:

The responses highlight concerns regarding safety and functionality of the current road layout and pedestrian infrastructure, key issues include:

Many responses mention that the scheme previously used orcas to maintain segregation from road users and pedestrians. Responses highlight the orcas as hazards for pedestrians, especially the elderly and those with mobility issues.

Concerns about narrow road lanes, confusing layouts, and the impact on emergency vehicles were also frequently raised.

While some responses appreciate the intention behind the cycle lanes, others argue that the design is flawed, leading to dangerous situations for both cyclists and pedestrians. Issues such as illegal parking in cycle lanes and cyclists using footpaths.

There is widespread concern about pedestrians inadvertently entering cycle lanes and the risk posed by cyclists riding on pavements despite having designated lanes.

Responses suggest various solutions, such as more crossings, better signage, speed restrictions, and improved enforcement of parking regulations. Some comments suggest a return to the previous road layout, while others propose modifications to enhance safety for all users.

(313 responses, 77 skipped this question).

6. When asked **“Is there anything else you would like to tell us?”** the public responded with the following:

There are recurring themes regarding improving the Middlesbrough and Linthorpe area, concerns about safety and making the area better.

Several responses felt that removing the scheme would improve business and or that businesses have been negatively impacted by the scheme.

A number of comments included looking at how pedestrians use Linthorpe road, including pavement space being cluttered and not enough space or consideration of pedestrians in the designs.

Responses also noted to improve layouts and consideration of one-way streets in the area, alongside traffic calming, signage and 20 mph and loading zones during key times.

There were comments both for and against increasing and removing parking; more respondents requested easier access and additional parking, but some noted that there is sufficient parking in the area; while others requested the scheme to be improved for public transport and taxis.

Other responses included concerns about enforcement of parking issues, safe bike storage, safety for cycle delivery, elderly mobility issues, and access for emergency vehicles.

Several responses raised concerns pertaining to the cost of building and the subsequent removal costs of the scheme.

Consultation, evidence and business case processes were raised as concerns.

More promotion of active travel was raised as well as concerns that removing a scheme benefiting more active travel would adversely affect the health and well-being of residents.

(270 responses, 120 skipped this question).

## **Bus Operators:**

TVCA shared a briefing note outlining the proposal to remove the cycle lanes on Linthorpe Road with both Stagecoach and Arriva, the operators of bus services along this route. Stagecoach strongly advocated for the removal of the cycle lane, citing significant delays to their services entering Middlesbrough due to the current road layout.

The operators support reinstating key bus stops, including at The Crown/King Edward Square, Granville Road, and outside One Life Medical Centre, with recommendations to consolidate stops into double-length ones for improved traffic flow and accessibility. They also urge a return to a wider highway gauge to address safety concerns.

## **Conclusion**

The online survey results show a strong public preference (70.7%) for removing the Linthorpe Road cycle lanes, with some variation in opinions on side street closures. A significant majority (72.82%) also support reinstating parking and loading spaces along the route. Most respondents advocate for removing the cycle lanes, citing negative impacts on traffic, emergency vehicle access, and businesses. Additionally, concerns about pedestrian safety and the flawed design of the cycle lanes were highlighted, with suggestions for better signage and road layouts. Bus operators echo these concerns, pointing to service delays and safety issues due to the current road layout.

## **Further information**

For additional information on the proposal or the consultation activities please contact:  
[consultations@teesvalley-ca.gov.uk](mailto:consultations@teesvalley-ca.gov.uk)



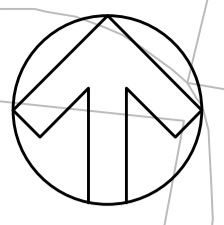
## Document & Drawing Issue Sheet

Project No: 2024UK288933  
 Project Name: TVCA Linthorpe Road Restoration  
 Date of Issue: 10-Oct-2024  
 Purpose of Issue: Client Approval  
 Method of Issue: Email  
 Number of items Issued: 28  
 Format of Issue: PDF  
 Service: DI

**Issue No: 5**  
 Issuing Office:  
 #N/A

Issued to:		No of Recipients: 1
Company	Name	Position/Function
Tees Valley Combined Authority	Craig MacLennan	

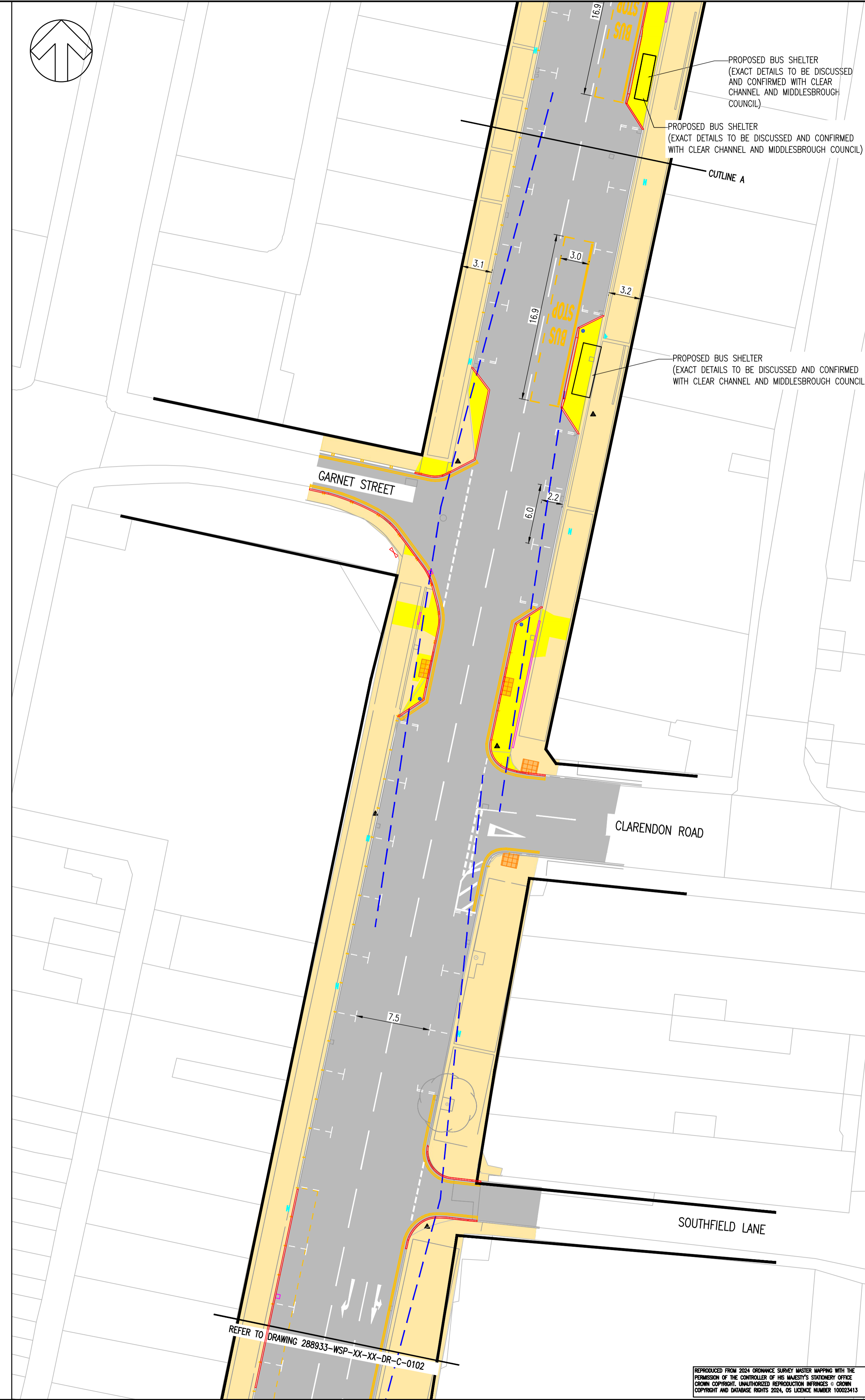
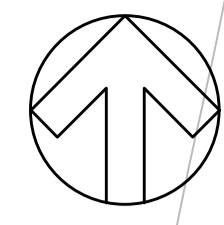
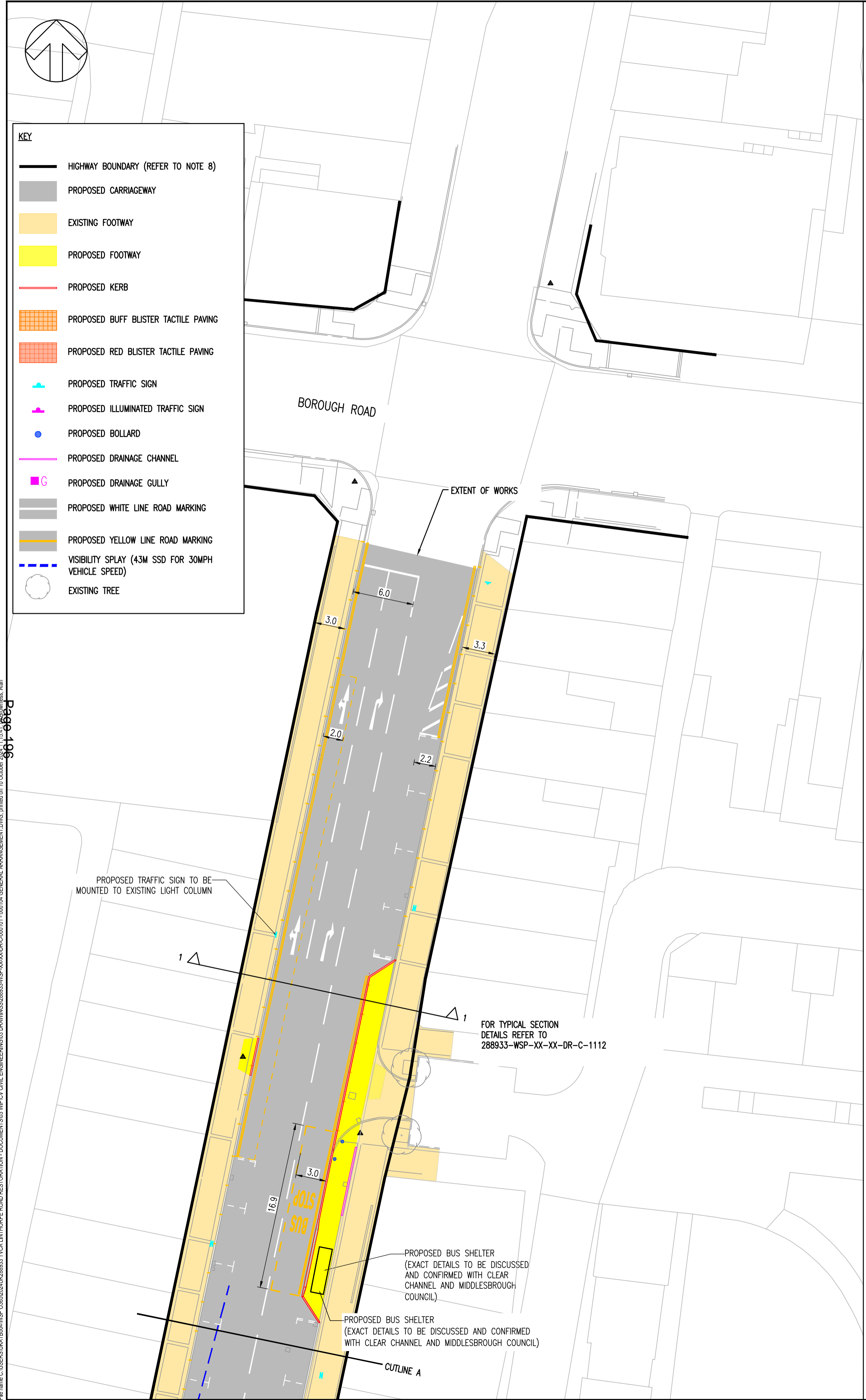
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288933-WSP-XX-XX-DR-C-0101	General Arrangement (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0102	General Arrangement (Sheet 2 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0103	General Arrangement (Sheet 3 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0104	General Arrangement (Sheet 4 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0151	Setting Out (Sheet 1 of 4)	1:250	A1	P02
288933-WSP-XX-XX-DR-C-0152	Setting Out (Sheet 2 of 4)	1:250	A1	P02
288933-WSP-XX-XX-DR-C-0153	Setting Out (Sheet 3 of 4)	1:250	A1	P02
288933-WSP-XX-XX-DR-C-0154	Setting Out (Sheet 4 of 4)	1:250	A1	P02
288933-WSP-XX-XX-DR-C-0155	Setting Out	1:250	A1	P02
288933-WSP-XX-XX-DR-C-0201	Site Clearance (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0202	Site Clearance (Sheet 2 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0203	Site Clearance (Sheet 3 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0204	Site Clearance (Sheet 4 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0501	Drainage Layout (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0502	Drainage Layout (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0503	Drainage Layout (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-0504	Drainage Layout (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1101	Kerbs, Footways & Paved Areas (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1102	Kerbs, Footways & Paved Areas (Sheet 2 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1103	Kerbs, Footways & Paved Areas (Sheet 3 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1104	Kerbs, Footways & Paved Areas (Sheet 4 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1201	Traffic Signs & Road Markings (Sheet 1 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1202	Traffic Signs & Road Markings (Sheet 2 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1203	Traffic Signs & Road Markings (Sheet 3 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1204	Traffic Signs & Road Markings (Sheet 4 of 4)	1:250	A1	P04
288933-WSP-XX-XX-DR-C-1211	Traffic Sign Details (Sheet 1 of 3)	NTS	A1	P03
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288933-WSP-XX-XX-DR-C-1213	Traffic Sign Details (Sheet 3 of 3)	NTS	A1	P03



**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
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- PROPOSED FOOTWAY
- PROPOSED KERB
- PROPOSED BUFF BLISTER TACTILE PAVING
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- VISIBILITY SPLAY (43M SSD FOR 30MPH VEHICLE SPEED)
- EXISTING TREE

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P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	10/07/24	NR	DRAFT ISSUE	JS	PWW

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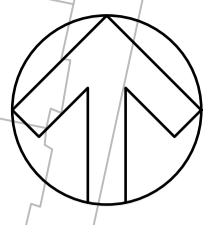
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(SHEET 1 OF 4)

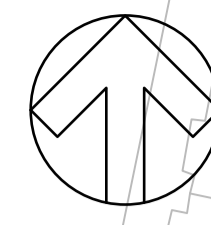
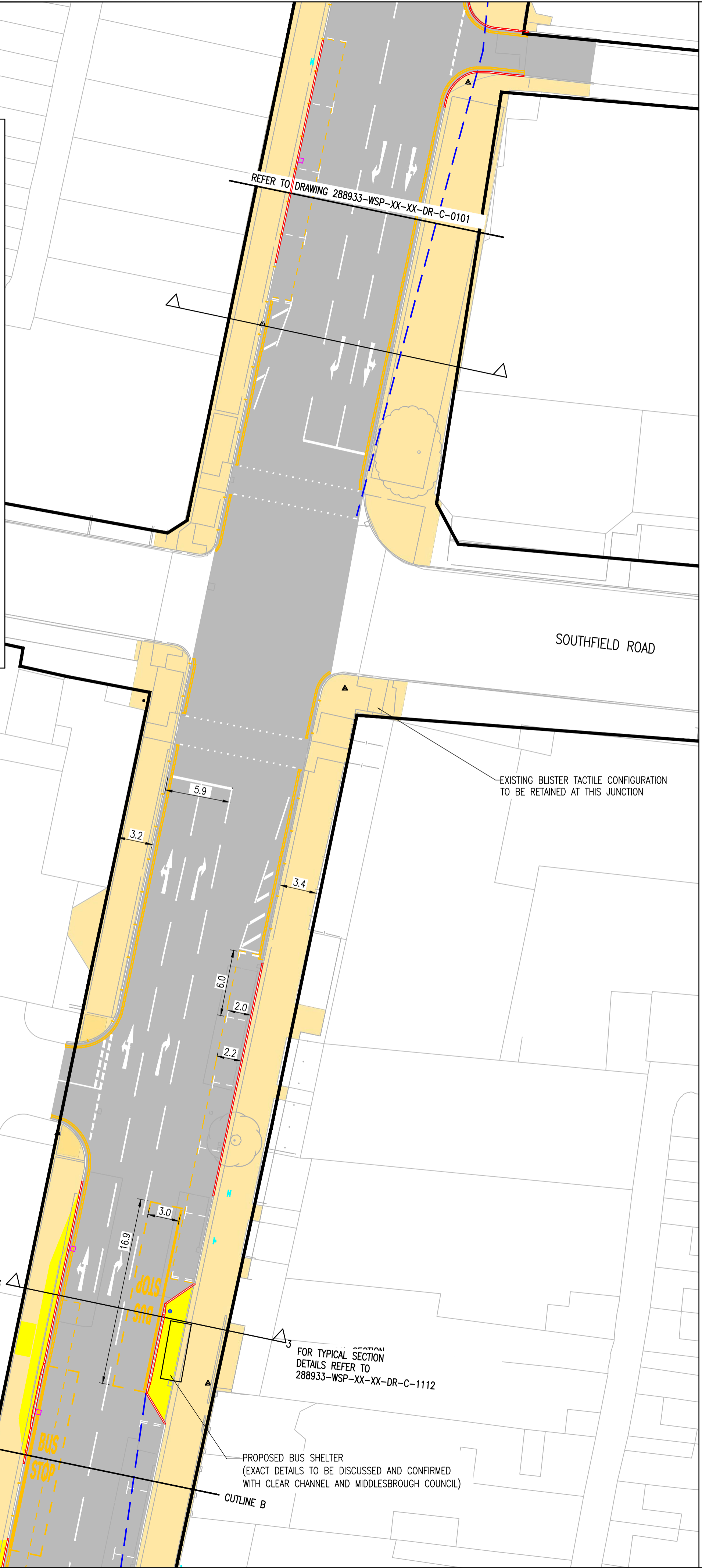
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**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

**HEALTH AND SAFETY SYMBOLS LEGEND**

	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION		INDICATES A RESIDUAL RISK FOR INFORMATION
	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		INDICATES A RESIDUAL RISK AS A WARNING
	INDICATES AN ENVIRONMENTAL HAZARD		

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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	10/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS:

Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
T+44 (0) 191 226 2000, F+44 (0) 191 226 2104  
wsp.com

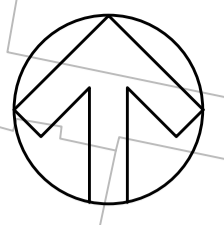
CLIENT:

SITE/PROJECT:  
**LINTHORPE ROAD RESTORATION**

TITLE:  
**GENERAL ARRANGEMENT (SHEET 2 OF 4)**

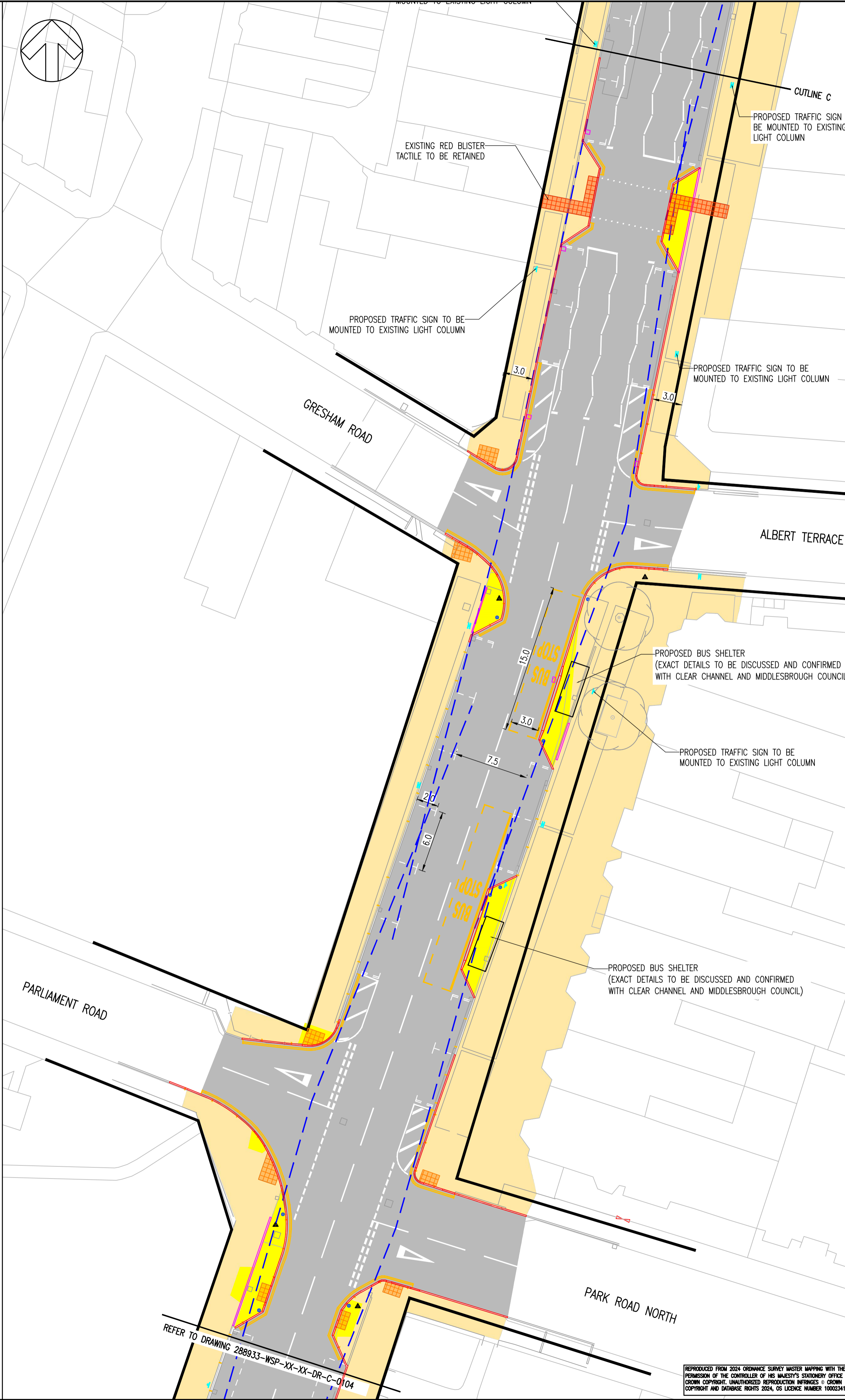
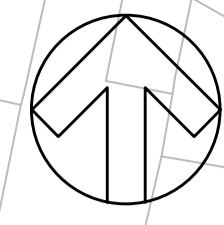
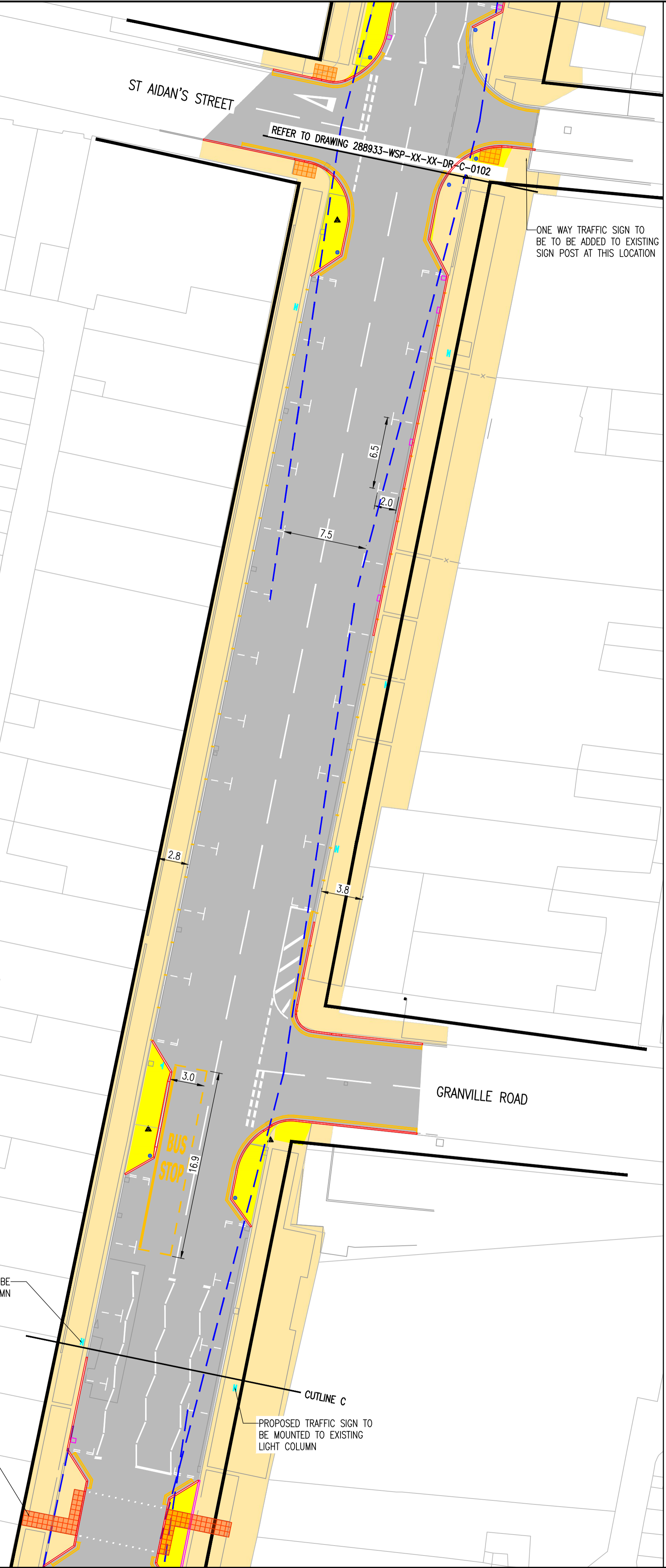
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PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
DRAWING NO:	288933-WSP-XX-XX-DR-C-000102	DATE:	JULY 2024	REV:	P04

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**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
- EXISTING FOOTWAY
- PROPOSED FOOTWAY
- PROPOSED KERB
- PROPOSED BUFF BLISTER TACTILE PAVING
- PROPOSED RED BLISTER TACTILE PAVING
- PROPOSED TRAFFIC SIGN
- PROPOSED ILLUMINATED TRAFFIC SIGN
- PROPOSED BOLLARD
- PROPOSED DRAINAGE CHANNEL
- PROPOSED DRAINAGE GULLY
- PROPOSED WHITE LINE ROAD MARKING
- PROPOSED YELLOW LINE ROAD MARKING
- VISIBILITY SPLAY (43M SSD FOR 30MPH VEHICLE SPEED)
- EXISTING TREE



**DO NOT SCALE**

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DR	10/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS:

Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
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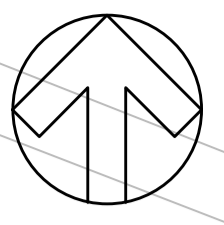
CLIENT:

SITE/PROJECT:  
**LINTHORPE ROAD RESTORATION**

TITLE:  
**GENERAL ARRANGEMENT (SHEET 3 OF 4)**

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DATE:	JULY 2024
DRAWING NO:	288933-WSP-XX-XX-DR-C-000103	REV:	P04		

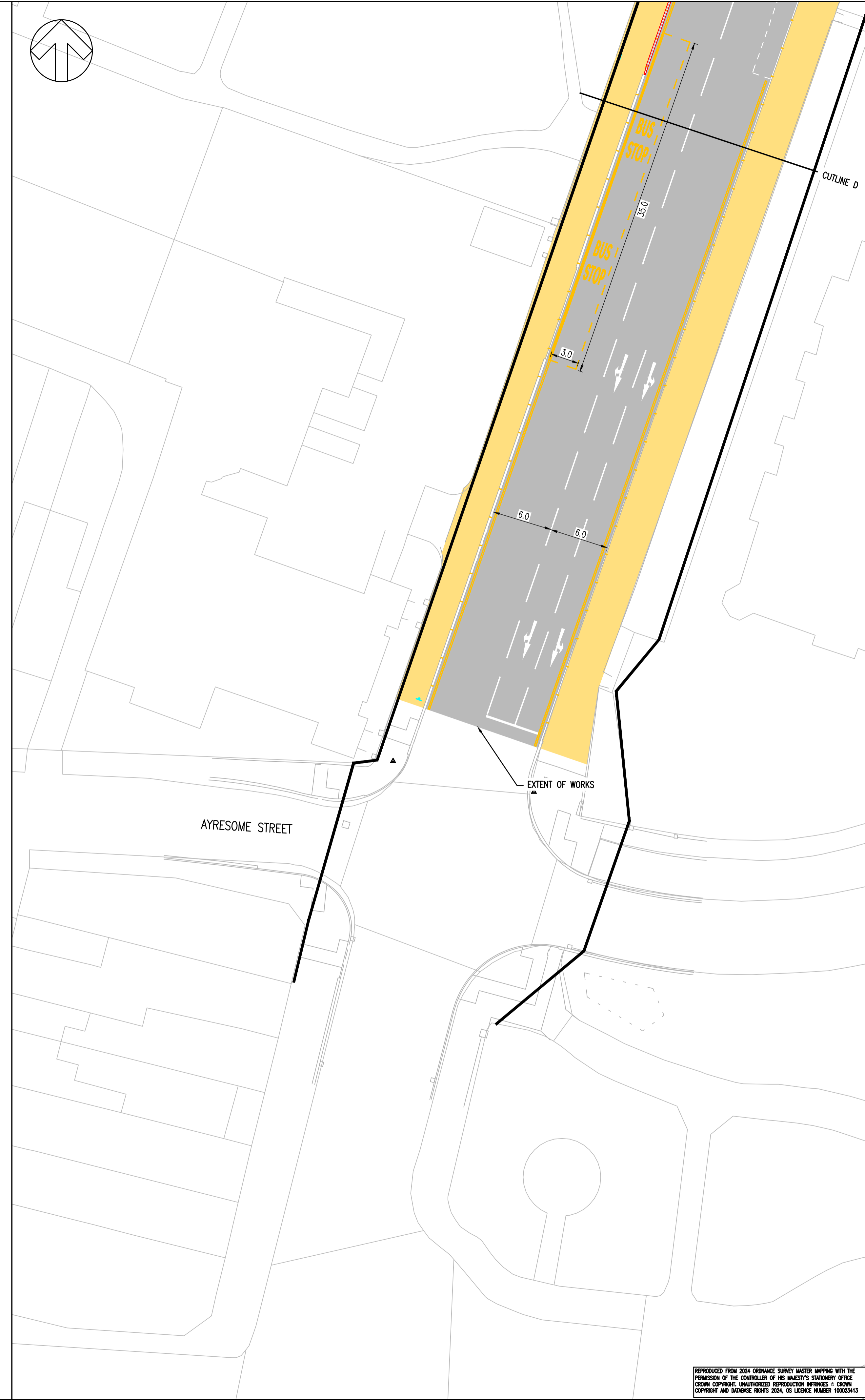
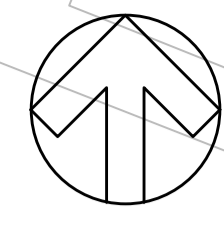
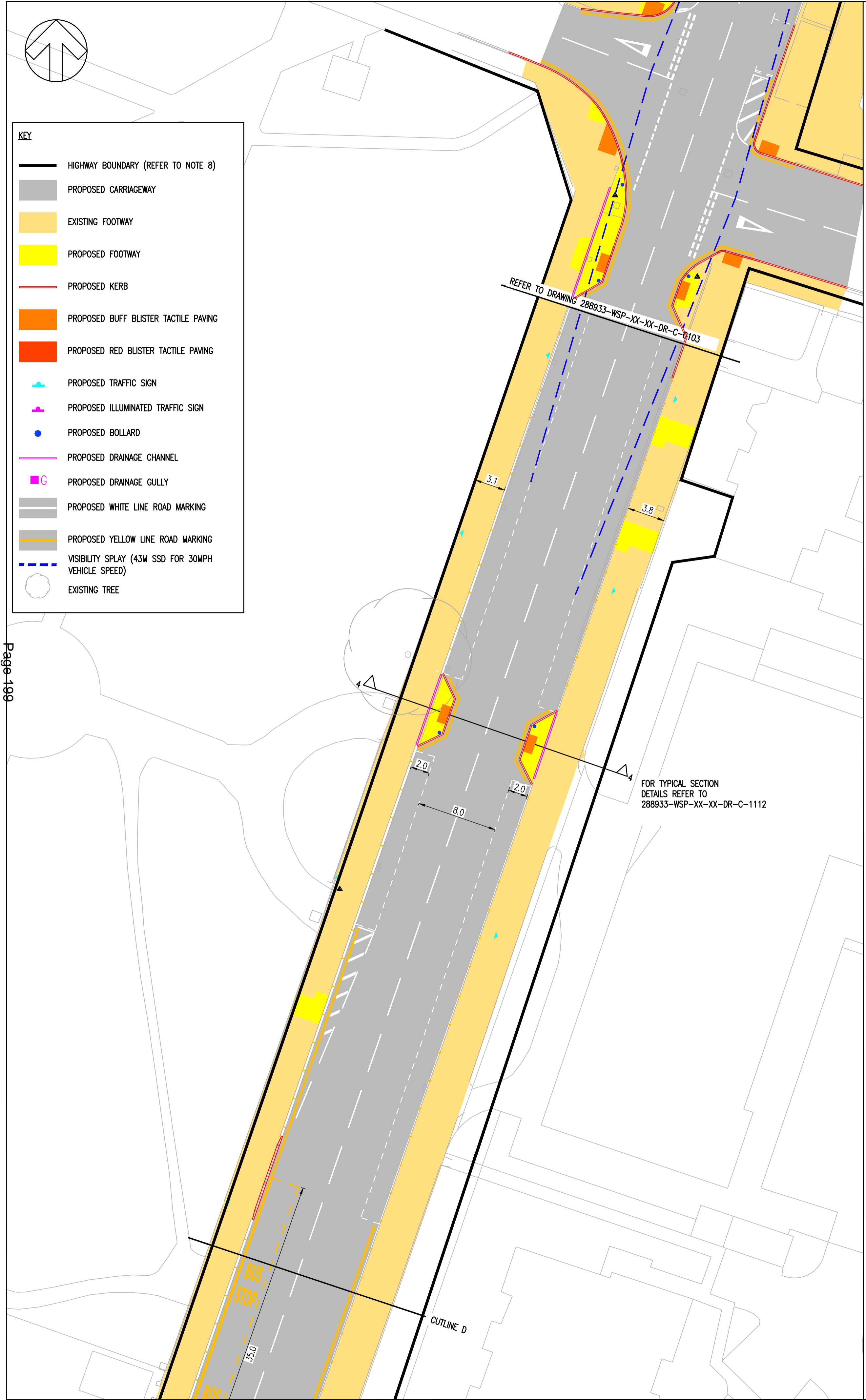
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Page 100



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P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
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P01	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	10/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS:

**wsp**

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**TEES VALLEY**

SITE/PROJECT:  
**LINTHORPE ROAD RESTORATION**

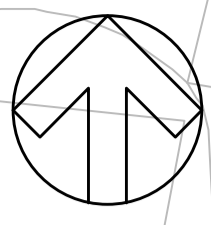
TITLE:  
**GENERAL ARRANGEMENT  
(SHEET 4 OF 4)**

SCALE @ A1: 1:250	CHECKED: JS	APPROVED: PWW
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PROJECT NO: 2024UK293315	DESIGNED: NR	DRAWN: NR	DATE: JULY 2024
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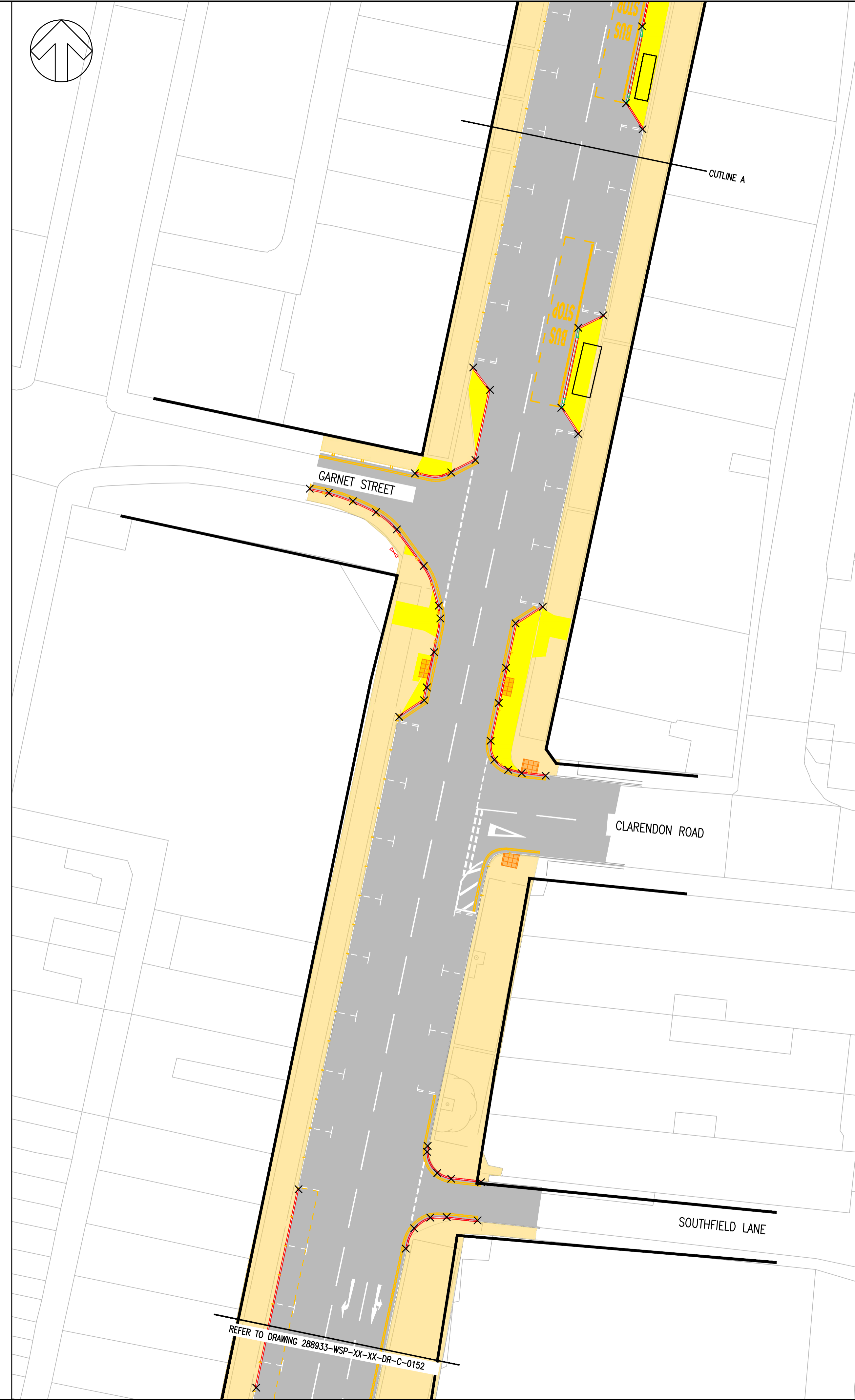
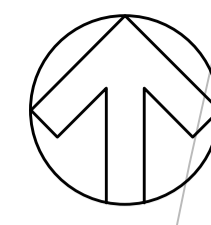
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- PROPOSED YELLOW LINE ROAD MARKING
- EXISTING TREE

Page 200  
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PO2	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P01	12/09/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS:

**wsp**

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T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
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CLIENT:

TEES VALLEY

SITE/PROJECT:

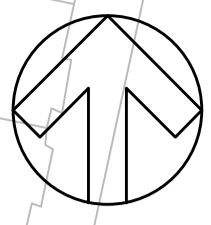
LINTHORPE ROAD RESTORATION

TITLE:

SETTING OUT  
(SHEET 1 OF 4)

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DATE:	JULY 2024	DATE:	JULY 2024	DATE:	JULY 2024	
DRAWING NO:	288933-WSP-XX-XX-DR-C-0151				REV:	P02

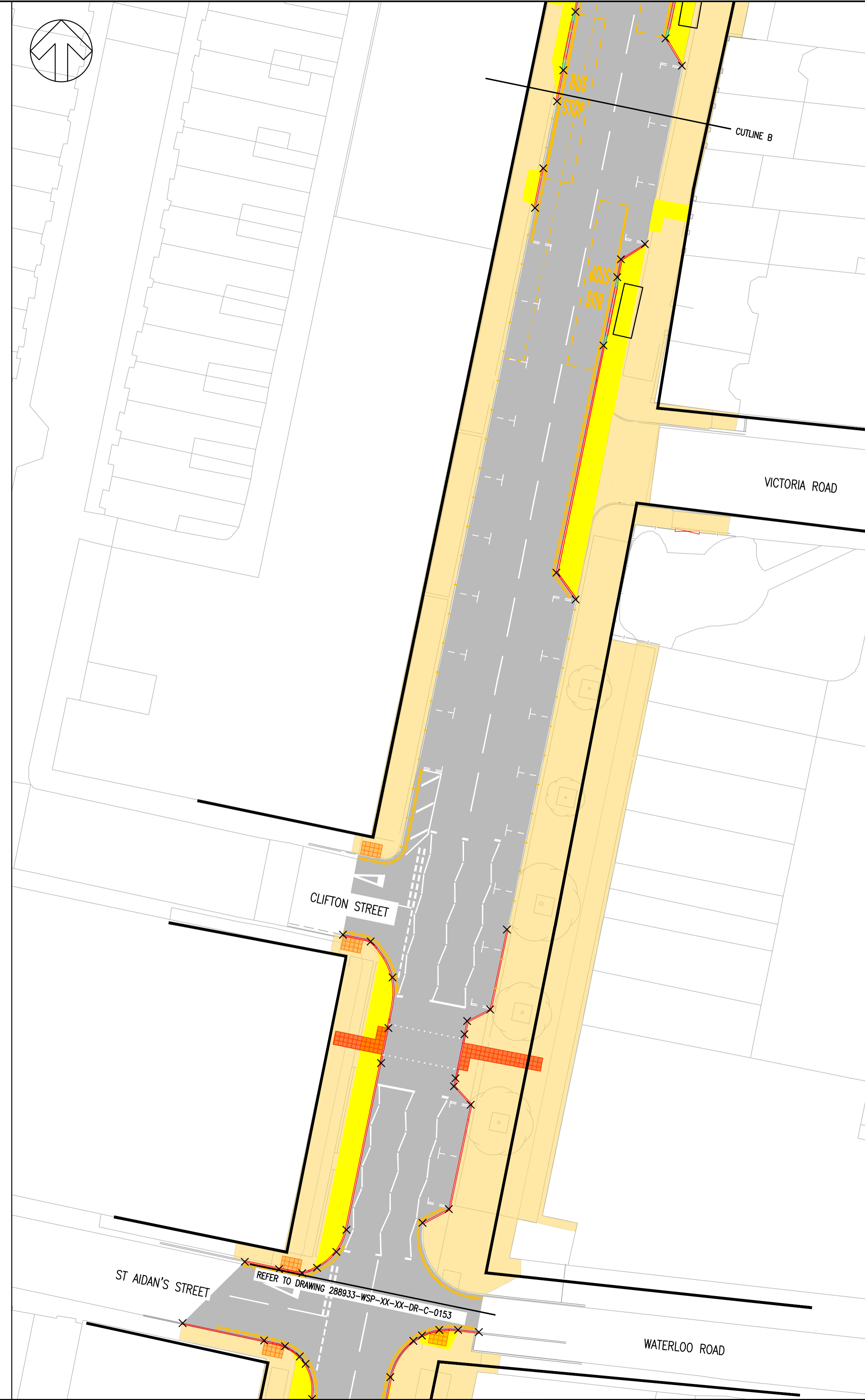
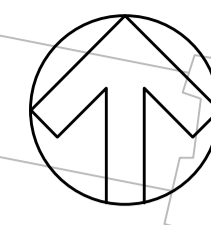
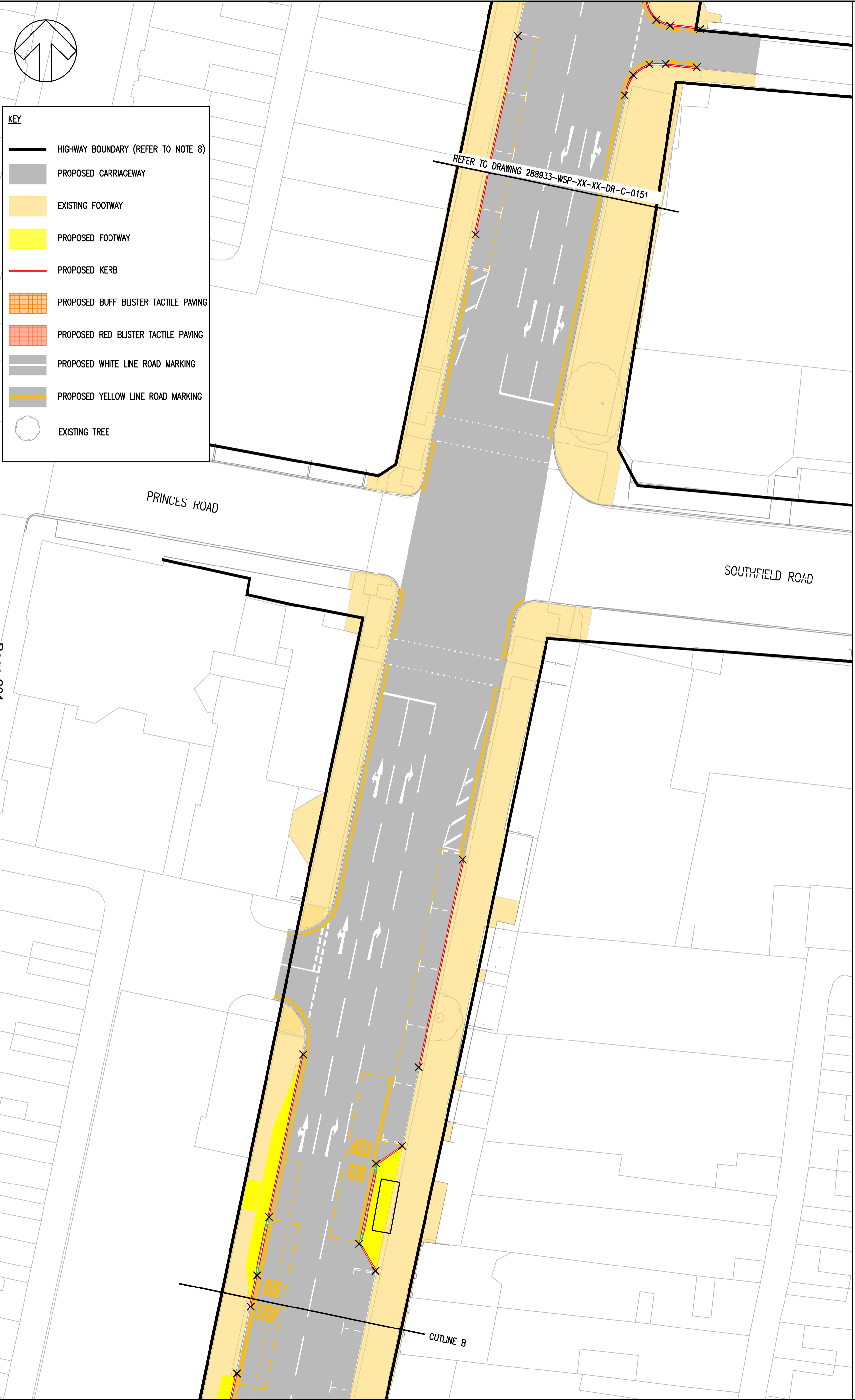




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Page 201  
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PO2	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P01	12/09/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS:

**wsp**

Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
T+44 (0) 191 226 2000, F+44 (0) 191 226 2104  
wsp.com

CLIENT:

TEES VALLEY

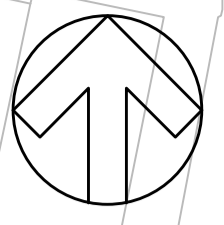
SITE/PROJECT:

LINTHORPE ROAD RESTORATION

TITLE:

SETTING OUT  
(SHEET 2 OF 4)

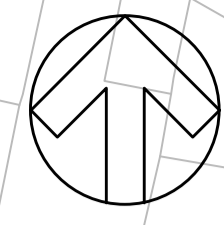
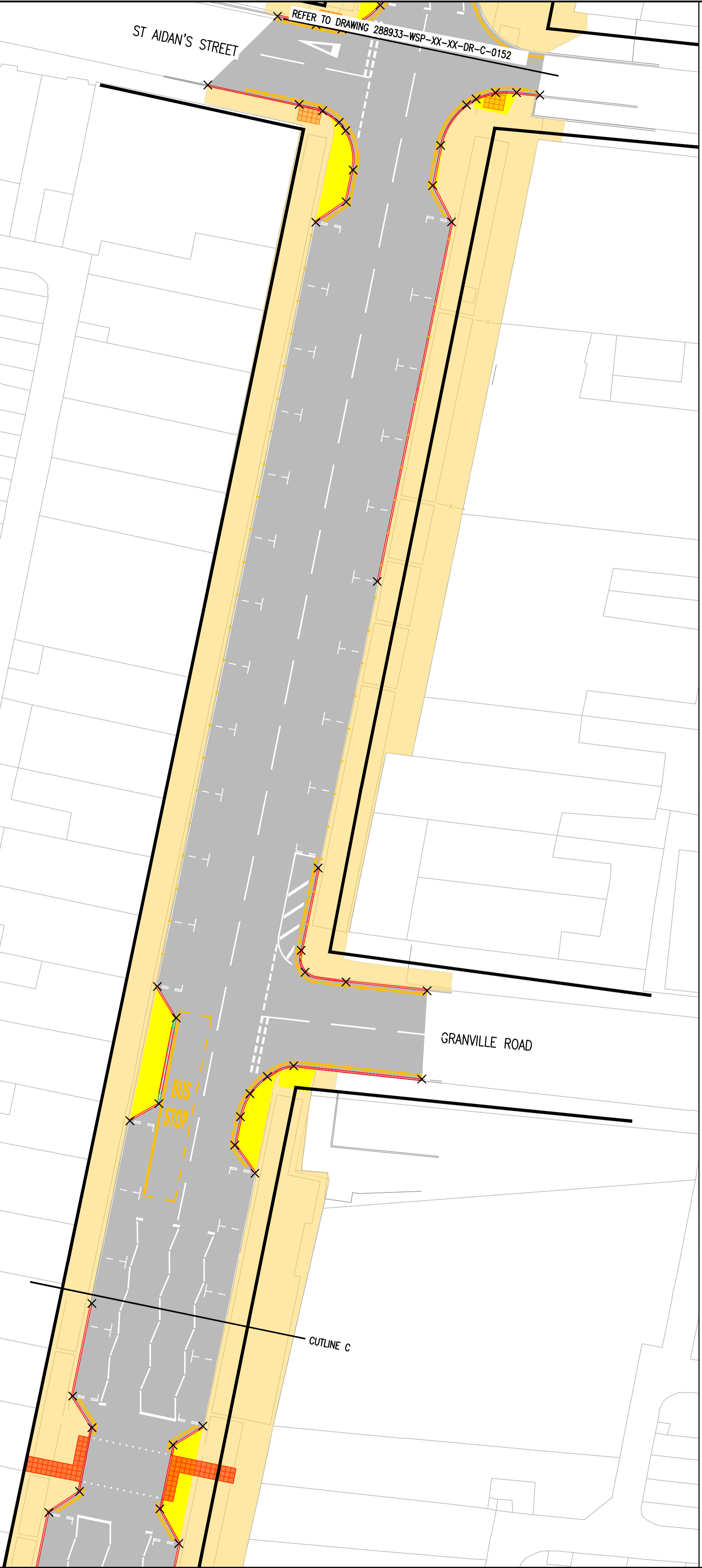
SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
DATE:	JULY 2024				
DRAWING NO:	288933-WSP-XX-XX-DR-C-0152				REV:
					P02



ST AIDAN'S STREET  
REFER TO DRAWING 288933-WSP-XX-XX-DR-C-0152

**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
- EXISTING FOOTWAY
- PROPOSED FOOTWAY
- PROPOSED KERB
- PROPOSED BUFF BLISTER TACTILE PAVING
- PROPOSED RED BLISTER TACTILE PAVING
- PROPOSED WHITE LINE ROAD MARKING
- PROPOSED YELLOW LINE ROAD MARKING
- EXISTING TREE



GRESHAM ROAD

ALBERT TERRACE



DO NOT SCALE

- NOTES**
1. THIS DRAWING SHOULD BE READ IN CONJUNCTION WITH ALL RELATED DOCUMENTATION, DRAWINGS AND STANDARD DETAILS.
  2. THE ORIGINAL OF THIS DRAWING WAS PRODUCED IN COLOUR – A MONOCHROME COPY CANNOT BE RELIED ON.
  3. ALL DIMENSIONS ARE IN METRES UNLESS NOTED OTHERWISE.
  4. INFORMATION REGARDING THE LOCATION AND DEPTH OF EXISTING SERVICES CANNOT BE GUARANTEED BY THE STATUTORY UNDERTAKER AND SHOULD BE INVESTIGATED. THE CONTRACTOR SHALL ESTABLISH THE PRECISE LINE AND DEPTH OF ALL EXISTING UTILITIES PRIOR TO COMMENCING ANY EXCAVATION WORK.
  5. THE DESIGN IS BASED ON TOPOGRAPHICAL SURVEY REFERENCE ASS 2963 BY ADH SITE SURVEYS LIMITED RECEIVED FEBRUARY 2021
  6. REFERENCE SHOULD BE MADE TO INDIVIDUAL DISCIPLINE DRAWINGS AND THE DESIGN RISK MANAGEMENT SCHEDULE FOR FURTHER HEALTH AND SAFETY INFORMATION – NOT ALL RISKS ARE IDENTIFIED IN THIS DRAWING.
  7. CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.
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**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

**HEALTH AND SAFETY SYMBOLS LEGEND**

	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION		INDICATES A RESIDUAL RISK FOR INFORMATION
	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		INDICATES A RESIDUAL RISK AS A WARNING
	INDICATES AN ENVIRONMENTAL HAZARD		

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P01	12/09/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS:

**wsp**

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wsp.com

CLIENT:

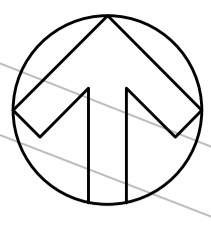
**TEES VALLEY**

SITE/PROJECT:  
LINTHORPE ROAD RESTORATION

TITLE:  
SETTING OUT  
(SHEET 3 OF 4)

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
				DATE:	JULY 2024

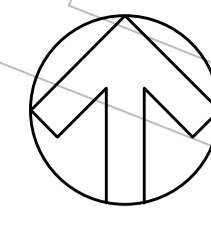
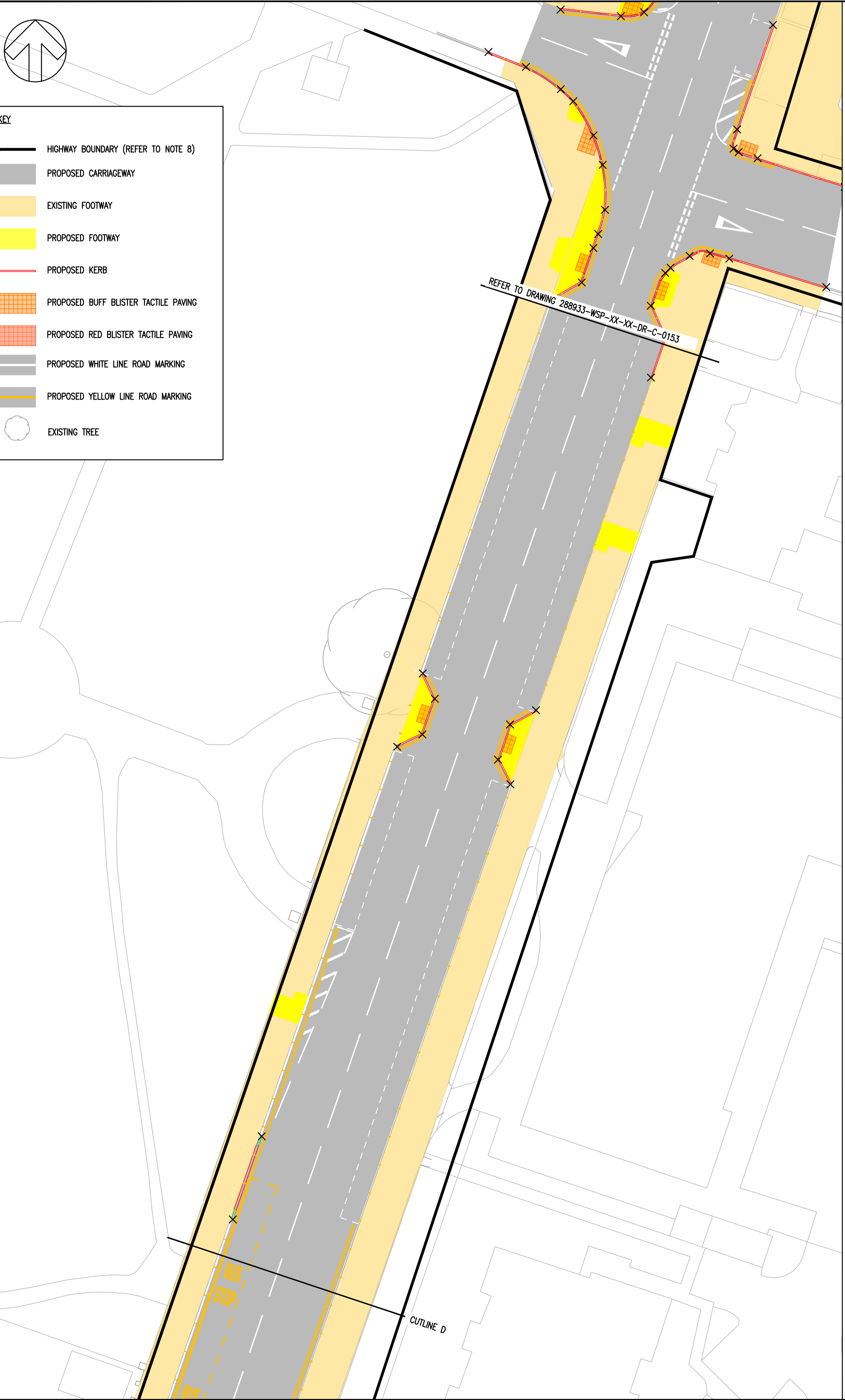
DRAWING NO:	288933-WSP-XX-XX-DR-C-0153	REV:	P02
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**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 8)
- PROPOSED CARRIAGEWAY
- EXISTING FOOTWAY
- PROPOSED FOOTWAY
- PROPOSED KERB
- PROPOSED BUFF BLISTER TACTILE PAVING
- PROPOSED RED BLISTER TACTILE PAVING
- PROPOSED WHITE LINE ROAD MARKING
- PROPOSED YELLOW LINE ROAD MARKING
- EXISTING TREE

Page 203  
File name: C:\USERS\WATB001\WSP\_03602024\288933\_TVC\LINTHORPE ROAD RESTORATION - DOCUMENTS\01 MP\CV\01 CIVIL ENGINEERING\03 DRAWINGS\WSP-XX-XX-DR-C-0154.SETTING OUT.DWG, printed on 10 October 2024 12:38:04, by B016555, Alan



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P01	12/09/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS:

**wsp**

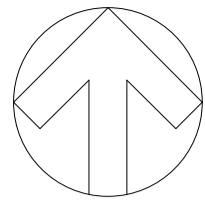
Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
wsp.com

TEES VALLEY

SITE/PROJECT:  
**LINTHORPE ROAD RESTORATION**

TITLE:  
**SETTING OUT  
(SHEET 4 OF 4)**

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
DRAWING No:	288933-WSP-XX-XX-DR-C-0154				REV:
					P02



Point #	Northing	Easting
P001	1705899.267	1474266.066
P002	1705886.984	1474263.484
P005	1705839.340	1474285.629
P006	1705813.889	1474280.274
P007	1705805.309	1474285.756
P008	1705739.651	1474264.493
P009	1705713.180	1474258.896
P010	1705704.543	1474264.467
P011	1705726.487	1474229.766
P012	1705719.102	1474235.324
P013	1705695.890	1474230.489
P014	1705691.781	1474222.462
P015	1705743.733	1474272.722
P016	1705691.463	1474210.486
P017	1705686.410	1474175.688
P018	1705684.990	1474182.007
P019	1705682.271	1474190.001
P020	1705678.655	1474197.634
P021	1705672.926	1474204.497
P022	1705660.874	1474213.411
P023	1705647.707	1474218.338
P024	1705643.477	1474218.893
P025	1705632.333	1474216.861
P026	1705620.674	1474214.418
P027	1705616.408	1474213.532
P028	1705610.941	1474205.295
P029	1705647.323	1474252.759
P030	1705641.877	1474243.776
P031	1705627.153	1474240.646
P032	1705615.511	1474238.171
P033	1705603.038	1474235.520
P034	1705596.759	1474236.734
P035	1705593.413	1474241.353
P036	1705592.320	1474245.769
P037	1705591.462	1474253.702
P038	1705454.687	1474171.993
P039	1705389.046	1474158.023
P040	1705469.006	1474214.697
P041	1705467.063	1474214.496
P042	1705460.058	1474217.892
P043	1705458.149	1474222.482
P044	1705457.002	1474232.348
P045	1705444.379	1474231.192
P046	1705445.486	1474220.978
P047	1705445.300	1474215.576
P048	1705441.775	1474210.231
P049	1705435.048	1474207.434
P050	1705182.272	1474153.714
P051	1705113.584	1474139.184
P052	1705117.832	1474100.979
P053	1705064.010	1474089.721
P054	1705044.708	1474085.726
P055	1705034.411	1474083.632
P056	1705087.601	1474133.667
P057	1705081.752	1474125.093
P058	1705055.216	1474119.514
P059	1705046.191	1474124.914
P060	1705012.259	1474079.075
P061	1704999.160	1474076.349
P062	1704987.175	1474112.669
P063	1704982.148	1474104.755
P064	1704976.236	1474103.543
P065	1704953.656	1474098.963
P066	1704878.485	1474083.389
P067	1704869.624	1474089.761
P068	1704758.736	1474012.768
P069	1704756.514	1474021.941
P070	1704744.618	1474029.185

Point #	Northing	Easting
P071	1704727.889	1474027.811
P072	1704716.285	1474025.388
P073	1704661.151	1474013.952
P074	1704653.847	1474010.612
P075	1704648.593	1474004.198
P076	1704646.798	1473999.283
P077	1704648.114	1473991.631
P078	1704650.561	1473980.286
P079	1704760.479	1474067.016
P080	1704734.048	1474061.477
P081	1704730.198	1474053.861
P082	1704725.821	1474052.973
P083	1704711.260	1474050.021
P084	1704708.602	1474049.482
P085	1704702.505	1474055.049
P086	1704668.004	1474047.806
P087	1704663.463	1474039.105
P088	1704627.314	1474057.753
P089	1704628.017	1474050.877
P090	1704628.007	1474044.643
P091	1704626.158	1474038.920
P092	1704624.405	1474036.067
P093	1704612.415	1474028.456
P094	1704600.578	1474026.098
P095	1704589.823	1474031.652
P096	1704483.641	1474009.726
P097	1704630.273	1473959.717
P098	1704624.512	1473986.671
P099	1704622.654	1473993.598
P100	1704619.247	1473998.500
P101	1704616.805	1474000.437
P102	1704605.171	1474002.568
P103	1704595.766	1474000.582
P104	1704589.717	1473991.595
P105	1704399.005	1473992.261
P106	1704374.691	1473987.253
P107	1704368.224	1473988.412
P108	1704365.360	1474000.486
P109	1704362.771	1474024.441
P110	1704336.674	1474022.862
P111	1704340.596	1473985.041
P112	1704337.443	1473977.301
P113	1704332.379	1473972.134
P114	1704325.575	1473969.349
P115	1704317.188	1473967.664
P116	1704308.866	1473973.611
P117	1704364.026	1473944.809
P118	1704354.788	1473950.375
P119	1704329.444	1473945.247
P120	1704324.363	1473936.698
P121	1704270.411	1473925.489
P122	1704243.072	1473919.803
P123	1704233.747	1473925.519
P124	1704214.901	1473921.836
P125	1704208.676	1473912.790
P126	1704141.229	1473898.674
P127	1704134.271	1473895.100
P128	1704136.130	1473888.033
P129	1704140.185	1473881.406
P130	1704234.189	1473958.224
P131	1704228.621	1473949.454
P132	1704209.776	1473945.527
P133	1704199.544	1473951.128
P134	1704135.199	1473937.745
P135	1704130.241	1473937.844
P136	1704128.426	1473946.326
P137	1704127.527	1473957.166
P138	1704101.300	1473947.841
P139	1704101.415	1473946.267
P140	1704102.083	1473933.381

Point #	Northing	Easting
P141	1704100.360	1473927.657
P142	1704099.355	1473925.964
P143	1704090.712	1473919.525
P144	1704069.213	1473912.863
P145	1704044.873	1473905.064
P146	1704035.143	1473909.585
P147	1704113.208	1473874.260
P148	1704110.472	1473878.993
P149	1704105.244	1473886.467
P150	1704099.651	1473891.466
P151	1704095.068	1473893.372
P152	1704084.501	1473892.935
P153	1704079.290	1473882.985
P154	1704077.168	1473882.307
P155	1703999.991	1473897.677
P156	1703995.574	1473888.312
P157	1703968.898	1473879.290
P158	1703959.476	1473883.628
P159	1703940.739	1473877.157
P160	1703906.181	1473865.280
P161	1703899.802	1473864.120
P162	1703898.128	1473866.063
P163	1703896.647	1473872.067
P164	1703887.154	1473900.911
P165	1703952.214	1473839.436
P166	1703944.915	1473834.542
P167	1703943.622	1473826.847
P168	1703945.784	1473806.885
P169	1703931.812	1473783.038
P170	1703926.819	1473795.431
P171	1703919.473	1473806.978
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P173	1703904.180	1473817.819
P174	1703894.453	1473820.830
P175	1703879.575	1473821.579
P176	1703871.575	1473819.342
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P181	1703863.586	1473863.361
P182	1703866.160	1473854.047
P183	1703864.329	1473849.596
P184	1703860.431	1473843.282
P185	1703858.683	1473841.534
P186	1703847.850	1473836.751
P187	1703837.399	1473841.402
P188	1703824.100	1473836.807
P189	1703714.070	1473798.764
P190	1703709.338	1473790.181
P191	1703697.701	1473786.201
P192	1703689.552	1473790.310
P193	1703726.242	1473761.331
P194	1703717.844	1473765.293
P195	1703706.033	1473761.182
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P199	1704622.796	1474211.988
P200	1705861.788	1474290.284
P201	1705924.734	1474310.919
P202	1705919.485	1474302.775
P203	1705861.374	1474290.556

**DO NOT SCALE**

**NOTES**

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NO	DATE	BY	DESCRIPTION	CHK	APP
P02	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P01	12/09/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW

DRAWING STATUS:



Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
wsp.com



**SITE/PROJECT:**  
**LINTHORPE ROAD RESTORATION**

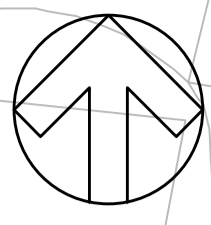
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**TITLE:**  
**SETTING OUT**

SCALE @ A1:	CHECKED:	APPROVED:
1:250	JS	PWW

PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024

DRAWING NO:	REV:
288933-WSP-XX-XX-DR-C-0155	P02

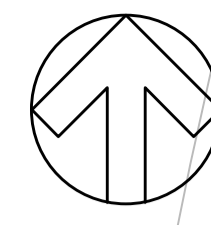


- KEY**
- HIGHWAY BOUNDARY (REFER TO NOTE 15)
  - - - KERB TO BE REMOVED TO TIP
  - CYCLE LANE SEPARATOR (ORCAS & WANDS) TO BE REMOVED TO STORE
  - TREE PLANTERS TO BE REMOVED TO STORE
  - - - CYCLE STAND TO BE REMOVED TO STORE
  - EXISTING GULLY (REFER TO SERIES 500 DRAWINGS)
  - EXISTING DRAINAGE CHANNEL (REFER TO SERIES 500 DRAWINGS)
  - BOLLARD TO BE REMOVED TO TIP
  - ILLUMINATED TRAFFIC SIGN AND POST TO BE REMOVED TO TIP
  - NON ILLUMINATED TRAFFIC SIGN AND POST TO BE REMOVED TO TIP
  - EXISTING UTILITY CHAMBER (REFER TO SERIES 500 DRAWINGS)
  - ▨ PAVED FOOTWAY TO BE RE-LAID TO SUIT NEW LEVELS
  - ▨ ASPHALT CARRIAGEWAY/CYCLEWAY SURFACING TO BE REMOVED (FOR RESURFACING)
  - ▨ ASPHALT CARRIAGEWAY/CYCLEWAY TO BE REDUCED TO FORMATION LEVEL AND REMOVED TO TIP
  - ▨ PAVED FOOTWAY TO BE REDUCED TO FORMATION LEVEL AND REMOVED TO TIP
  - ▨ BUS STOP SHELTER TO BE REMOVED (BY OTHERS)

- ⚠ UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS
- ⚠ CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE
- ⚠ POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS
- ⚠ EXCAVATION IN AND AROUND BURIED SERVICES
- ⚠ POTENTIAL FOR CONTAMINATED TAR IN EXISTING ROAD PAVEMENT
- ⚠ UNEXPLODED ORDNANCE MAY BE PRESENT
- ⚠ HIGH PEDESTRIAN NUMBERS IN TOWN CENTRE

● SITE CLEARANCE MAY INCLUDE CONCRETE BREAKOUT WORKS ON EXISTING HIGHWAY

**NOTE:**  
ALL WORKS ON EXISTING CARRIAGEWAY BUILDOUTS MAY INCLUDE REINFORCED CONCRETE BREAKOUT WORKS FROM APPROXIMATELY 100mm FROM SURFACE LEVEL TO SUBBASE / FORMATION LEVEL



**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

HEALTH AND SAFETY SYMBOLS LEGEND

● XXX	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION	ⓘ XXX	INDICATES A RESIDUAL RISK FOR INFORMATION
⊘ XXX	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION	⚠ XXX	INDICATES A RESIDUAL RISK AS A WARNING
⚠ XXX	INDICATES AN ENVIRONMENTAL HAZARD		

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-288933-WSP-XX-XX-DR-C-0101-0104  
-288933-WSP-XX-XX-DR-C-1101-1104  
-288933-WSP-XX-XX-DR-C-0501-0504
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PO4	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
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REV	DATE	BY	DESCRIPTION	CHK	APP

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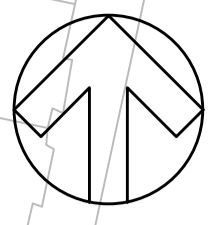
**TEES VALLEY**

SITE PROJECT:  
**LINTHORPE ROAD RESTORATION**

TITLE:  
**SITE CLEARANCE (SHEET 1 OF 4)**

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW	
PROJECT NO:	2024UK293315	DESIGNED:	NR	DATE:	JULY 2024	
DRAWING NO:	288933-WSP-XX-XX-DR-C-0201				REV:	P04

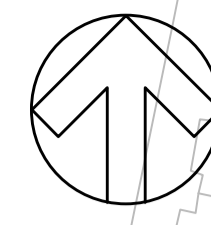
REFER TO DRAWING 288933-WSP-XX-XX-DR-C-0202



- KEY**
- HIGHWAY BOUNDARY (REFER TO NOTE 15)
  - KERB TO BE REMOVED TO TIP
  - CYCLE LANE SEPARATOR (ORCAS & WANDS) TO BE REMOVED TO STORE
  - TREE PLANTERS TO BE REMOVED TO STORE
  - CYCLE STAND TO BE REMOVED TO STORE
  - EXISTING GULLY (REFER TO SERIES 500 DRAWINGS)
  - EXISTING DRAINAGE CHANNEL (REFER TO SERIES 500 DRAWINGS)
  - BOLLARD TO BE REMOVED TO TIP
  - ILLUMINATED TRAFFIC SIGN AND POST TO BE REMOVED TO TIP
  - NON ILLUMINATED TRAFFIC SIGN AND POST TO BE REMOVED TO TIP
  - EXISTING UTILITY CHAMBER (REFER TO SERIES 500 DRAWINGS)
  - ▨ PAVED FOOTWAY TO BE RE-LAID TO SUIT NEW LEVELS
  - ▨ ASPHALT CARRIAGEWAY/CYCLEWAY SURFACING TO BE REMOVED (FOR RESURFACING)
  - ▨ ASPHALT CARRIAGEWAY/CYCLEWAY TO BE REDUCED TO FORMATION LEVEL AND REMOVED TO TIP
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  - ▨ BUS STOP SHELTER TO BE REMOVED (BY OTHERS)

Page 206  
File name: C:\Users\JWATSON\OneDrive\Documents\WSP\CIVIL\ENGINEERING\DRAWINGS\288933\WSP-XX-XX-DR-C-0204 SITE CLEARANCE.DWG, printed on 10 October 2024 10:25:48 by Brougheas

REFER TO DRAWING 288933-WSP-XX-XX-DR-C-0201



SITE CLEARANCE MAY INCLUDE CONCRETE BREAKOUT WORKS ON EXISTING HIGHWAY

SITE CLEARANCE MAY INCLUDE CONCRETE BREAKOUT WORKS ON EXISTING HIGHWAY

CONTRACTOR TO LAISE WITH CLEAR CHANNEL FOR BUS SHELTER REMOVAL

CONTRACTOR TO LAISE WITH CLEAR CHANNEL FOR BUS SHELTER REMOVAL

- ⚠ UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS
- ⚠ CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE
- ⚠ POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS
- ⚠ EXCAVATION IN AND AROUND BURIED SERVICES
- ⚠ POTENTIAL FOR CONTAMINATED TAR IN EXISTING ROAD PAVEMENT
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**NOTE:**  
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REFER TO DRAWING 288933-WSP-XX-XX-DR-C-0203

**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

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PO3	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
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REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS:

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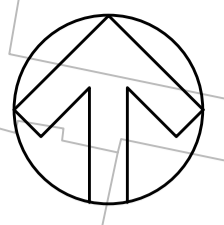
CLIENT:

**TEES VALLEY**

SITE PROJECT:  
**LINTHORPE ROAD RESTORATION**

TITLE:  
**SITE CLEARANCE (SHEET 2 OF 4)**

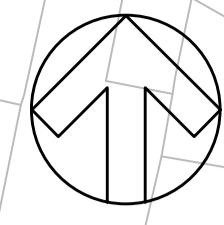
SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DATE:	JULY 2024
DRAWING NO:	288933-WSP-XX-XX-DR-C-0202	REV:	P04		



- KEY**
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SITE CLEARANCE MAY INCLUDE CONCRETE BREAKOUT WORKS ON EXISTING HIGHWAY

REFER TO DRAWING 288933-WSP-XX-XX-DR-C-0202



SITE CLEARANCE MAY INCLUDE CONCRETE BREAKOUT WORKS ON EXISTING HIGHWAY

REFER TO DRAWING 288933-WSP-XX-XX-DR-C-0204

- ⚠ UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS
- ⚠ CONSTRUCTION WORKS IN LIVE ROADS ON A BUS ROUTE
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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	15/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS:

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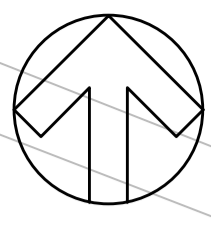
CLIENT:

**TEES VALLEY**

SITE/PROJECT:  
**LINTHORPE ROAD RESTORATION**

TITLE:  
**SITE CLEARANCE (SHEET 3 OF 4)**

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
DRAWING NO:	288933-WSP-XX-XX-DR-C-0203	DATE:	JULY 2024	REV:	P04



- KEY**
- HIGHWAY BOUNDARY (REFER TO NOTE 15)
  - - - KERB TO BE REMOVED TO TIP
  - CYCLE LANE SEPARATOR (ORCAS & WANDS) TO BE REMOVED TO STORE
  - TREE PLANTERS TO BE REMOVED TO STORE
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REFER TO DRAWING 288933-WSP-XX-XX-DR-C-0203

CONTRACTOR TO LIAISE WITH CLEAR CHANNEL FOR BUS SHELTER REMOVAL

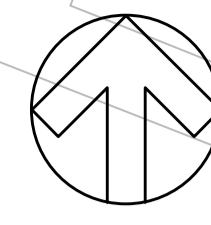
CONTRACTOR TO LIAISE WITH CLEAR CHANNEL FOR BUS SHELTER REMOVAL

SITE CLEARANCE MAY INCLUDE CONCRETE BREAKOUT WORKS ON EXISTING HIGHWAY

CONTRACTOR TO LIAISE WITH CLEAR CHANNEL FOR BUS SHELTER REMOVAL

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10. EXISTING DRAINAGE APPARATUS TO BE REMOVED AS SHOWN AND BACKFILLED AS PER SPECIFICATION.
11. ALL ITEMS NOT HIGHLIGHTED ARE TO BE RETAINED UNLESS NOTED OTHERWISE.
12. FEED TO ALL ELECTRICAL ITEMS IS TO BE DISCONNECTED PRIOR TO REMOVAL.
13. FOR LOCATION OF PAVING AND KERB ITEMS TO BE REUSED, REFER TO LANDSCAPE ARCHITECT INFORMATION AND 1100 SERIES DRAWING AND SPECIFICATIONS.
14. NO EXISTING TRAFFIC SIGN OR LIGHTING COLUMN SHALL BE SWITCHED OFF, DISMANTLED OR REMOVED WITHOUT THE PRIOR APPROVAL OF MIDDLESBROUGH COUNCIL.
15. THIS DRAWING IS BASED IN A WHOLE OR IN PART ON INFORMATION AND/OR DATA APPROVED BY A THIRD PARTY INCLUDING MIDDLESBROUGH COUNCIL AND AS SUCH IN CONTINGENT UPON THE ACCURACY AND COMPLETENESS OF THAT INFORMATION AND/OR DATA. WSP UK LIMITED SHALL NOT BE LIABLE IN RELATION TO ANY INACCURACY PRESENTED WITHIN THE DRAWING AND/OR IN RELATION TO ANY DISCREPANCY OR AMBIGUITY WITH ANY OTHER PROJECT DOCUMENTS SHOULD ANY DATA AND OR INFORMATION UPON WHICH RELIANCE HAS BEEN BASED BE INCORRECT OR OUT OF DATE OR HAVE BEEN CONCEALED, WITHHELD OR BE INCOMPLETE, MISREPRESENTED OR OTHERWISE NOT FULLY DISCLOSED TO WSP UK LIMITED.

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PO4	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
PO3	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
PO1	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	15/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS:



Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
wsp.com

CLIENT:



SITE PROJECT:  
**LINTHORPE ROAD RESTORATION**

TITLE:  
**SITE CLEARANCE (SHEET 4 OF 4)**

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
DRAWING NO:	288933-WSP-XX-XX-DR-C-0204			REV:	P04

**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

HEALTH AND SAFETY SYMBOLS LEGEND

● XXX	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION	ⓘ XXX	INDICATES A RESIDUAL RISK FOR INFORMATION
⊘ XXX	INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION	⚠ XXX	INDICATES A RESIDUAL RISK AS A WARNING
⚠ XXX	INDICATES AN ENVIRONMENTAL HAZARD		

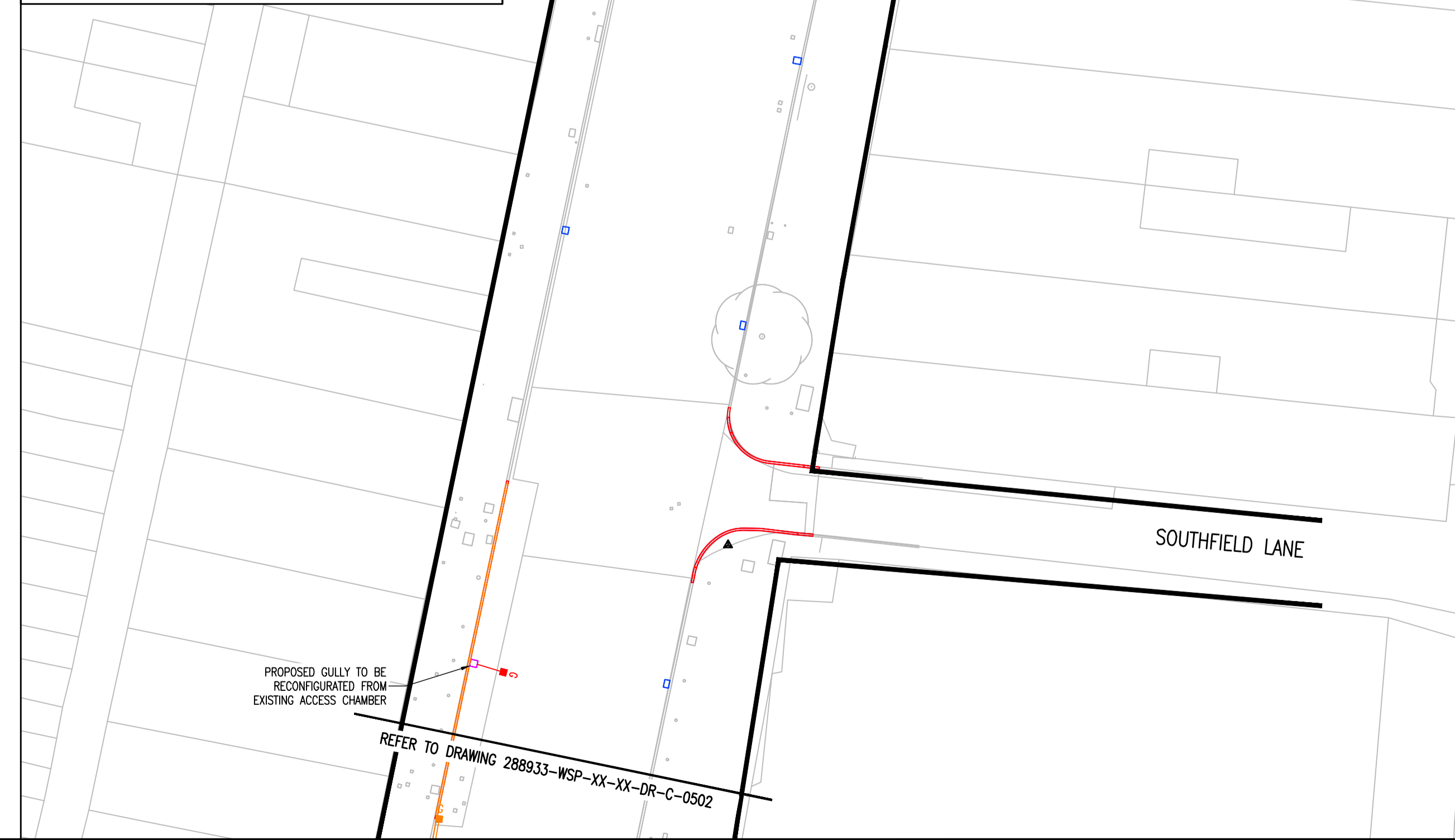
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 -288933-WSP-XX-XX-DR-C-1101-1104  
 -288933-WSP-XX-XX-DR-C-0511  
 -288933-WSP-XX-XX-DR-C-0201-0204
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**DO NOT SCALE**

**KEY**

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- PROPOSED GULLY
- PROPOSED GULLY CONNECTION
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HEALTH AND SAFETY SYMBOLS LEGEND

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DRAWING STATUS:

Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
 T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
 wsp.com

CLIENT:

SITE/PROJECT:

**LINTHORPE ROAD RESTORATION**

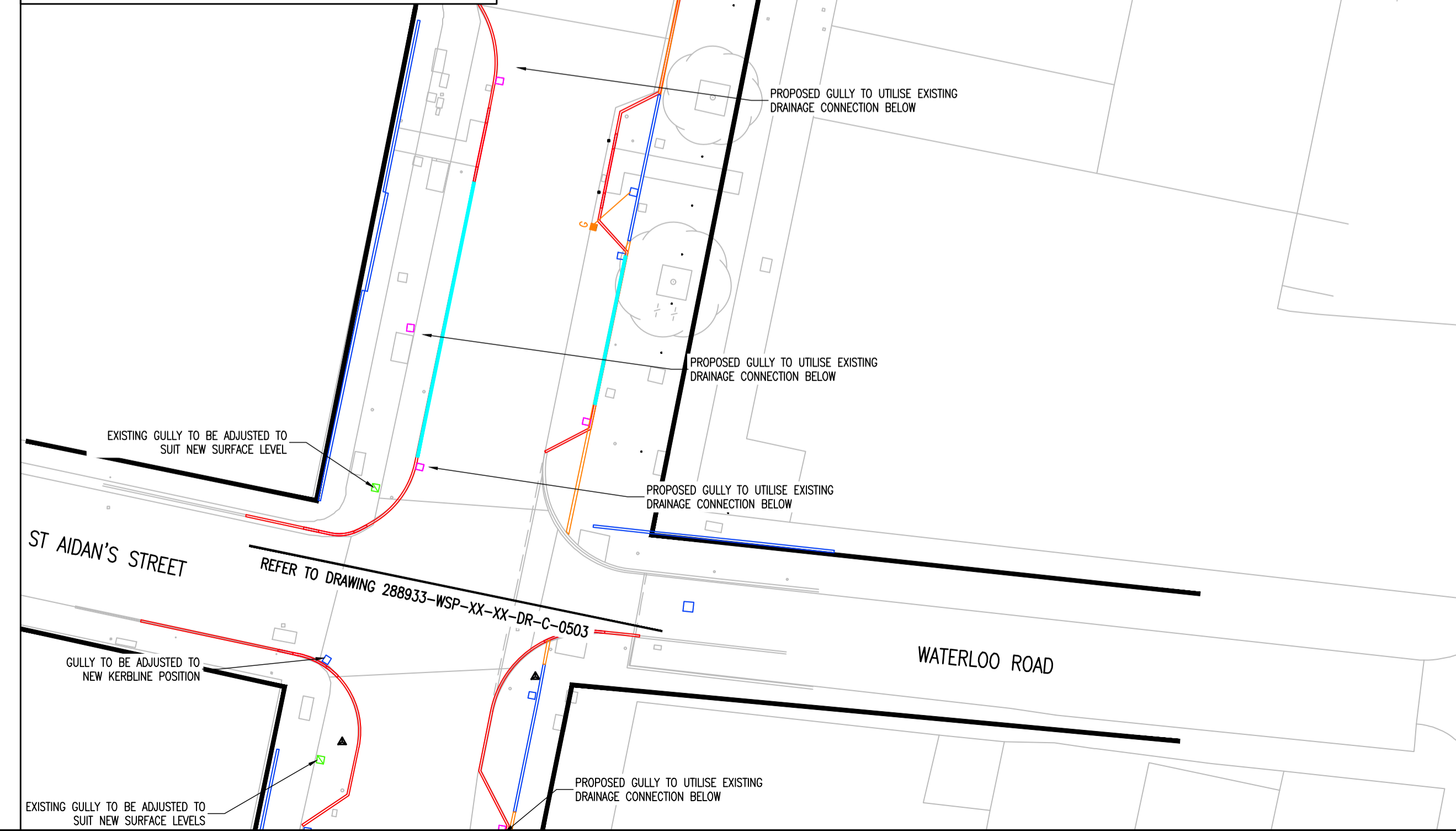
TITLE:

**BELOW GROUND DRAINAGE LAYOUT  
(SHEET 1 OF 4)**

<small>SCALE @ A1:</small>	1:250	<small>CHECKED:</small>	JS	<small>APPROVED:</small>	PWW	
<small>PROJECT NO:</small>	2024UK293315	<small>DESIGNED:</small>	NR	<small>DRAWN:</small>	NR	
<small>DRAWING NO:</small>	288933-WSP-XX-XX-DR-C-0501				<small>REV:</small>	P04



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 -288933-WSP-XX-XX-DR-C-0101-0104  
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**DO NOT SCALE**

**KEY**

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**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

**HEALTH AND SAFETY SYMBOLS LEGEND**

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**wsp**

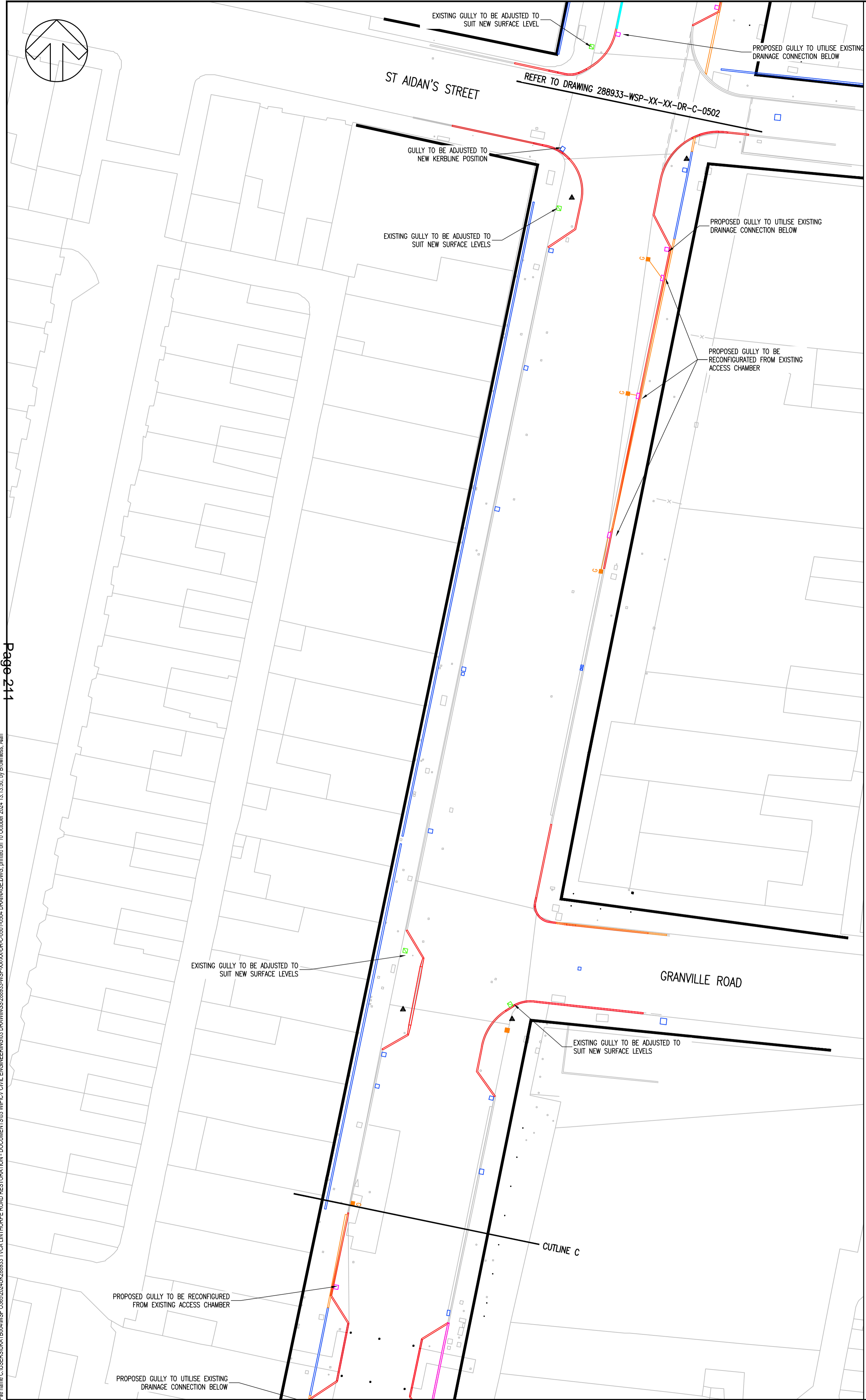
Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
 T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
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**TEES VALLEY**

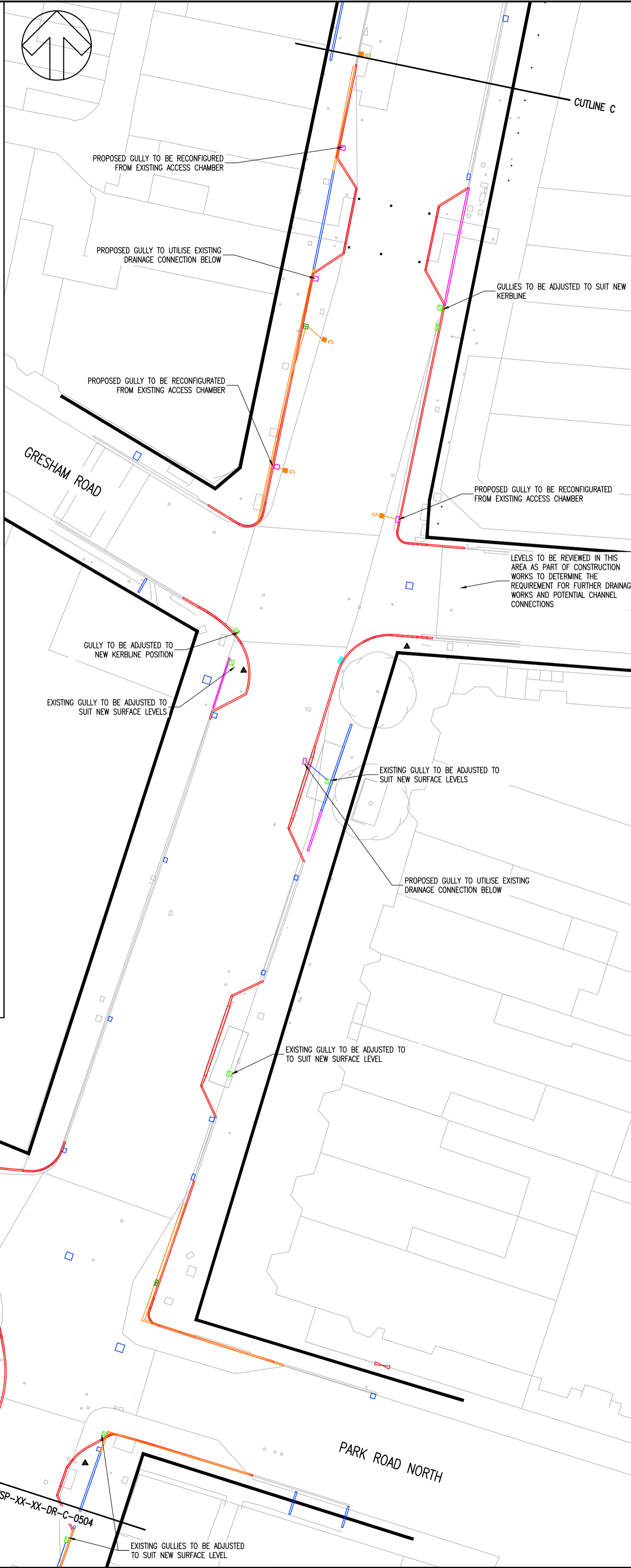
**SITE/PROJECT:**  
 LINTHORPE ROAD RESTORATION

**TITLE:**  
 BELOW GROUND DRAINAGE LAYOUT  
 (SHEET 2 OF 4)

SCALE @ A1: 1:250	CHECKED: JS	APPROVED: PWW
PROJECT NO: 2024UK293315	DESIGNED: NR	DRAWN: NR
DATE: JULY 2024	REV: P04	



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 -288933-WSP-XX-XX-DR-C-0101-0104  
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**KEY**

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**wsp**

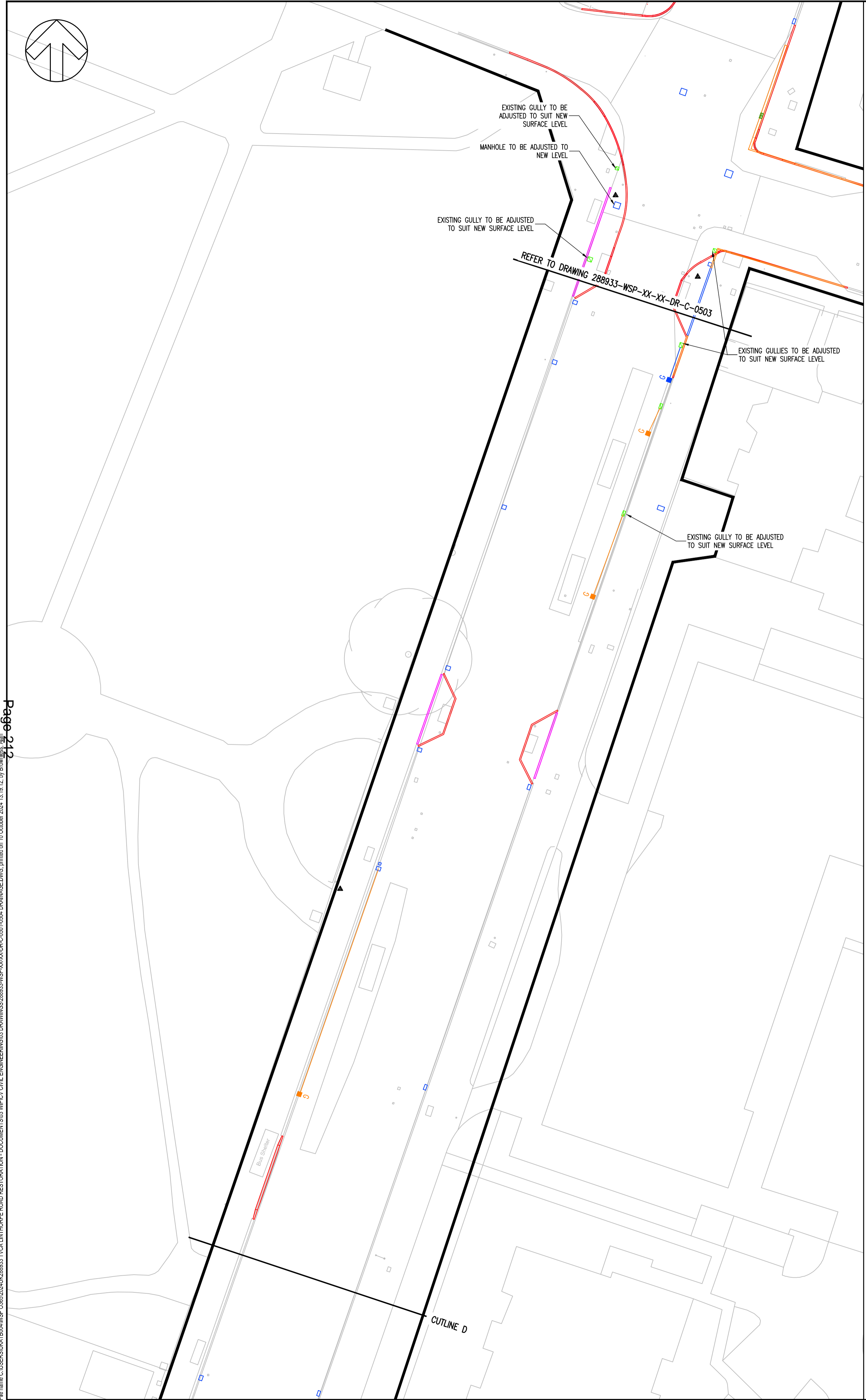
Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
 T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
 wsp.com

**TEES VALLEY**

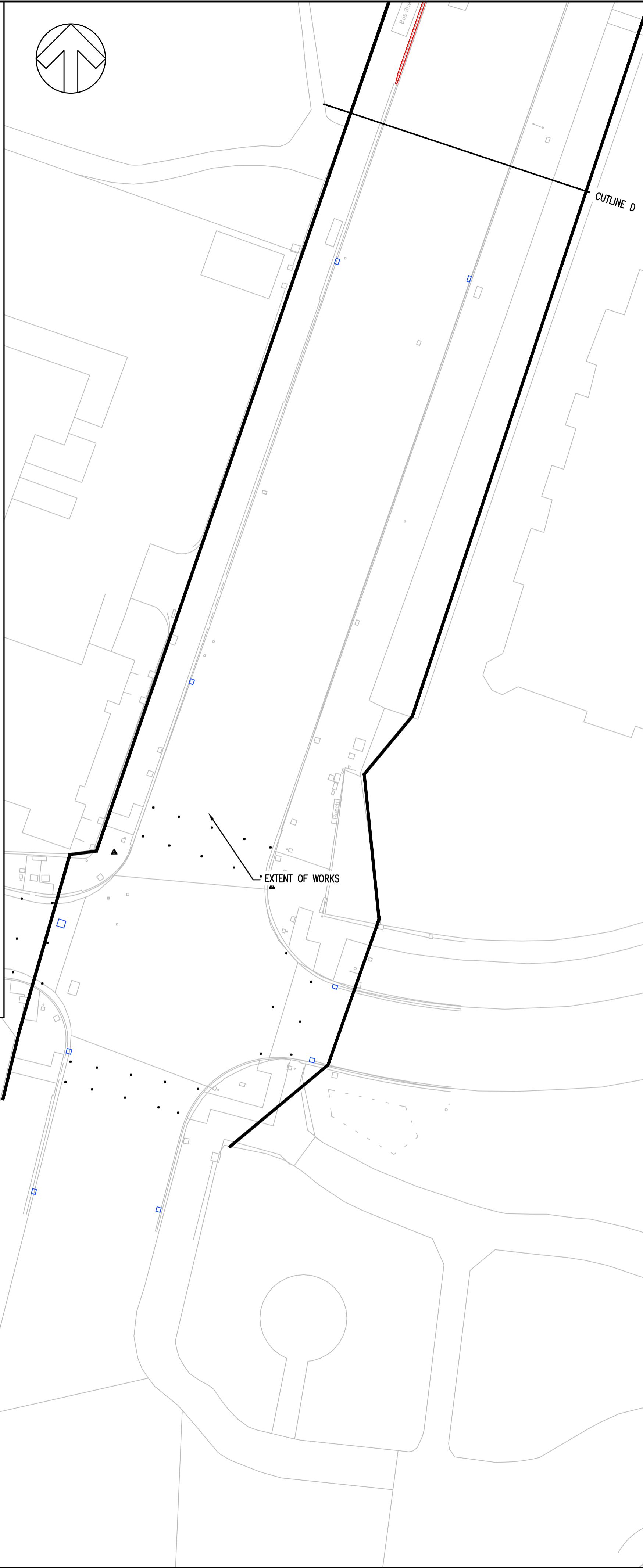
SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

TITLE: **BELOW GROUND DRAINAGE LAYOUT (SHEET 3 OF 4)**

SCALE @ A1: 1:250	CHECKED: JS	APPROVED: PWW
PROJECT NO: 2024UK293315	DESIGNED: NR	DRAWN: NR
		DATE: JULY 2024
DRAWING NO: 288933-WSP-XX-XX-DR-C-0503		REV: P04



- NOTES**
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  - INFORMATION REGARDING THE LOCATION AND DEPTH OF EXISTING SERVICES CANNOT BE GUARANTEED BY THE STATUTORY UNDERTAKER AND SHOULD BE INVESTIGATED. THE CONTRACTOR SHALL ESTABLISH THE PRECISE LINE AND DEPTH OF ALL EXISTING UTILITIES PRIOR TO COMMENCING ANY EXCAVATION WORK.
  - THE CONTRACTOR SHALL CONDUCT THE WORKS WITH DUE REGARDS TO ANY ECOLOGICAL AND ENVIRONMENTAL REQUIREMENTS OF THE SCHEME. THE CONTRACTOR SHALL TAKE SUCH STEPS TO SAFEGUARD AGAINST CONTAMINATION OF LOCAL WATERCOURSES.
  - UPON COMPLETION OF THE WORKS, THE CONTRACTOR SHALL ENSURE THAT ALL DRAINAGE APPARATUS IS JETTED AND FREE FROM OBSTRUCTIONS AND SUBSEQUENT SUBJECT TO CCTV SURVEY AND TESTING IN ACCORDANCE WITH THE DRAINAGE SPECIFICATION.
  - GRATINGS OF GULLIES LOCATED IN THE CYCLEWAY ARE TO BE CYCLE FRIENDLY. EXISTING GULLY GRATINGS ARE TO BE ASSESSED FOR THE SUITABILITY AND REPLACED WHERE APPROPRIATE
  - NEW DRAINAGE CHANNELS ARE TO BE ACO PARK DRAIN UNIT REFERENCE PD100C 25.1 (SUBJECT TO CONFIRMATION OF CONNECTING CHANNEL SIZES). FOR CONSTRUCTION DETAILS REFER TO WSP DRAWING 288933-WSP-XX-XX-DR-C-0511.
  - WHERE EXISTING GULLY OUTLETS TO BE KEPT LIVE AND GRATING TO BE REPLACED WITH ACCESS COVER, THEY SHOULD BE ADJUSTED TO FINISH LEVEL AND MOVED IF FEASIBLE TO AVOID CLASH WITH KERBLINE.
  - WHERE GULLIES ARE TO BE REPLACED WITH SHALLOW INSPECTION CHAMBERS, THEY ARE TO BE LOCATED OUTSIDE THE CARRIAGEWAY WHERE POSSIBLE AND THE EXISTING GULLY CONNECTION IS TO BE RE-USED.
  - WHERE SHALLOW GULLIES ARE REQUIRED DUE TO EXISTING SHALLOW CONNECTION DEPTHS OR UTILITY CONSTRAINTS, WREKIN GULLY CHUTE CONNECTOR (OR SIMILAR APPROVED) IS TO BE USED.
  - THE DESIGN IS BASED ON TOPOGRAPHICAL SURVEY REFERENCE ASS 2963 BY ADH SITE SURVEYS LIMITED RECEIVED FEBRUARY 2021.
  - THIS DRAWING IS BASED IN A WHOLE OR IN PART ON INFORMATION AND/OR DATA APPROVED BY A THIRD PARTY INCLUDING MIDDLESBROUGH COUNCIL AND AS SUCH IN CONTINGENT UPON THE ACCURACY AND COMPLETENESS OF THAT INFORMATION AND/OR DATA. WSP UK LIMITED SHALL NOT BE LIABLE IN RELATION TO ANY INACCURACY PRESENTED WITHIN THE DRAWING AND/OR IN RELATION TO ANY DISCREPANCY OR AMBIGUITY WITH ANY OTHER PROJECT DOCUMENTS SHOULD ANY DATA AND/OR INFORMATION UPON WHICH RELIANCE HAS BEEN BASED BE INCORRECT OR OUT OF DATE OR HAVE BEEN CONCEALED, WITHHELD OR BE INCOMPLETE, MISREPRESENTED OR OTHERWISE NOT FULLY DISCLOSED TO WSP UK LIMITED.
  - REFERENCE SHOULD BE MADE TO INDIVIDUAL DISCIPLINE DRAWINGS AND THE DESIGN RISK MANAGEMENT SCHEDULE FOR FURTHER HEALTH AND SAFETY INFORMATION - NOT ALL RISKS ARE IDENTIFIED WITHIN THIS DRAWING.
  - ALL PROPOSED BELOW GROUND DRAINAGE PIPELINES/GULLY CONNECTIONS TO BE 150MM DIAMETER UNLESS NOTED OTHERWISE.
  - TEMPORARY WORKS DEIGN ASSOCIATED WITH THE CONSTRUCTION OF THE WORKS SHALL BE THE RESPONSIBILITY OF THE CONTRACTOR.
  - ALL GULLIES IN FOOTWAYS ARE TO INCLUDE PEDESTRIAN FRIENDLY GULLY GRATINGS TO REDUCE TRIP HAZARDS



**DO NOT SCALE**

**KEY**

- HIGHWAY BOUNDARY (REFER TO NOTE 13)
- PROPOSED KERB
- PROPOSED GULLY
- PROPOSED GULLY CONNECTION
- EXISTING GULLY TO BE RETAINED
- EXISTING GULLY TO BE REMOVED
- EXISTING GULLY CONNECTION TO BE REMOVED
- EXISTING DRAINAGE CONNECTION CHAMBER TO BE RETAINED
- PROPOSED DRAINAGE KERB
- PROPOSED DRAINAGE CHANNEL
- EXISTING DRAINAGE CHANNEL TO BE RETAINED
- EXISTING DRAINAGE CHANNEL TO BE REMOVED
- EXISTING DRAINAGE MANHOLE CHAMBER
- EXISTING GULLY TO BE ADJUSTED
- EXISTING DRAINAGE CONNECTION CHAMBER TO BE ADJUSTED

**SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX**

HEALTH AND SAFETY SYMBOLS LEGEND

	XXX INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION		XXX INDICATES A RESIDUAL RISK FOR INFORMATION
	XXX INDICATES A RESIDUAL RISK REQUIRING A PROHIBITIVE ACTION		XXX INDICATES A RESIDUAL RISK AS A WARNING
	XXX INDICATES AN ENVIRONMENTAL HAZARD		

This table is provided to assist the Principal Contractor to fulfill their obligations under the Construction Design & Management Regulations, 2015. It does not include residual risks that a competent Contractor will be aware of nor does it absolve the Principal Contractor of their legal responsibilities.  
The reference number corresponds to the Design Risk Management Schedule.

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PO4	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
PO3	03/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
PO1	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	16/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

**DRAWING STATUS:**

Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
 T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
 wsp.com

CLIENT:

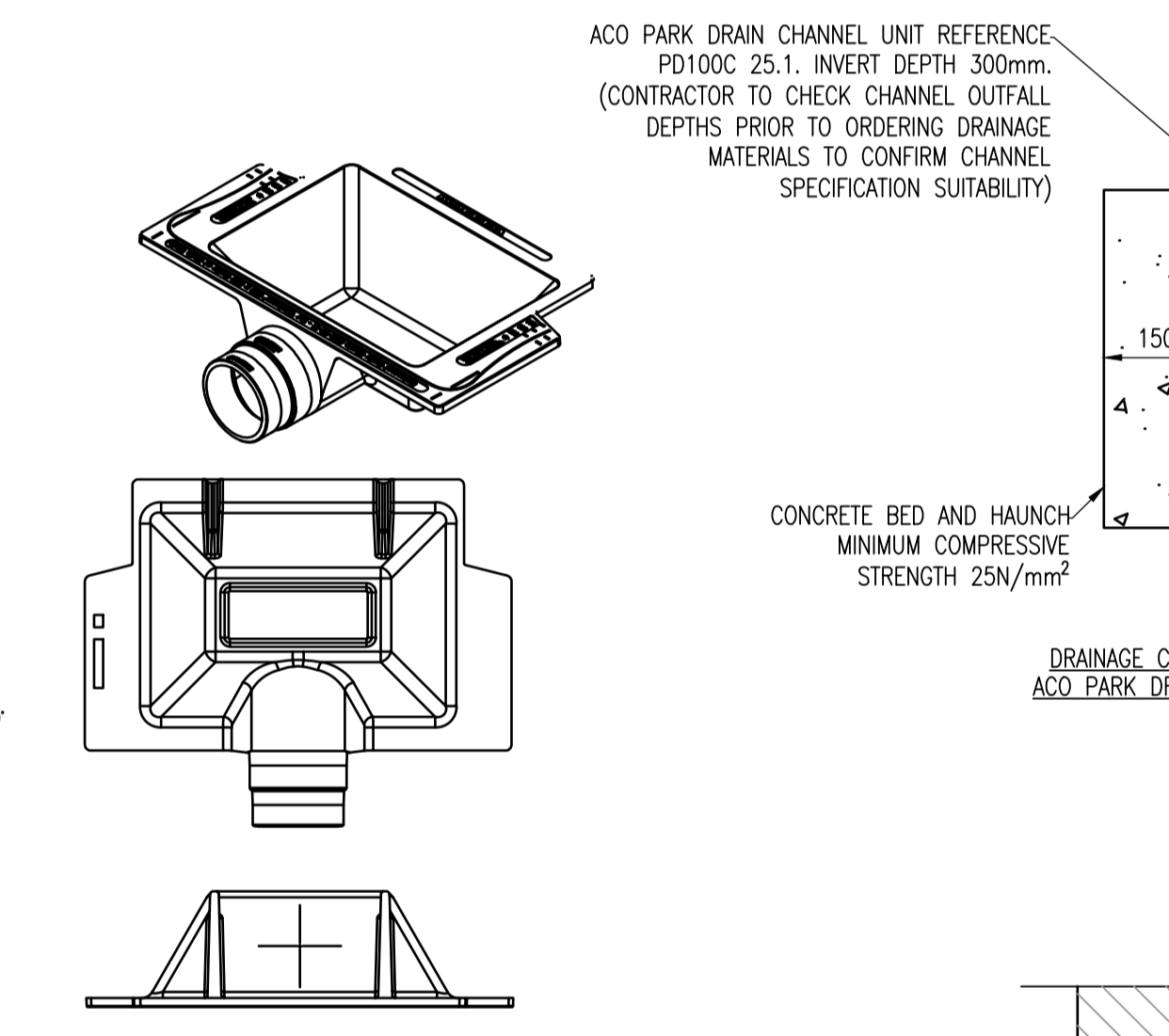
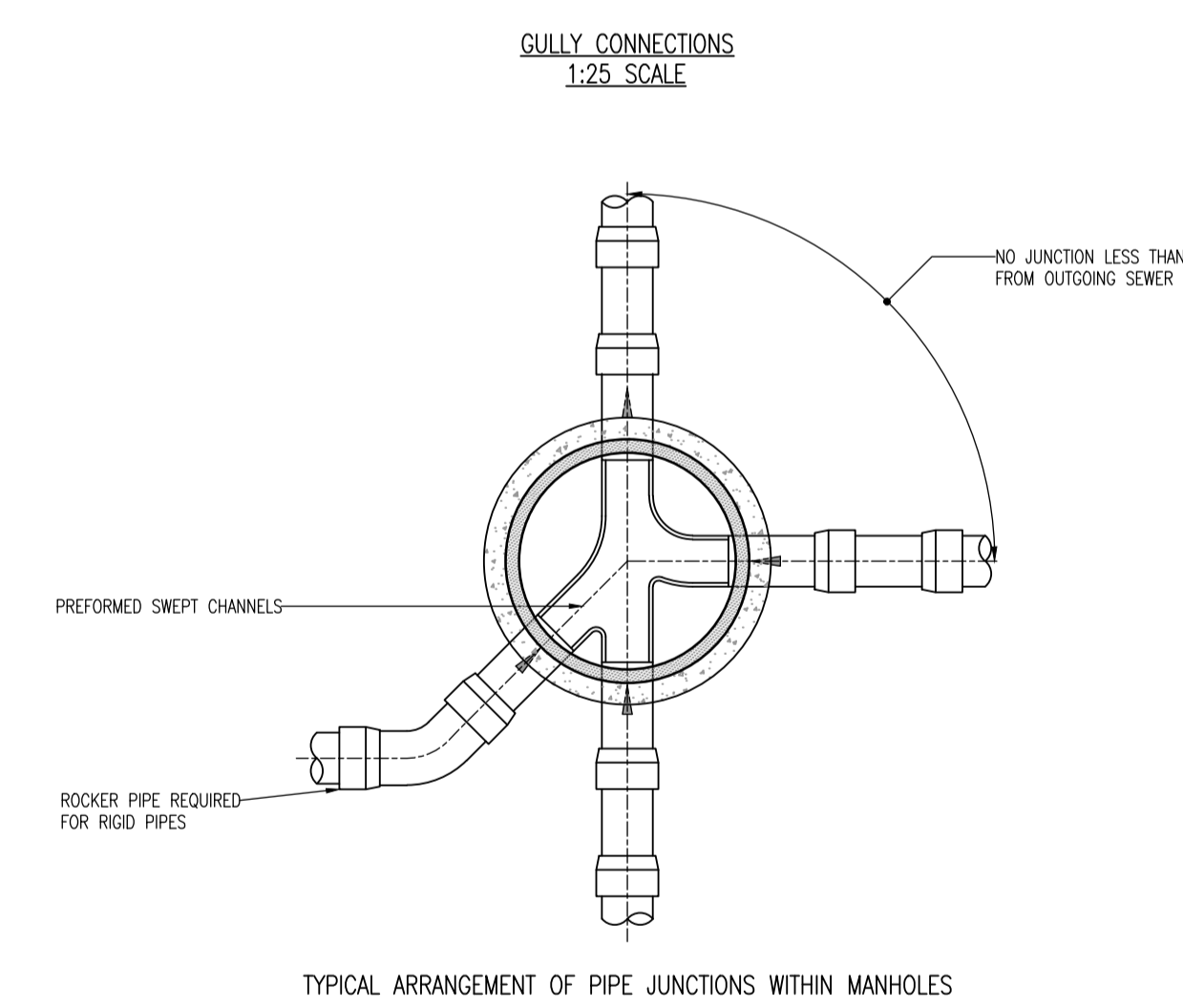
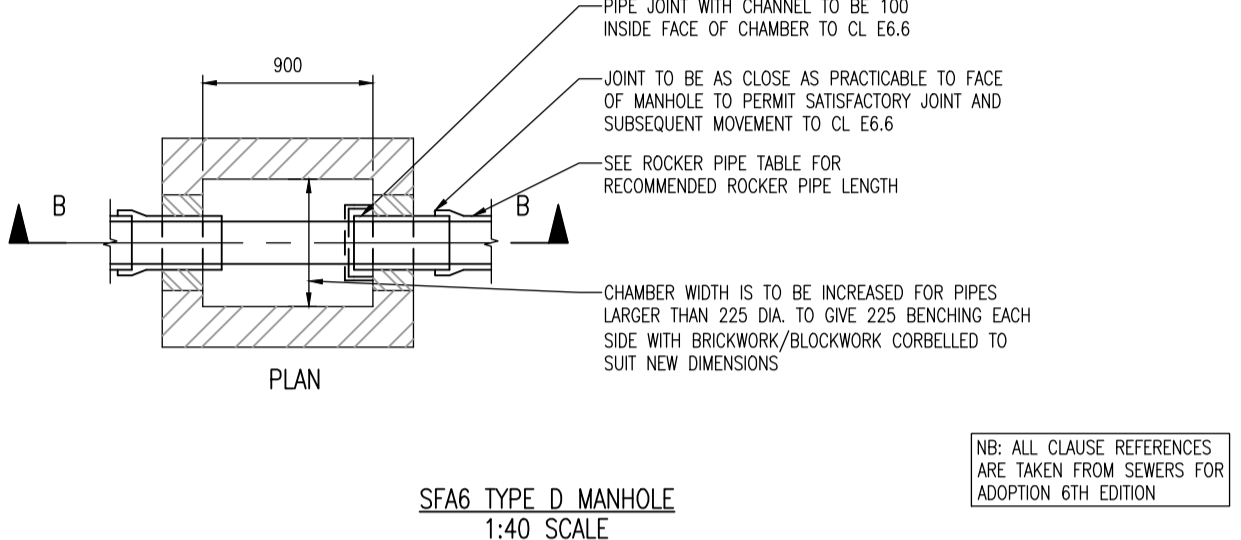
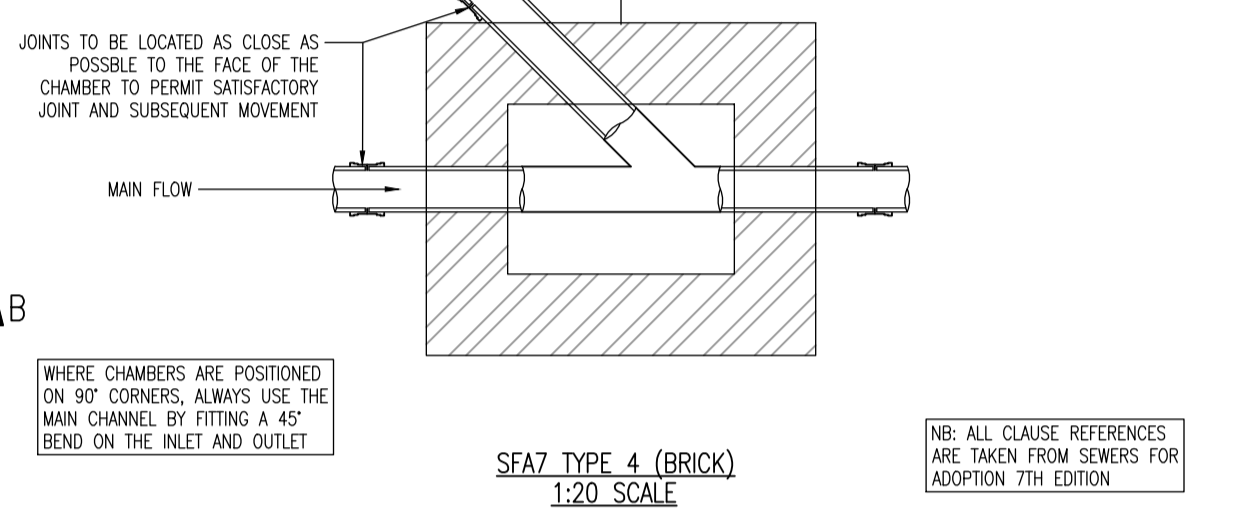
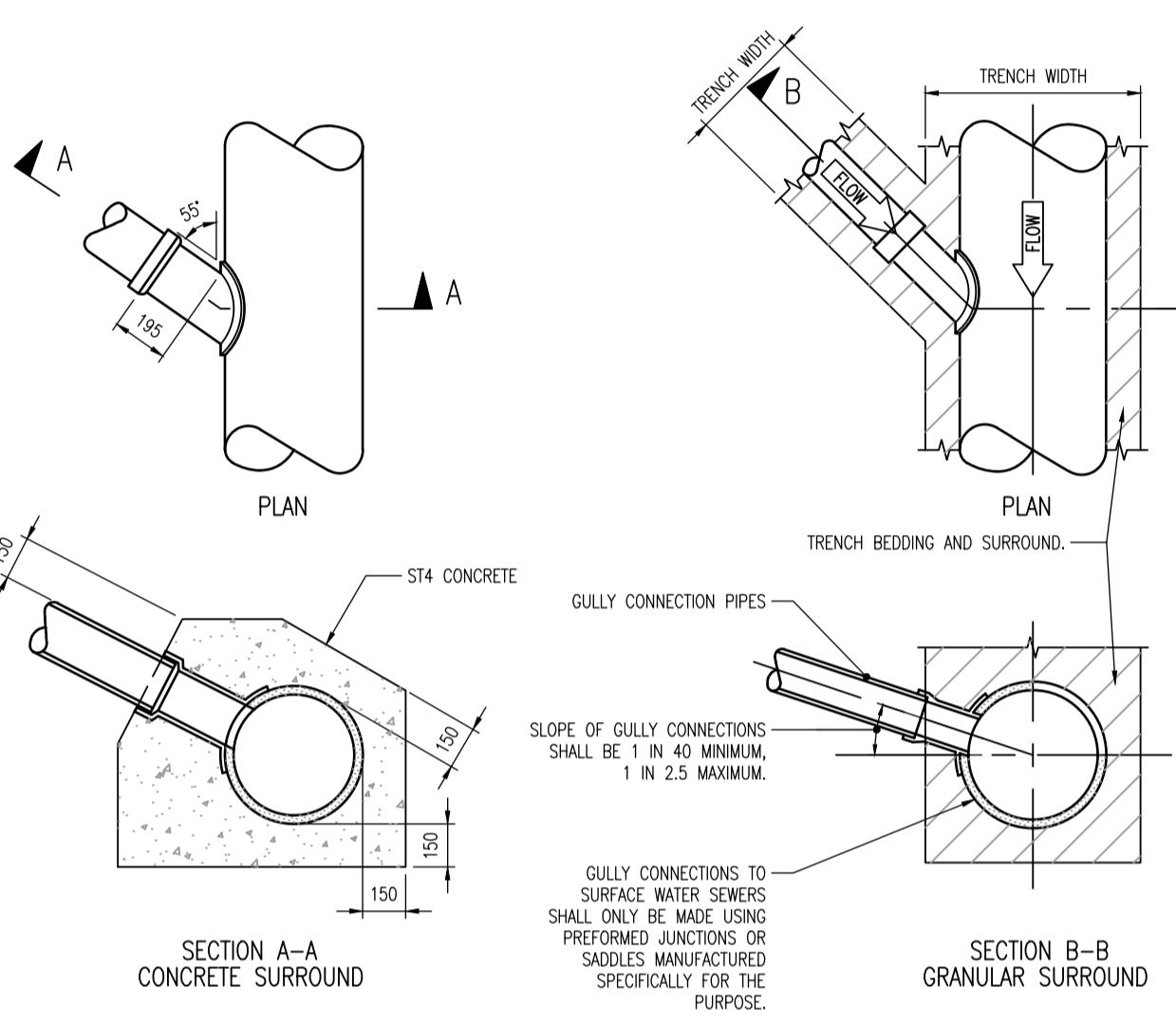
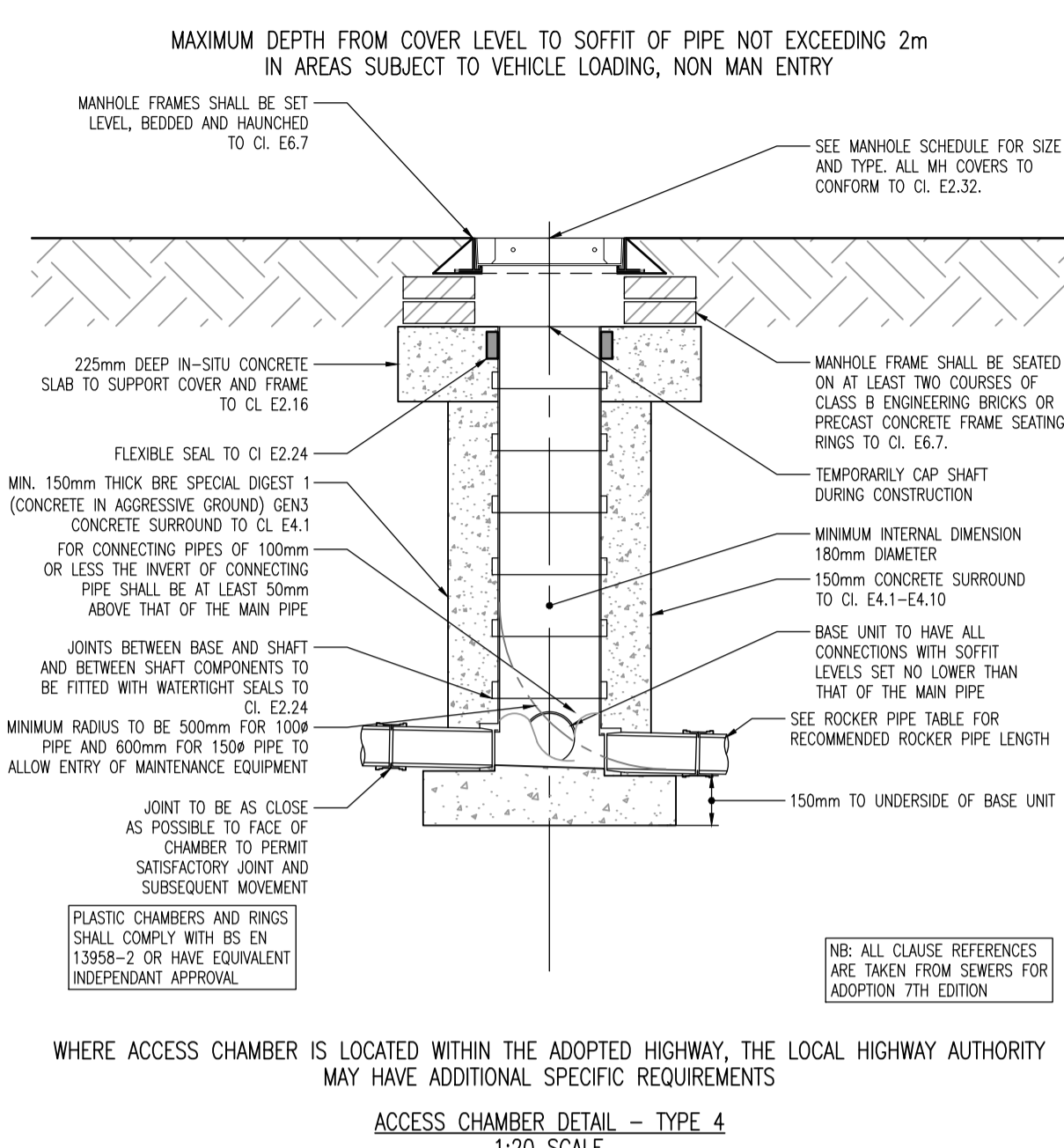
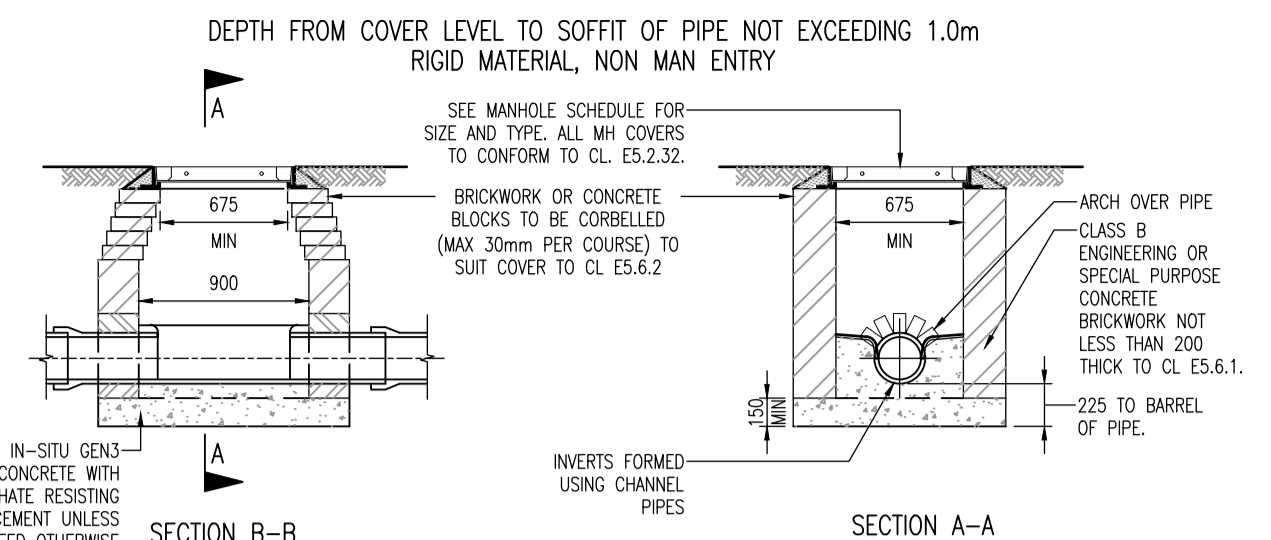
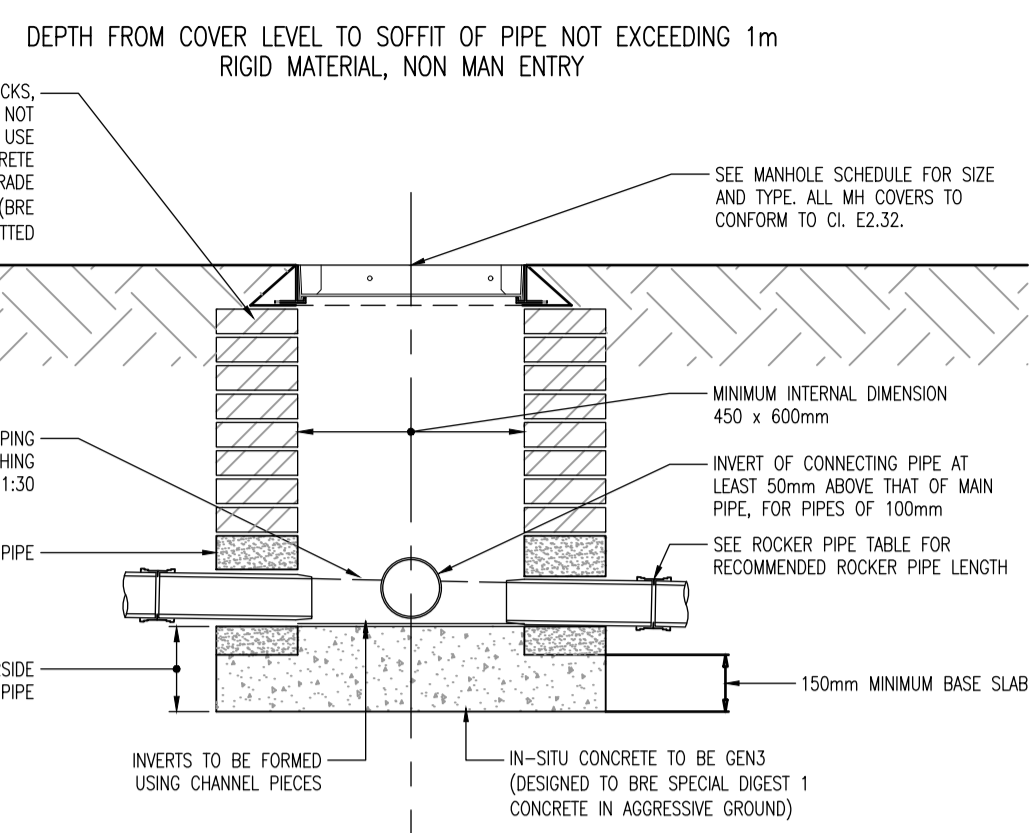
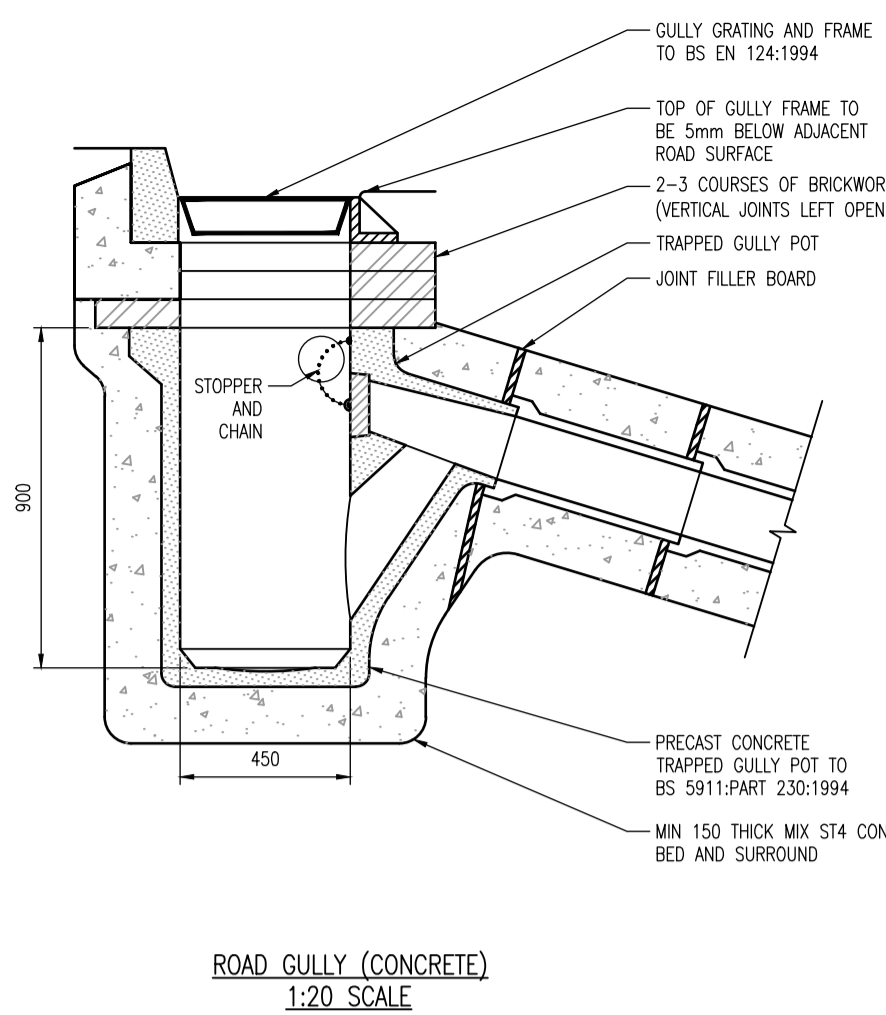
SITE/PROJECT:

LINTHORPE ROAD RESTORATION

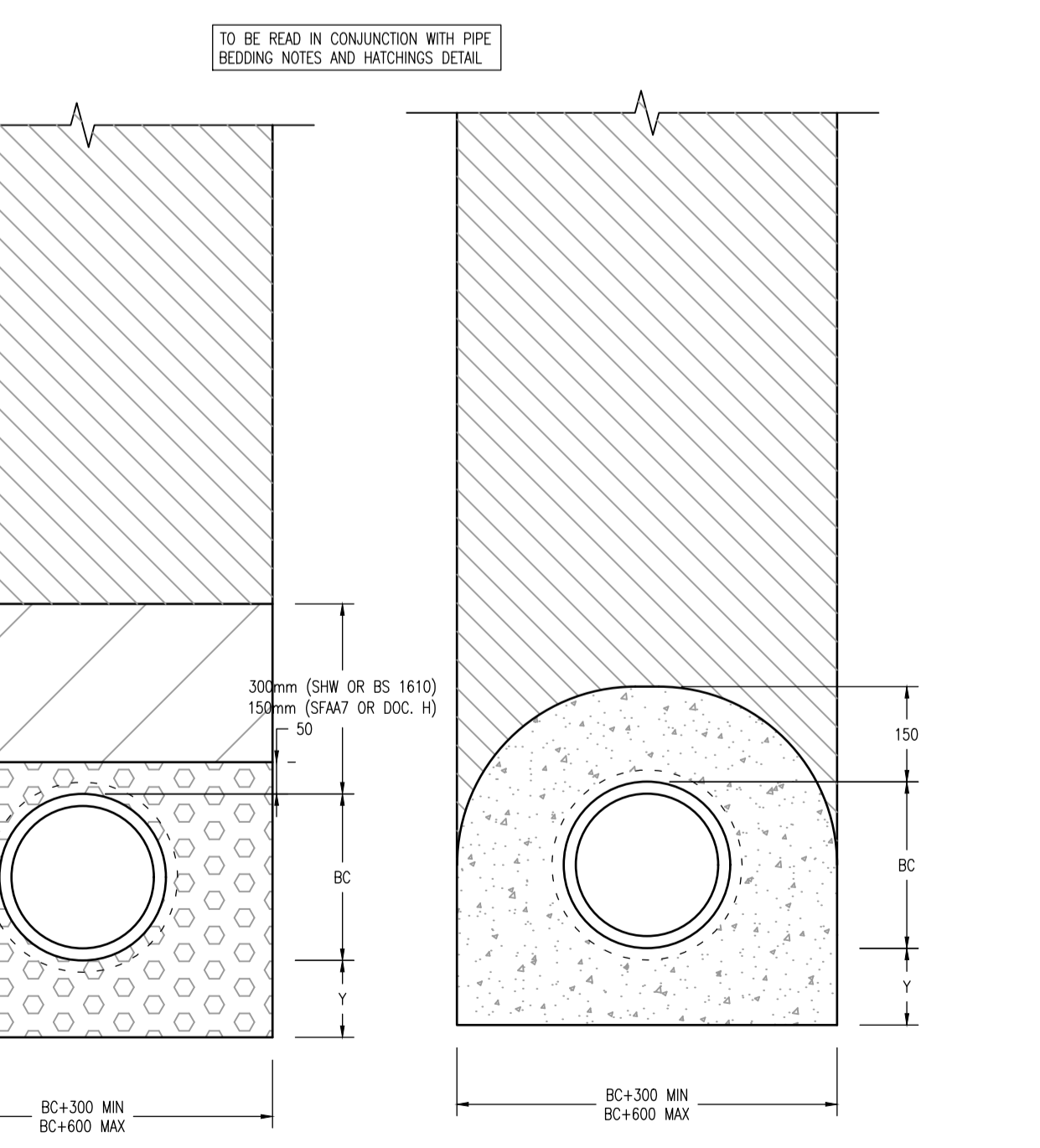
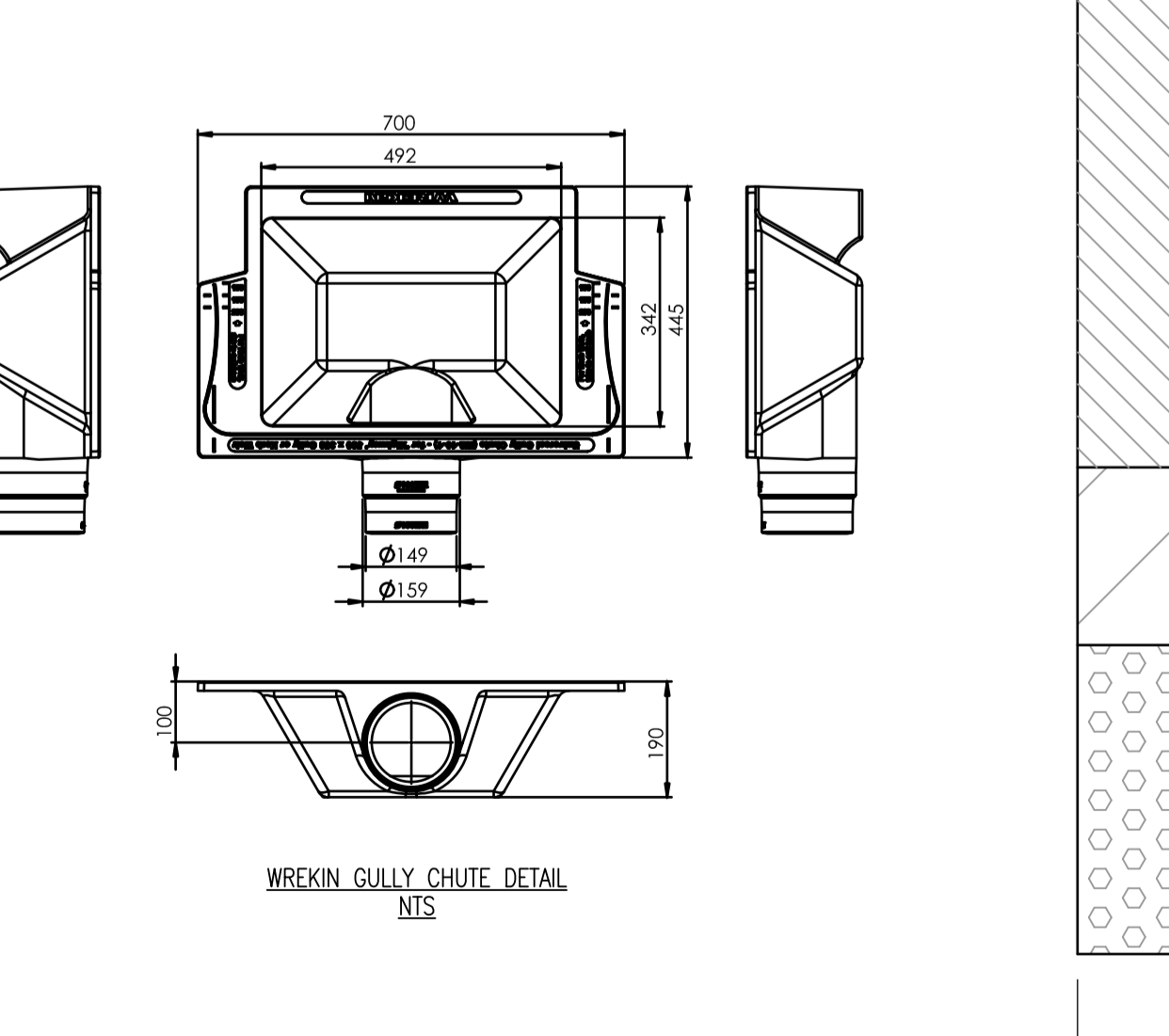
TITLE:

BELOW GROUND DRAINAGE LAYOUT  
(SHEET 4 OF 4)

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
				DATE:	JULY 2024
DRAWING NO:	288933-WSP-XX-XX-DR-C-0504				REV:
					P04



NOMINAL DIAMETER (mm)	EFFECTIVE LENGTH (mm)
150 - 600	600
601 - 750	1000
OVER 750	1250



HATCH	SPECIFICATION FOR HIGHWAY WORKS (SHW)	SEWERS FOR ADOPTION 7th EDITION (SFA7)	NON-ADOPTABLE WORKS (DOC. H)
[Hatch]	TRENCH BACKFILL TO SHW CL. 505	20-200mm UNIFORM GRADED MATERIAL TO SFA7 CL. E.3.4*	SELECTED FILL OR GRANULAR FILL FREE FROM STONES>40mm
[Hatch]	CLASS B MATERIAL TO SHW CL. 503.3 (iv)	SELECTED BACKFILL MATERIAL IN ACCORDANCE WITH SFA7 CL. E.3.4*	SELECTED FILL FREE FROM STONES>40mm, LUMPS OF CLAYS>100mm, TIMBER, FROZEN MATERIAL OR VEGETABLE MATTER
[Hatch]	CONCRETE TO SHW CL. 503.3 (ii)	GEN3 (C16/C20) CONCRETE TO SFA7 CL. E.5.3	S74 CONCRETE TO BS 8500-2
[Hatch]	GRANULAR MATERIAL TO SHW CL. 503.3 (i)	GRANULAR OR AS-DUG MATERIAL TO WIS 4-08-02 - REFER TO TABLE BELOW	GRANULAR OR AS-DUG MATERIAL TO BS EN 12953-1 - REFER TO TABLE BELOW
[Hatch]	TYPE B FILTER MEDIA TO SHW CL. 505	N/A	20/40mm SIZE CLEAN GRANULAR MATERIAL
[Hatch]	TYPE A OR C FILTER MATERIAL TO SHW CL. 505 OR GRANULAR MATERIAL TO SHW CL. 503.3 (i)	N/A	0/20mm SIZE CLEAN GRANULAR MATERIAL
[Hatch]	TURF OR SEED ON TOPSOIL AS DESCRIBED IN SHW APPENDIX 5/1	N/A	TURF OR SEED ON TOPSOIL AS PER LANDSCAPE ARCHITECT'S SPECIFICATION
[Hatch]	GRANULAR MATERIAL TO SHW CL. 503.3 (i) e.g. SAND	N/A	0-4mm FINE AGGREGATE OR SHARP SAND

“BC” REFERS TO PIPE OUTER BARREL DIAMETER, EXCLUDING SOCKET SECTIONS

“WHERE SFA7 SEWERS ARE LOCATED INSIDE OR WITHIN 1m OF ADOPTED CARRIAGEWAYS (FUTURE OR EXISTING), BACKFILL AND REINSTATEMENT SHALL BE IN ACCORDANCE WITH THE RELEVANT HIGHWAY REINSTATEMENT SPECIFICATION.

NOMINAL BORE OF PIPE	SIZE (mm)	
	SINGLE SIZED	GRADED
100-125	10	-
150-200	10 OR 14	14 TO 5
225-300	10, 14 OR 20	14 TO 5
375-500	14 OR 20	14 TO 5
		OR
EXCEEDING 500	14, 20 OR 40	14 TO 5
		OR
		40 TO 5

TABLE 2: SIZE OF GRANULAR MATERIAL FOR PIPE BEDDING (CONTINUED)

CLASS	MACHINE DUG UNIFORM SOIL, ROCK OR MIXED SOILS
N,F,B & S	NOTE (i)
A & Z	NOTE (ii)

(i) Y=BC/6, WITH MIN 100mm UNDER BARRELS (50mm IF SLEEVE JOINTED) AND MIN 50mm UNDER SOCKETS, WHICHEVER IS THE GREATER

(ii) Y=BC/4, WITH MIN 200 UNDER BARRELS (150 FOR SLEEVE JOINTED) AND MIN 150 UNDER SOCKETS, WHICHEVER IS THE GREATER

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**NOTES**

- THIS DRAWING SHOULD BE READ IN CONJUNCTION WITH ALL RELATED DOCUMENTATION AND DRAWINGS.
- ALL DIMENSIONS ARE IN MILLIMETRES UNLESS STATED OTHERWISE.
- THE WORKS SHALL BE CARRIED OUT IN ACCORDANCE WITH THE DFT MCHW, DMRS AND MIDDLESBROUGH COUNCIL REQUIREMENTS.
- REFER TO BELOW GROUND DRAINAGE AND LEVELS DRAWINGS FOR SITE SPECIFIC DETAILS OF DRAINAGE.
- FOR DESIGNED, DESIGNATED OR STANDARDISED PRESCRIBED CONCRETE REFER TO BS EN 206-1 AND BS 8500. THEY SHALL HAVE A 20mm NOMINAL MAXIMUM SIZE OF AGGREGATE, AND A SLUMP CLASS S2 FOR TARGET 70mm AND NO ADMIXTURES.
- CONCRETE PIPES TO BE TO BS EN 1916 & BS 5911-1, CLAYWARE PIPES TO BE TO BS EN 295, DUCTILE IRON PIPES TO BE TO BS EN 598 & PLASTIC PIPES TO BS EN 13476-1 AND 13476-2
- ALL TRENCHES SITUATED WITHIN TRAFFICKED AREAS TO BE BACKFILLED IN ACCORDANCE WITH HAUC SPECIFICATION FOR THE REINSTATEMENT OF OPENINGS IN HIGHWAYS APPENDIX A1 CLASSES A,B,C,D.
- BACKFILL TO TRENCHES TO BE SELECTED AS-DUG MATERIAL IN ACCORDANCE WITH BUILDING REGULATIONS APPROVED DOCUMENT H.
- NOTE THE MAXIMUM TRENCH WIDTH MUST NOT BE EXCEEDED. IF THE WIDTH IS EXCEEDED THE CONTRACTOR MUST SUBMIT REVERSED BEDDING PROPOSALS TO THE SUPERVISING OFFICER/ENGINEER.
- SOFT SPOTS SHALL BE REMOVED FROM THE BOTTOM OF THE TRENCH AND OTHER EXCAVATIONS AND THEN BE REFILLED TO FORMATION LEVEL WITH THE SAME MATERIAL AS THE PERMANENT WORK WHICH IS TO REST ON THAT FORMATION. OVERDIG SHALL BE TREATED IN THE SAME MANNER AT CONTRACTORS EXPENSE AS INSTRUCTED BY THE SUPERVISING OFFICER/ENGINEER.
- NOT WITHSTANDING SPECIFIC REQUIREMENTS FOR INDIVIDUAL CHAMBER TYPES ALL PIPES LEADING TO AND FROM CHAMBERS SHALL INCLUDE ROCKER PIPES.
- INSPECTION CHAMBERS SHALL BE IN ACCORDANCE WITH THE RELEVANT BRITISH STANDARD FOR THEIR MATERIAL, AS STATED IN TABLE 14 OF BUILDING REGULATIONS APPROVED DOCUMENT H.
- ALL PIPES SHALL BE LAID SOFFIT TO SOFFIT UNO.
- PCC MANHOLES, SOAKAWAYS & COVER SLABS TO BE BS EN 1917 AND BS 5911-3.
- PREFORMED SWEEP CHANNELS SHALL BE USED AT JUNCTIONS AND NO BRANCH SHALL ENTER AT LESS THAN 90 DEGREES FROM THE OUTGOING SEWER.
- MANHOLE ACCESS OPENINGS TO BE IN ACCORDANCE WITH TABLE 12 OF BUILDING REGULATIONS APPROVED DOCUMENT H.
- ALL MANHOLE COVERS SHOULD BE IN ACCORDANCE AND BE BEDDED AND HAUNCHED IN MORTAR.
- WHERE THERE IS DOUBT AS TO WHICH MANHOLE COVER SHOULD BE USED, A STRONGER CLASS SHOULD BE SELECTED. FRAMES FOR MANHOLES SHALL BE BEDDED IN CLASS M1 BEDDING MORTAR.
- ALL MANHOLE FRAMES TO BE SET PARALLEL TO ADJACENT KERBS OR NEAREST BUILDINGS AND COVERS AND FRAMES TO BE FLUSH WITH SURFACE ±5mm MAX.
- COMPRESSIBLE FILLER TO PIPELINES TO BE USED TO INTERRUPT CONCRETE PROTECTION TO PIPELINES AND SHALL CONSIST OF BITUMEN IMPREGNATED INSULATING BOARD TO BS 1142 AT EACH PIPE JOINT.
- REFERENCE SHALL BE MADE TO THE MANUFACTURER'S INSTRUCTIONS FOR PROPRIETARY PRODUCTS. CONSIDERATION WILL BE GIVEN TO ALTERNATIVE PRODUCTS OF EQUAL QUALITY BUT THE CONTRACTOR MAY NOT USE A SUBSTITUTE MATERIAL WITHOUT PRIOR WRITTEN APPROVAL OF THE SUPERVISING OFFICER/ENGINEER.
- CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.

PO2	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
PO1	23/07/24	NR	ISSUE FOR COSTING	JS	PWW
DR	16/07/24	NR	DRAFT ISSUE	JS	PWW
REV	DATE	BY	DESCRIPTION	CHK	APP

DRAWING STATUS: **S2 - FOR INFORMATION**

**wsp**

Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
T+44 (0) 191 226 2000, F+44 (0) 191 226 2104  
wsp.com

CLIENT:

**TEES VALLEY**

SITE/PROJECT: **LINTHORPE ROAD RESTORATION**

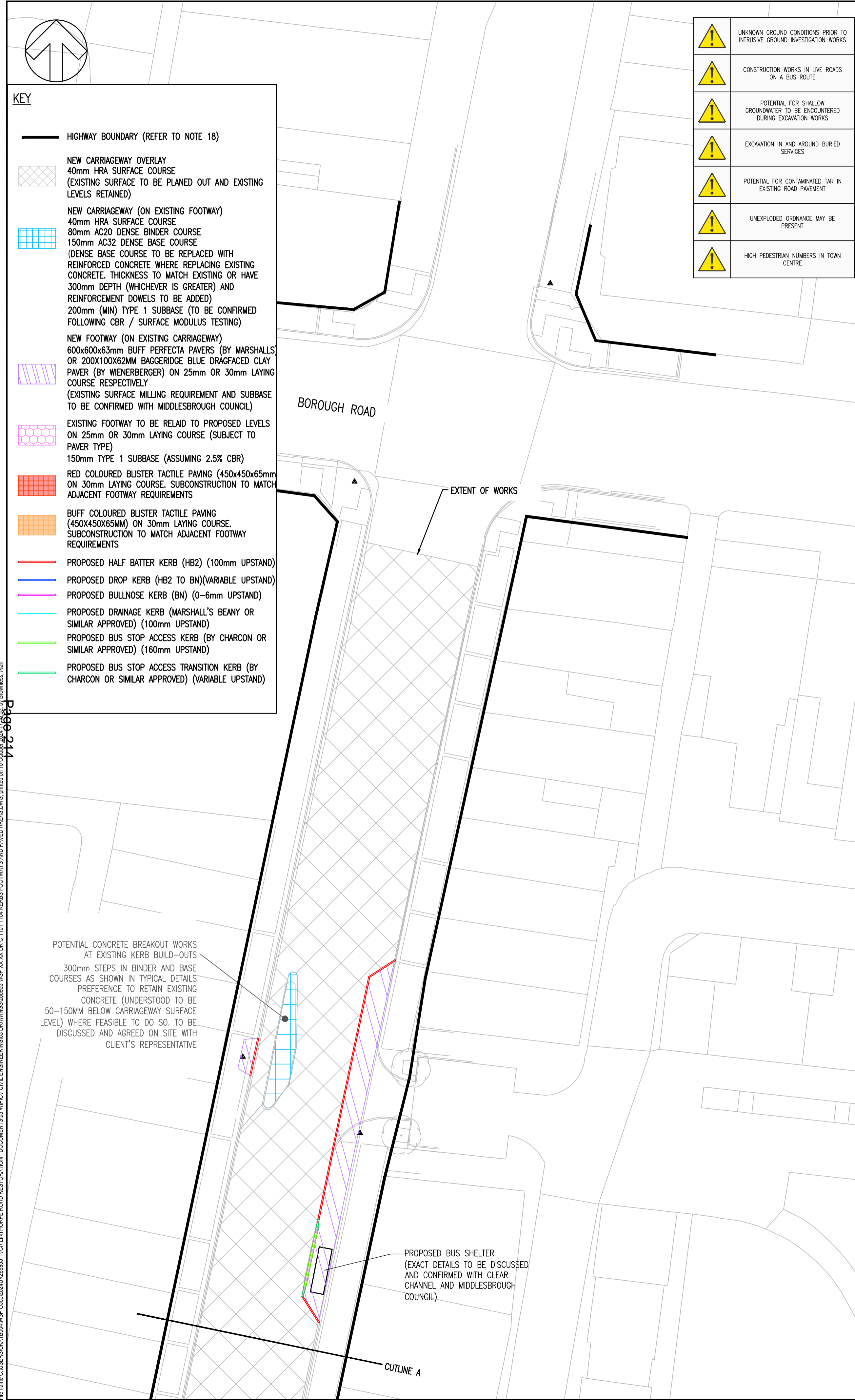
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SCALE @ AT:	CHECKED:	APPROVED:
NTS	JS	PWW

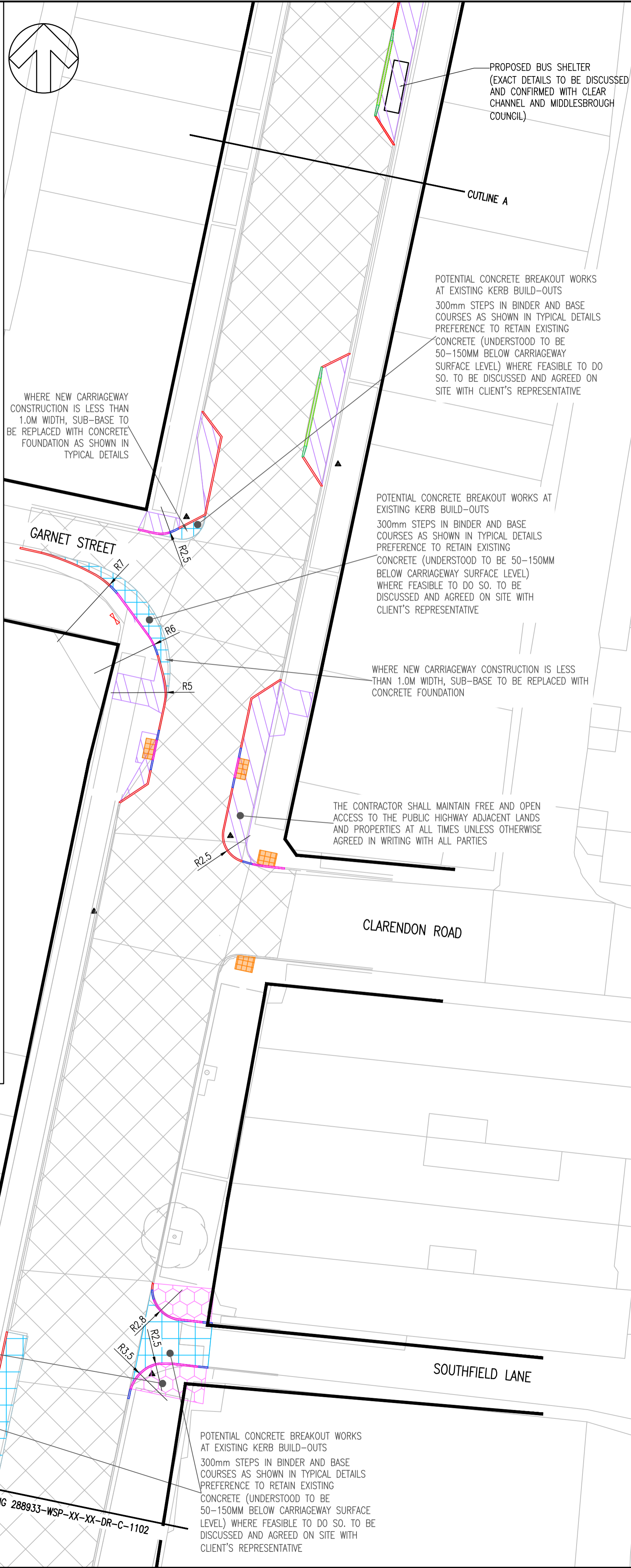
PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024

DRAWING NO:	REV:
288933-WSP-XX-XX-DR-C-0511	PO2

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- ### NOTES
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 -288933-WSP-XX-XX-DR-C-0101-0104  
 -288933-WSP-XX-XX-DR-C-1101-1104  
 -288933-WSP-XX-XX-DR-C-0201-0204  
 -288933-WSP-XX-XX-DR-C-0111
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  - ALL PROPOSED KERBS ARE TO TIE INTO EXISTING KERB ALIGNMENTS.
  - ALL PROPOSED PAVING LEVELS ARE TO TIE INTO EXISTING PAVING LEVELS AND BE FREE FROM PROTRUDING STEPS FROM THE FINISHED LEVEL.
  - STREET FURNITURE, KERBS, GULLIES, ETC. SHALL BE COVERED WITH A SUITABLE MASKING MATERIAL TO PREVENT OVER SPRAY OF BITUMINOUS MATERIALS.
  - IN THE AREAS OF NEW CARRIAGEWAY CONSTRUCTION, WHERE THE WIDTH OF CARRIAGEWAY IS LESS THAN 1.0M, CONCRETE FILL TYPE ST1 / ST2 OR OTHER SIMILAR SPECIFICATION AS APPROVED BY MIDDLESBROUGH COUNCIL TO BE USED AS A REPLACEMENT FOR TYPE 1 SUBBASE.
  - AREAS OF FOOTWAY / HARDSTANDING & GRASSED VERGES TO BE MADE GOOD ONCE NEW KERBING / PAVING HAS BEEN INSTALLED.
  - ALL FOUNDATIONS SHOULD BE PROOF ROLLED PRIOR TO CONSTRUCTION WITH AND SOFT OR LOOSE POCKETS REPLACED WITH SUITABLE GRANULAR FILL MATERIAL.
  - WHERE SUBGRADE SURFACE MODULUS HAS A VALUE OF LESS THAN 30MPa (APPROX.2.5% CBR), IT MUST BE IMPROVED IN ACCORDANCE WITH DMRB CD 225.
  - THE DESIGN IS BASED ON TOPOGRAPHICAL SURVEY REFERENCE ASS 2963 BY ADH SITE SURVEYS LIMITED RECEIVED FEBRUARY 2021.
  - CONFLICTING INFORMATION SHOWN ON THE ENGINEER'S DRAWINGS OR DISCREPANCIES BETWEEN THE INFORMATION GIVEN BY THE ENGINEER AND THAT PROVIDED BY OTHERS MUST BE REFERRED TO THE ENGINEER BEFORE THE WORKS COMMENCE.
  - ALL REPAIRS TO THE EXISTING FOOTWAY RESULTING FROM CONSTRUCTION, NOT INDICATED ON THIS DRAWING, SHALL BE REINSTATED TO MATCH EXISTING.
  - WHERE IT IS NECESSARY TO AMEND BLOCK PAVING / KERB SIZES, IT IS ADVISED TO MEASURE AND CUT MATERIALS OFF-SITE, OR THE USE OF A BLOCK SPLITTER, TO REDUCE EXPOSURE TO DUST AND NOISE POLLUTION.
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**DO NOT SCALE**

#### SAFETY HEALTH & ENVIRONMENTAL INFORMATION BOX

HEALTH AND SAFETY SYMBOLS LEGEND

XXX	INDICATES A RESIDUAL RISK REQUIRING A COMPULSORY ACTION	XXX	INDICATES A RESIDUAL RISK FOR INFORMATION
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DSSM (MPa)	30	40	50	70	100	150
THICKNESS (mm)	420	330	270	230	200	200

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REV	DATE	BY	DESCRIPTION	CHK	APP
P04	10/10/24	AB	UPDATED FOLLOWING CLIENT REQUIREMENTS	JS	PWW
P03	12/09/24	NR	UPDATED FOLLOWING CLIENT REVIEW	JS	PWW
P02	31/07/24	NR	ISSUED FOR CLIENT APPROVAL	JS	PWW
P01	23/07/24	NR	ISSUE FOR COST ESTIMATE	JS	PWW
DR	16/07/24	NR	DRAFT ISSUE	JS	PWW

DRAWING STATUS:

Amber Court, William Armstrong Drive, Newcastle upon Tyne, NE4 7YQ, UK  
 T+ 44 (0) 191 226 2000, F+ 44 (0) 191 226 2104  
 wsp.com

CLIENT:

SITE/PROJECT:

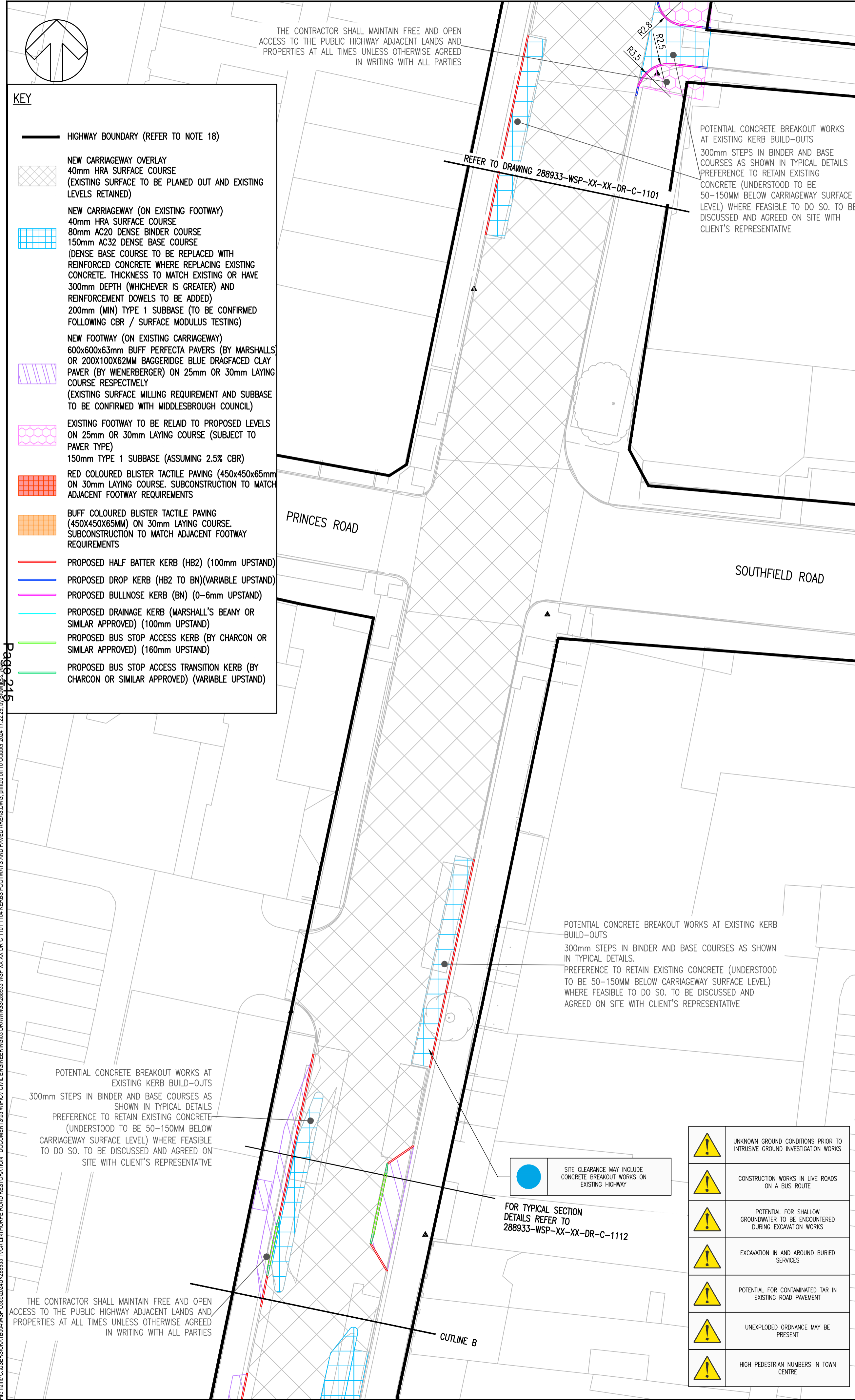
LINTHORPE ROAD RESTORATION

TITLE:

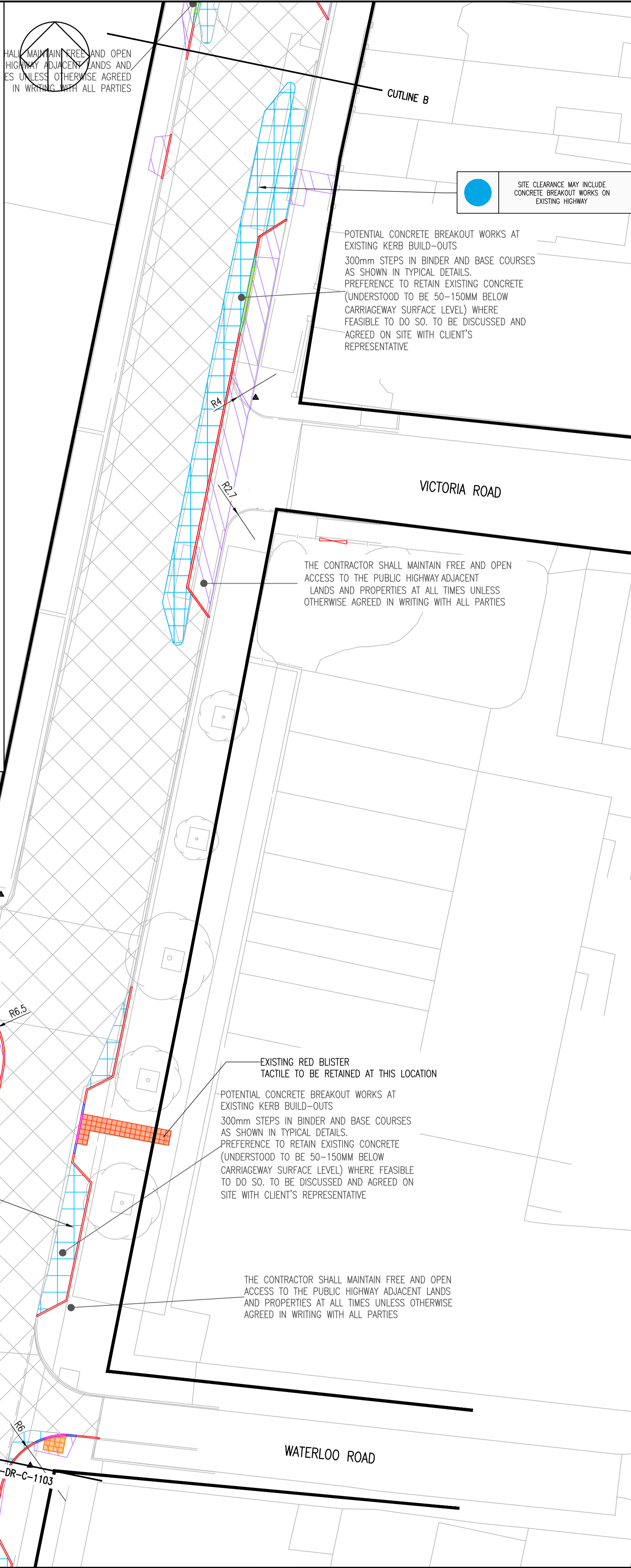
KERBS, FOOTWAYS AND PAVED AREAS  
(SHEET 1 OF 4)

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DRAWN:	NR
DRAWING NO:	288933-WSP-XX-XX-DR-C-1101	DATE:	JULY 2024	REV:	P04

File name: C:\USERS\WATB001\WSP\_0360\2024\288933\_TVC\LINTHORPE ROAD RESTORATION - DOCUMENTS\01\_MP\CV\01\_ENGINEERING\01\_DRAWINGS\288933-WSP-XX-XX-DR-C-1101-1101\_KERBS FOOTWAYS AND PAVED AREAS.DWG, printed on 10 October 2024, 14:56:45, by: WATB001, Plotter: HP DesignJet 2000



- NOTES**
- THIS DRAWING SHOULD BE READ IN CONJUNCTION WITH ALL RELEVANT DOCUMENTATION DRAWINGS AND STANDARD DETAILS BUT WITH PARTICULAR REFERENCE TO THE FOLLOWING  
 -288933-WSP-XX-XX-DR-C-0101-0104  
 -288933-WSP-XX-XX-DR-C-1101-1104  
 -288933-WSP-XX-XX-DR-C-0201-0204  
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**TEES VALLEY**

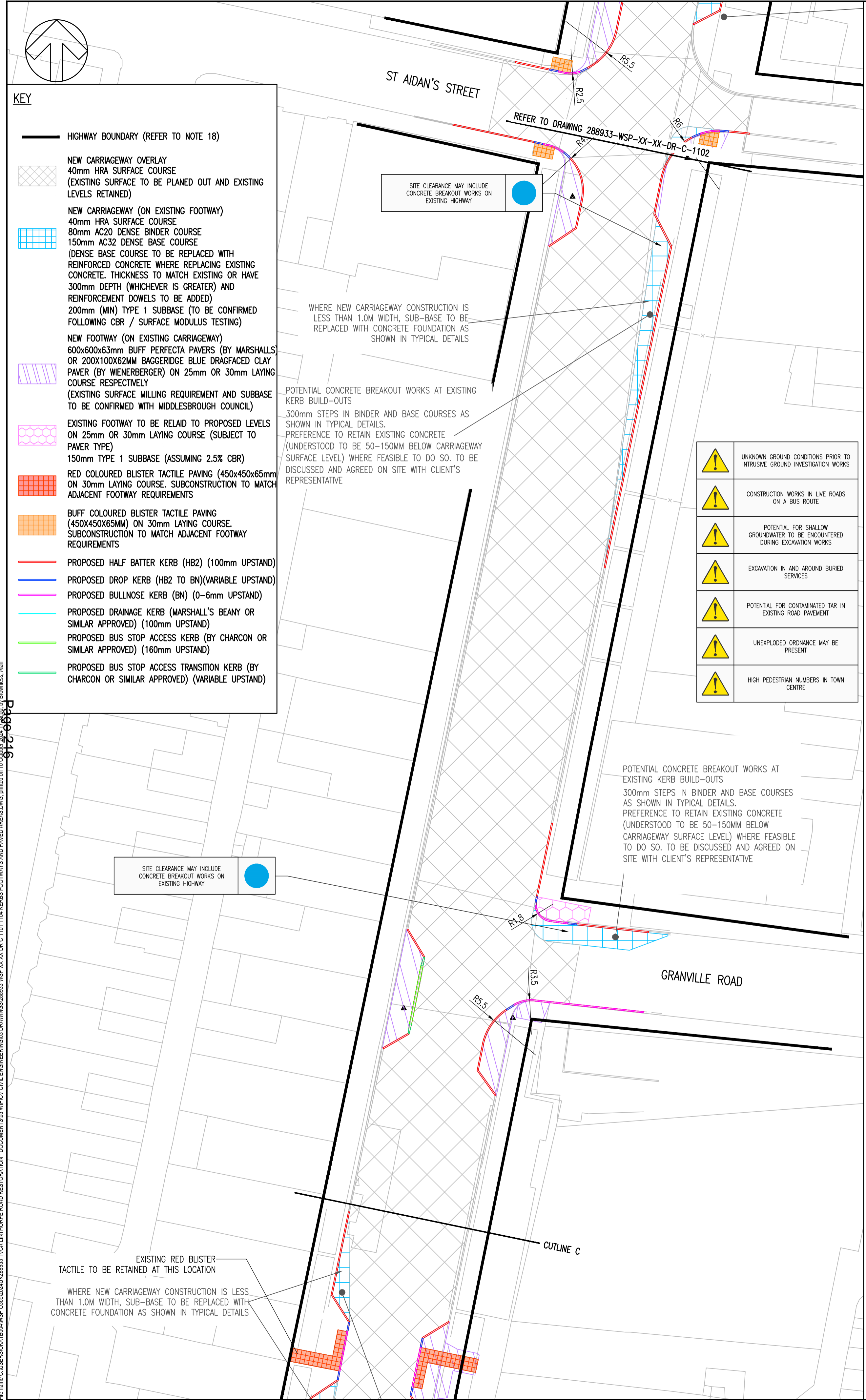
**LINTHORPE ROAD RESTORATION**

**KERBS, FOOTWAYS AND PAVED AREAS (SHEET 2 OF 4)**

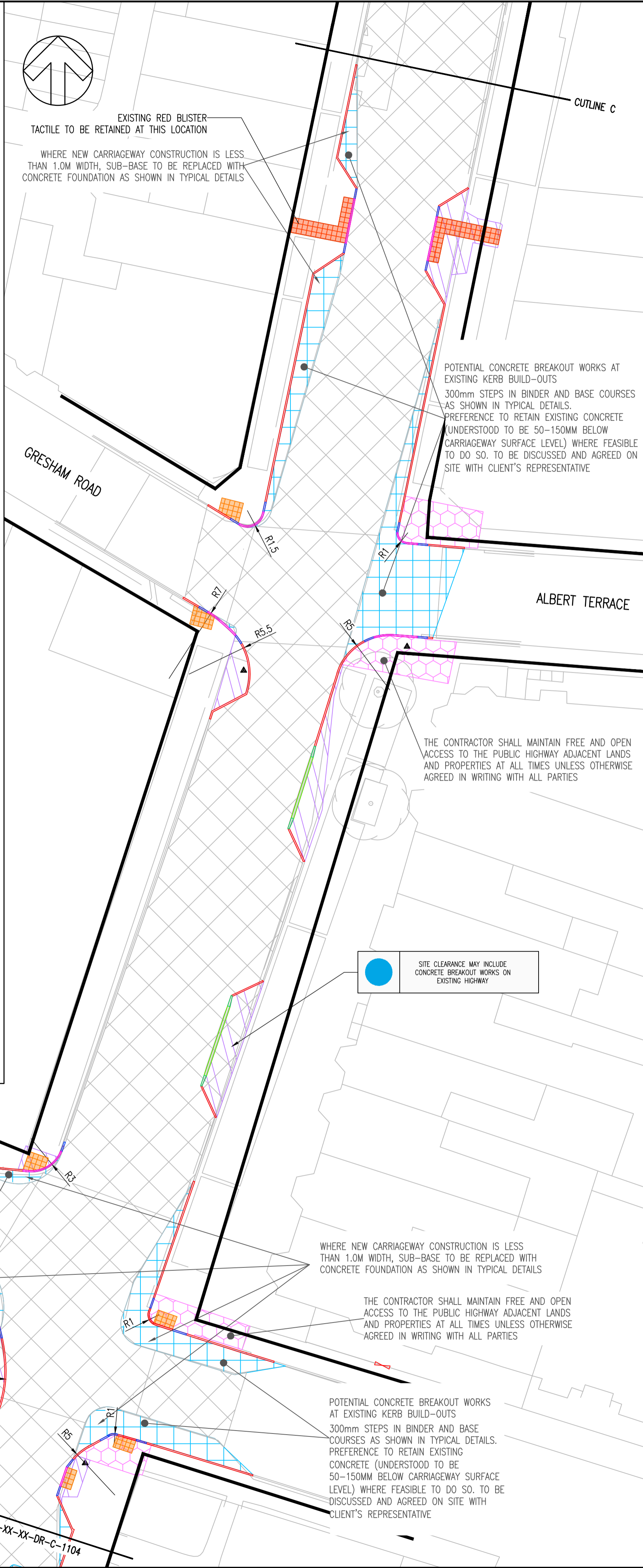
SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DATE:	JULY 2024
DRAWING NO:	288933-WSP-XX-XX-DR-C-1102	REV:	P04		

File name: C:\USERS\WATBOW\SP\_0360\2024\288933\TVC\LINTHORPE ROAD RESTORATION - DOCUMENTS\DWG\DWG\ENGINEERING\DWG\DRAWINGS\WSP-XX-XX-DR-C-1101-1104\KERBS FOOTWAYS AND PAVED AREAS.DWG, printed on 10 October 2024 17:22:28, by: Boudie, AB

- |  |   |
|--|---|
|  | UNKNOWN GROUND CONDITIONS PRIOR TO INTRUSIVE GROUND INVESTIGATION WORKS     |
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|  | POTENTIAL FOR SHALLOW GROUNDWATER TO BE ENCOUNTERED DURING EXCAVATION WORKS |
|  | EXCAVATION IN AND AROUND BURIED SERVICES                                    |
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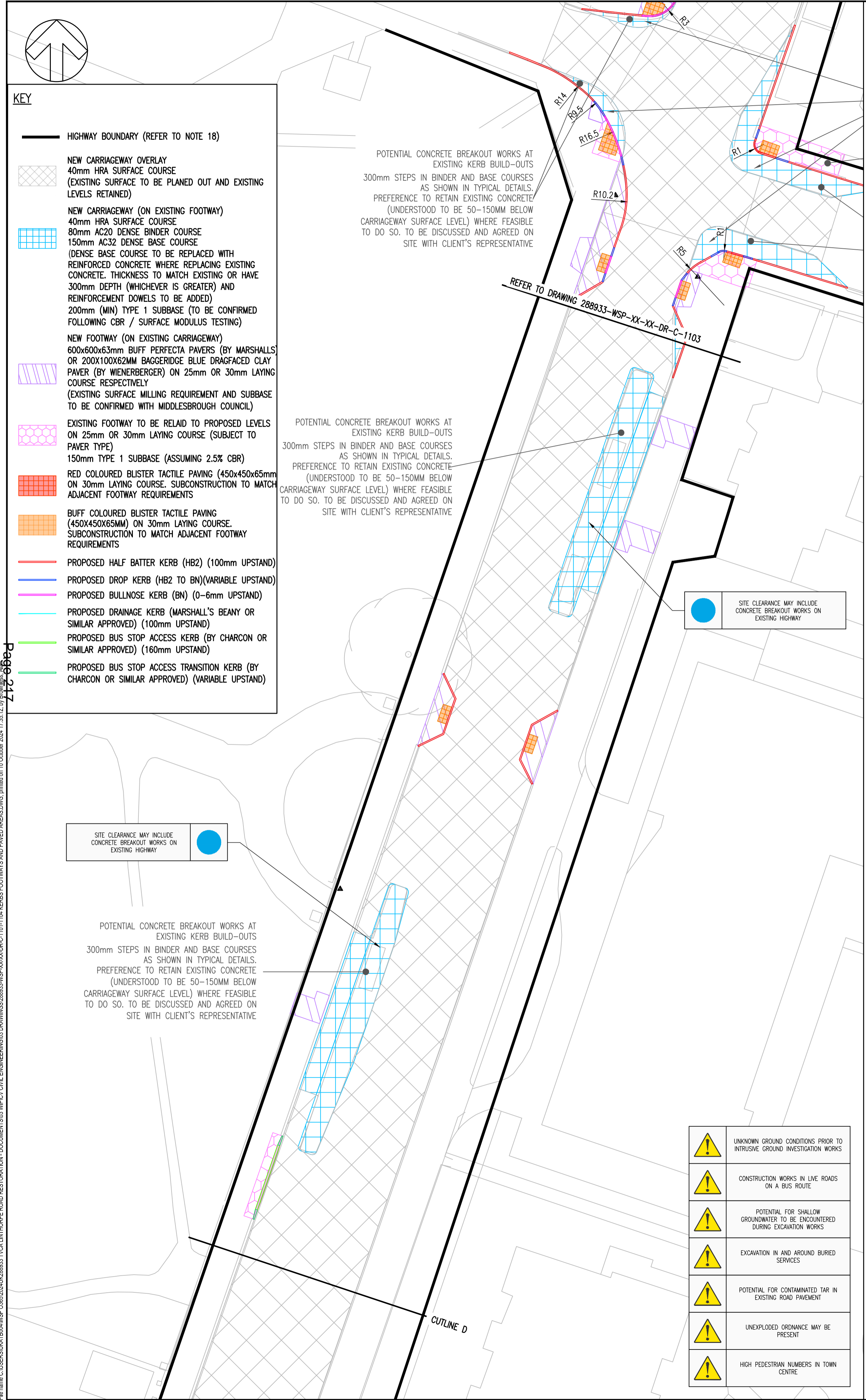
LINTHORPE ROAD RESTORATION

TITLE:

KERBS, FOOTWAYS AND PAVED AREAS (SHEET 3 OF 4)

SCALE @ A1:	1:250	CHECKED:	JS	APPROVED:	PWW
PROJECT NO:	2024UK293315	DESIGNED:	NR	DATE:	JULY 2024
DRAWING NO:	288933-WSP-XX-XX-DR-C-1103	REV:			
					P04





- KEY**
- HIGHWAY BOUNDARY (REFER TO NOTE 18)
  - NEW CARRIAGEWAY OVERLAY  
40mm HRA SURFACE COURSE  
(EXISTING SURFACE TO BE PLANNED OUT AND EXISTING LEVELS RETAINED)
  - NEW CARRIAGEWAY (ON EXISTING FOOTWAY)  
40mm HRA SURFACE COURSE  
80mm AC20 DENSE BINDER COURSE  
150mm AC32 DENSE BASE COURSE  
(DENSE BASE COURSE TO BE REPLACED WITH REINFORCED CONCRETE WHERE REPLACING EXISTING CONCRETE. THICKNESS TO MATCH EXISTING OR HAVE 300mm DEPTH (WHICHEVER IS GREATER) AND REINFORCEMENT DONELS TO BE ADDED)  
200mm (MIN) TYPE 1 SUBBASE (TO BE CONFIRMED FOLLOWING CBR / SURFACE MODULUS TESTING)
  - NEW FOOTWAY (ON EXISTING CARRIAGEWAY)  
600x600x63mm BUFF PERFECTA PAVERS (BY MARSHALLS OR 200X100X62MM BAGGERIDGE BLUE DRAGFACED CLAY PAVES (BY WIENERBERGER) ON 25mm OR 30mm LAYING COURSE RESPECTIVELY  
(EXISTING SURFACE MILLING REQUIREMENT AND SUBBASE TO BE CONFIRMED WITH MIDDLESBROUGH COUNCIL)
  - EXISTING FOOTWAY TO BE RELAID TO PROPOSED LEVELS ON 25mm OR 30mm LAYING COURSE (SUBJECT TO PAVES TYPE)  
150mm TYPE 1 SUBBASE (ASSUMING 2.5% CBR)
  - RED COLOURED BLISTER TACTILE PAVING (450x450x65mm) ON 30mm LAYING COURSE. SUBCONSTRUCTION TO MATCH ADJACENT FOOTWAY REQUIREMENTS
  - BUFF COLOURED BLISTER TACTILE PAVING (450x450x65mm) ON 30mm LAYING COURSE. SUBCONSTRUCTION TO MATCH ADJACENT FOOTWAY REQUIREMENTS
  - PROPOSED HALF BATTER KERB (HB2) (100mm UPSTAND)
  - PROPOSED DROP KERB (HB2 TO BN)(VARIABLE UPSTAND)
  - PROPOSED BULLNOSE KERB (BN) (0-6mm UPSTAND)
  - PROPOSED DRAINAGE KERB (MARSHALL'S BEANY OR SIMILAR APPROVED) (100mm UPSTAND)
  - PROPOSED BUS STOP ACCESS KERB (BY CHARCON OR SIMILAR APPROVED) (160mm UPSTAND)
  - PROPOSED BUS STOP ACCESS TRANSITION KERB (BY CHARCON OR SIMILAR APPROVED) (VARIABLE UPSTAND)

Page 217

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SITE/PROJECT:  
**LINTHORPE ROAD RESTORATION**

TITLE:  
**KERBS, FOOTWAYS AND PAVED AREAS (SHEET 4 OF 4)**

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1:250	JS	PWW	
PROJECT NO:	DESIGNED:	DRAWN:	DATE:
2024UK293315	NR	NR	JULY 2024
DRAWING NO:	REV:		
288933-WSP-XX-XX-DR-C-1104	P04		

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**Template for Impact Assessment Level 1: Initial screening assessment**

<b>Subject of assessment:</b>	Linthorpe Road Cycleway Retention			
<b>Coverage:</b>	To cover the proposed retention of the cycleway on Linthorpe Road between Borough Road and Ayresome Street			
<b>This is a decision relating to:</b>	<input type="checkbox"/> Strategy	<input type="checkbox"/> Policy	<input type="checkbox"/> Service	<input type="checkbox"/> Function
	<input type="checkbox"/> Process/procedure	<input type="checkbox"/> Programme	<input checked="" type="checkbox"/> Project	<input checked="" type="checkbox"/> Review
	<input type="checkbox"/> Organisational change	<input type="checkbox"/> Other (please state)		
<b>It is a:</b>	<b>New approach:</b>	<input type="checkbox"/>	<b>Revision of an existing approach:</b>	<input type="checkbox"/>
<b>It is driven by:</b>	<b>Legislation:</b>	<input type="checkbox"/>	<b>Local or corporate requirements:</b>	<input type="checkbox"/>

<b>Description:</b>	<p><b><u>Key aims, objectives and activities</u></b></p> <p>The aim of the report and assessment is to evaluate the options around the decision whether to retain the current infrastructure or remove it. This impact assessment sets out the likely understood impact of a decision to retain the infrastructure. A further impact assessment has been completed to assess the possible decision to remove the infrastructure.</p> <p><b><u>Statutory drivers</u></b></p> <p>As a Highway Authority, the Council has statutory duties, as set out within the Traffic Management Act 2004. “It is the duty of a Local Traffic Authority to manage their road network with a view to achieving, so far as is reasonably practicable having regard to their other obligations, policies and objectives, the following objectives;</p> <p>(a) Securing the expeditious movement of traffic on the Authority’s road network; and</p> <p>(b) Facilitating the expeditious movement of traffic on road networks for which another Authority is the Traffic Authority.”</p> <p>The introduction of cycle facilities will allow the Council to provide safe, attractive facilities to encourage uptake of active, sustainable transport.</p> <p>The proposals follow Department for Transport (DfT) guidance in the form of LTN 1/20, which sets out the requirements to install quality infrastructure to enable more people to cycle safely and more often.</p> <p><b><u>Differences from any previous approach</u></b></p> <p>Retaining the corridor layout will not result in any changes.</p> <p><b><u>Key stakeholders and intended beneficiaries</u></b> (internal and external as appropriate)</p> <p>Key stakeholders include Residents, Businesses, Politicians, Council Officers, Public Transport operators, disability groups, taxis, Emergency services, Tees Valley Combined Authority and visitors to the area</p> <p><b><u>Intended outcomes</u></b></p> <p>This impact assessment sets out the impact of the proposal to retain the infrastructure will allow the increase in sustainable modes, and ensure that accident levels have the best possible chance of remaining low. A solution to address the trip hazard can be implemented should the infrastructure be retained. The scheme has witnessed the following positive statistics since implementation:</p> <ul style="list-style-type: none"> <li>- 48% increase in the number of cycles on average per day.</li> <li>- 17% increase in the number of pedestrians on average per day.</li> <li>- 2% increase in the number of cars on average per day.</li> <li>- 7% increase in the number of movements overall on average per day.</li> <li>- 9% reduction in cycling related accidents.</li> </ul>
<b>Live date:</b>	February 2025
<b>Lifespan:</b>	N/A

Date of next review:

N/A

Screening questions	Response			Evidence
	No	Yes	Uncertain	
<b>Human Rights</b> Could the decision impact negatively on individual Human Rights as enshrined in UK legislation?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The project aims to improve access to sustainable transport for all residents. This will assist in improving accessibility to education, employment, training, retail and leisure facilities by making reasonable adjustments to services provided to new proposals, and retrofitting existing infrastructure, and therefore not impact negatively upon human rights.</p> <p>Evidence used to inform this assessment includes analysis of the Human Rights Act 1998.</p>
<b>Equality</b> Could the decision result in adverse differential impacts on groups or individuals with characteristics protected in UK equality law? Could the decision impact differently on other commonly disadvantaged groups?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The infrastructure was installed to include recommendations identified from a pre-scheme EIA. This included the creation of disabled car parking spaces to mitigate the impact of a reduction in general capacity. Retaining the infrastructure as is will retain the disabled parking spaces recommended.</p> <p>Since implementation, there has been some discussion from the RNIB that the bus stop provision is not suitable for visual impairment as it requires users to cross the cycleway to access the waiting facility. There are zebra crossings at the locations with the required tactile paving and other infrastructure to support accessibility, but poor behaviour (not giving way by cyclists) remains a problem globally. The provision however fits with LTN 1/20 guidelines relating the government policy.</p> <p>It is therefore not anticipated that there are any adverse impacts upon equality.</p> <p>Evidence to support this assessment includes analysis of the current provision which allows all people to use the facilities. The proposed decision impact which will be that this continues to be accessible to people from all disadvantaged groups.</p>
<b>Community cohesion</b> Could the decision impact negatively on relationships between different groups, communities of interest or neighbourhoods within the town?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>Although the project has received criticism, there is no evidence to suggest that retaining the infrastructure will impact negatively upon relationships between different community groups. Businesses are opposed to the infrastructure as they claim there is a detrimental impact upon them, however this is unsubstantiated. This project will help to maintain sustainable access routes to communities and safe road networks. Anti-social and illegal behaviour (failing to give way to pedestrians on Zebra crossings at bus stop islands) remains a global problem, and could create community tension between highway users. This is not an issues specific to this scheme, so it is anticipated that this will not create a specific cohesion issue.</p> <p>Evidence to support this assessment includes analysis of the current provision which allows all people to use the facilities. The proposed decision impact which will be that this continues to be accessible to all of the community.</p>

\* Consult the Impact Assessment further guidance for details on the issues covered by each of these broad questions prior to completion.

Screening questions	Response			Evidence
<b>Armed Forces</b> Could the decision impact negatively on those who are currently members of the armed forces of former members in the areas of Council delivered healthcare, compulsory education and housing policies?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	People who access services such as Council delivered Healthcare, compulsory education and housing typically are less affluent, and less likely to have access to a private car. The retention of infrastructure that supports social mobility will assist these people accessing services. Evidence to support this assessment includes analysis of the current provision which allows all people to use the facilities. The proposed decision impact which will be that this continues to be accessible to Armed Forces.
<b>Care leavers</b> Could the decision impact negatively on those who are care experienced?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	People who have been supported by care are typically are less affluent, and less likely to have access to a private car. The retention of infrastructure that supports social mobility will assist these people accessing services. Evidence to support this assessment includes analysis of the current provision which allows all people to use the facilities. The proposed decision impact which will be that this continues to be accessible to Care Leavers.
<b>Next steps:</b> ➡ If the answer to all of the above screening questions is No then the process is completed. ➡ If the answer of any of the questions is Yes or Uncertain, then a Level 2 Full Impact Assessment must be completed.				

<b>Assessment completed by:</b>	Chris Orr	<b>Head of Service:</b>	Craig Cowley
<b>Date:</b>	16 <sup>th</sup> January 2025	<b>Date:</b>	16 <sup>th</sup> January 2025

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Template for Impact Assessment Level 1: Initial screening assessment

<b>Subject of assessment:</b>	Linthorpe Road Cycleway Removal			
<b>Coverage:</b>	To cover the proposed removal of the cycleway on Linthorpe Road between Borough Road and Ayresome Street			
<b>This is a decision relating to:</b>	<input type="checkbox"/> Strategy	<input type="checkbox"/> Policy	<input type="checkbox"/> Service	<input type="checkbox"/> Function
	<input type="checkbox"/> Process/procedure	<input type="checkbox"/> Programme	<input checked="" type="checkbox"/> Project	<input type="checkbox"/> Review
	<input type="checkbox"/> Organisational change	<input type="checkbox"/> Other (please state)		
<b>It is a:</b>	<b>New approach:</b>	<input type="checkbox"/>	<b>Revision of an existing approach:</b>	<input checked="" type="checkbox"/>
<b>It is driven by:</b>	<b>Legislation:</b>	<input type="checkbox"/>	<b>Local or corporate requirements:</b>	<input checked="" type="checkbox"/>

## Description:

**Key aims, objectives and activities**

The aim of the report and assessment is to evaluate the options around the decision whether to retain the current infrastructure or remove it. This impact assessment sets out the likely understood impact of a decision to retain the infrastructure. A further impact assessment has been completed to assess the possible decision to retain the infrastructure

**Statutory drivers**

As a Highway Authority, the Council has statutory duties, as set out within the Traffic Management Act 2004. "It is the duty of a Local Traffic Authority to manage their road network with a view to achieving, so far as is reasonably practicable having regard to their other obligations, policies and objectives, the following objectives;

- (a) Securing the expeditious movement of traffic on the Authority's road network; and
- (b) Facilitating the expeditious movement of traffic on road networks for which another Authority is the Traffic Authority."

The introduction of cycle facilities will allow the Council to provide safe, attractive facilities to encourage uptake of active, sustainable transport.

The proposals follow Department for Transport (DfT) guidance in the form of LTN 1/20, which sets out the requirements to install quality infrastructure to enable more people to cycle safely and more often.

**Differences from any previous approach**

The Council has not reversed a scheme of this size on the basis of Political decision alone.

**Key stakeholders and intended beneficiaries** (internal and external as appropriate)

Key stakeholders include Residents, Businesses, Politicians, Council Officers, Public Transport operators, disability groups, taxis, Emergency services, Tees Valley Combined Authority and visitors to the area.

**Intended outcomes**

Removal will create more car parking/loading space along the corridor, and remove the issues raised surrounding pedestrian safety from those tripping on infrastructure crossing at non designated crossing points.

<b>Live date:</b>	November 2025, pending construction requirements
<b>Lifespan:</b>	N/A
<b>Date of next review:</b>	N/A

Screening questions	Response			Evidence
	No	Yes	Uncertain	
<b>Human Rights</b> Could the decision impact negatively on individual Human Rights as enshrined in UK legislation?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The project will remove sustainable transport infrastructure in support of additional vehicular capacity. This will improve accessibility to the local economy, however will reduce access to the wider Town Centre for those without access to private cars.</p> <p>Evidence used to inform this assessment includes analysis of the Human Rights Act 1998.</p>
<b>Equality</b> Could the decision result in adverse differential impacts on groups or individuals with characteristics protected in UK equality law? Could the decision impact differently on other commonly disadvantaged groups?*	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>The infrastructure that was installed considered the needs of those with disabilities (mobility and visual impairment for example) by creating disabled car parking spaces to ensure accessibility in light of the removal of parking spaces for those with blue badges. There is no indication from the proposed layout that this provision will be retained, although there will be an increase in capacity for all vehicles.</p> <p>The proposed scheme will re-open carriageway junctions with Linthorpe Road, at Southfield Lane and Albert Terrace increasing the number of junctions that must be crossed by visually impaired. These junctions that are currently continuous footway will be reverted back to un-controlled crossings, which is detrimental to those with disabilities. This is particularly pertinent to Albert Terrace, as the off-set crossroad junction arrangement creates difficulty for vehicular movements.</p> <p>The plans also indicate that junctions that were narrowed to reduce vehicular speed and reduce crossing point distance are to be re-widened. This creates a safety issue for vulnerable road users as it will take longer to cross the road, and vehicular speed will be increased.</p> <p>The on-carriage protected cycleway physically separates different highway users, reducing the risk of collision. The removal of this protected space will create a less safe environment for vulnerable road users, such as cyclists and pedestrians. Pavement cycling is raised often as an issue from all highway users. The removal of the infrastructure is likely to increase incidents of pavement cycling due to the concerns of cycles and vehicles mixing on carriageway. Although this is illegal, it is incredibly difficult to enforce, and will likely increase incidents, which is a particular concern to those with visual impairment.</p> <p>Creating a vehicular-centric highway corridor will increase the accessibility and subsequent volume of vehicles on the corridor. This will create a more congested environment, further compounding the issues associated with Road Safety for cyclists on the carriageway, and pedestrians attempting to cross roads.</p> <p>The removal of the pedestrian signalised crossing that was installed at Clifton Street will reduce the capability for vulnerable Road users to cross the road. This will reduce designated crossing points along the corridor from 5 to 4 (20% reduction)</p> <p>The current bus stop alignment has created bus stop islands, which requires pedestrians to cross the cycleway to access. This has been raised as a concern by disability groups, and the removal would be advantageous.</p> <p>Evidence used to inform this assessment includes analysis of statutory guidance in relation to accessibility, including the Access for All legislation and from viewing the proposed infrastructure plans.</p>

\* Consult the Impact Assessment further guidance for details on the issues covered by each of these broad questions prior to completion.

Screening questions	Response			Evidence
<p><b>Community cohesion</b>            Could the decision impact negatively on relationships between different groups, communities of interest or neighbourhoods within the town?*</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>The community was consulted on the removal of the scheme, which identified that the majority were in favour of removal. The area is typically less affluent than the rest of the Borough, and car ownership is significantly lower in this area. Removing infrastructure that supports social mobility may present an accessibility barrier to those that do not have access to a private vehicle. This may create tension between those with and without vehicular accessibility, and reduction in accessibility to services.</p> <p>Evidence to support this assessment includes analysis of the current provision which allows all people to use the facilities. The proposed decision impact which will be that this may not continue to be accessible to people from all disadvantaged groups, as the infrastructure will be altered.</p>
<p><b>Armed Forces</b>            Could the decision impact negatively on those who are currently members of the armed forces of former members in the areas of Council delivered healthcare, compulsory education and housing policies?*</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>It is possible that this group of people will be impacted upon negatively. People who access services such as Council delivered Healthcare, compulsory education and housing typically are less affluent, and less likely to have access to a private car. The removal of infrastructure that supports social mobility may act as a barrier to these people accessing services.</p> <p>Evidence to support this assessment includes analysis of the removal of current provision which allows all people to use the facilities. The proposed decision impact which will be that this may not continue to be accessible to Armed Forces, as the infrastructure will be altered.</p>
<p><b>Care leavers</b>            Could the decision impact negatively on those who are care experienced?*</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>It is possible that this group of people will be impacted upon negatively. People who have been supported by care are typically are less affluent, and less likely to have access to a private car. The removal of infrastructure that supports social mobility may act as a barrier to these people accessing services.</p> <p>Evidence to support this assessment includes analysis of the removal of current provision which allows all people to use the facilities. The proposed decision impact which will be that this may not continue to be accessible to Care Leavers, as the infrastructure will be altered.</p>
<p><b>Next steps:</b></p> <ul style="list-style-type: none"> <li>➡ If the answer to all of the above screening questions is No then the process is completed.</li> <li>➡ If the answer of any of the questions is Yes or Uncertain, then a Level 2 Full Impact Assessment must be completed.</li> </ul>				

<b>Assessment completed by:</b>	Chris Orr	<b>Head of Service:</b>	Craig Cowley
<b>Date:</b>	16 <sup>th</sup> January 2025	<b>Date:</b>	16 <sup>th</sup> January 2025

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**Template for Impact Assessment Level 2: Full impact assessment**

<b>Subject of assessment:</b>	Linthorpe Road Cycleway Removal			
<b>Coverage:</b>	To cover the proposed removal of the cycleway on Linthorpe Road between Borough Road and Ayresome Street			
<b>This is a decision relating to:</b>	<input type="checkbox"/> Strategy	<input type="checkbox"/> Policy	<input type="checkbox"/> Service	<input type="checkbox"/> Function
	<input type="checkbox"/> Process/procedure	<input type="checkbox"/> Programme	<input checked="" type="checkbox"/> Project	<input type="checkbox"/> Review
	<input type="checkbox"/> Organisational change	<input type="checkbox"/> Other (please state)		
<b>It is a:</b>	<b>New approach:</b>	<input type="checkbox"/>	<b>Revision of an existing approach:</b>	<input type="checkbox"/>
<b>It is driven by:</b>	<b>Legislation:</b>	<input type="checkbox"/>	<b>Local or corporate requirements:</b>	<input checked="" type="checkbox"/>

<p><b>Description:</b></p>	<p><b><u>Key aims, objectives and activities</u></b></p> <p>The aim of the report and assessment is to evaluate the options around the decision whether to retain the current infrastructure or remove it. This impact assessment sets out the likely understood impact of a decision to retain the infrastructure. A further impact assessment has been completed to assess the possible decision to retain the infrastructure</p> <p><b><u>Statutory drivers</u></b></p> <p>As a Highway Authority, the Council has statutory duties, as set out within the Traffic Management Act 2004. “It is the duty of a Local Traffic Authority to manage their road network with a view to achieving, so far as is reasonably practicable having regard to their other obligations, policies and objectives, the following objectives;</p> <p>(a) Securing the expeditious movement of traffic on the Authority’s road network; and</p> <p>(b) Facilitating the expeditious movement of traffic on road networks for which another Authority is the Traffic Authority.”</p> <p>The introduction of cycle facilities will allow the Council to provide safe, attractive facilities to encourage uptake of active, sustainable transport.</p> <p>The proposals follow Department for Transport (DfT) guidance in the form of LTN 1/20, which sets out the requirements to install quality infrastructure to enable more people to cycle safely and more often.</p> <p><b><u>Differences from any previous approach</u></b></p> <p>The Council has not reversed a scheme of this size on the basis of Political decision alone.</p> <p><b><u>Key stakeholders and intended beneficiaries</u></b> (internal and external as appropriate)</p> <p>Key stakeholders include Residents, Businesses, Politicians, Council Officers, Public Transport operators, disability groups, taxis, Emergency services, Tees Valley Combined Authority and visitors to the area</p> <p><b><u>Intended outcomes</u></b></p> <p>Removal will create more car parking/loading space along the corridor, and remove the issues raised surrounding pedestrian safety from those tripping on infrastructure crossing at non designated crossing points</p>
<p><b>Live date:</b></p>	<p>November 2025, pending construction requirements</p>
<p><b>Lifespan:</b></p>	<p>N/A</p>
<p><b>Date of next review:</b></p>	<p>N/A</p>



Assessment issue	Impacts identified					Rationale and supporting evidence
	None	Positive	Negative		Uncertain	
			Justified	Mitigated		
<b>Human Rights</b>						
Engagement with Convention Rights (as set out in section 1, appendix 2 of the Impact Assessment Policy).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No issues identified from EIA 1.
<b>Equality</b>						
Age	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>Younger people (up to the age of 17) do not have access to private vehicles, have less disposable income and often have to travel independently. Young people are also disproportionately involved in road accidents. The removal of the segregated infrastructure will negatively impact on this road user type as it will create a safety implication that may prevent their uptake.</p> <p>The removal of the segregated infrastructure will likely result in more pavement cycling as those with no other transport choice feel it necessary to remove themselves from sharing road space with vehicles. This may increase both actual and perceived issues of collisions as pedestrians and cyclists use the same space (albeit illegally). This is often raised as an issue for pedestrians, however elderly people are more vulnerable to this activity.</p> <p>It is unlikely that these concerns can be mitigated.</p> <p>Evidence used to support this comes from a reduction in the number of complaints received regarding pavement cycling following the infrastructure installation, and from observing the infrastructure plans.</p>

Assessment issue	Impacts identified				Rationale and supporting evidence	
	None	Positive	Negative			Uncertain
			Justified	Mitigated		
Disability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>The current alignment has catered for disabled people with the creation of disabled parking bays to mitigate the reduction in overall capacity. The current scheme does not identify whether these disabled bays will be retained. The issue can be mitigated via confirmation that the disabled bays will be retained following removal of the cycleway.</p> <p>The current infrastructure layout segregates pedestrians, cyclists and motorised vehicles. This is beneficial from a road safety perspective for all road users, but particularly pertinent to address concerns from disability groups; particularly visually impaired. The removal of the segregation will likely result in more pavement cycling as those with no other transport choice feel it necessary to remove themselves from sharing road space with vehicles. This may increase both actual and perceived issues of collisions as pedestrians and cyclists use the same space (albeit illegally). This is often raised as an issue for pedestrians, however visually impaired people are more vulnerable to this activity, which is highlighted in RNIB policy. There has been a reduction in the number of complaints regarding pavement cycling since the infrastructure was installed. This will not be able to be mitigated should removal of the infrastructure proceed.</p> <p>The Re-opening of side roads, and re-widening of the crossing points will increase the volume and speed of vehicles on the carriageway. It will also increase the number and distance that people will need to cross along the corridor. These additional junctions will also not be signalised. This poses a significant risk to those with disabilities. This could be mitigated by retaining the narrower road crossings, and providing infrastructure that supports pedestrians to cross safely, such as signalised crossing points, or raised/give way infrastructure.</p> <p>The proposed scheme includes the removal of the signalised pedestrian crossing point at Clifton Street. Removal will reduce the number of safe crossing points on the route from 5 to 4. This will create severance for all pedestrians to cross the road safely, but particularly pertinent to visually impaired people, who rely on signalised crossing points. This could be mitigated by retaining the signalised crossing point at Clifton street.</p> <p>Issues surrounding the accessibility of the bus islands has been raised by RNIB as users must cross the cycleway to access. Although there are give way markings on the cycleway, anti-social/illegal movements that do not observe this requirement occur, resulting on concerns from vulnerable road users. This is a global issue which is difficult to enforce. The removal of the scheme will remove this perceived issue.</p> <p>Evidence used to justify these points relate to analysis of accident statistics (most accidents occur at junctions, therefore increasing the number of junctions increases the risk). Assessment of RNIB policy also supports segregation of cycles and pedestrians.</p>

Assessment issue	Impacts identified					Rationale and supporting evidence
	None	Positive	Negative		Uncertain	
			Justified	Mitigated		
Gender reassignment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No issues identified from EIA 1.
Pregnancy / maternity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No issues identified from EIA 1.
Race	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No issues identified from EIA 1.
Religion or belief	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No issues identified from EIA 1.
Sex	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>Women typically do not cycle as much as men. One of the main barriers for this is due to safety, both physical and perceived. The removal of segregated infrastructure will increase the physical risk associated with cycling, and is likely to impact negatively upon women wanting to cycle.</p> <p>It is unlikely that this could be mitigated. Evidence of this imbalance comes from numerous studies in to the reasons for fewer female cyclists, of which safe infrastructure is a key proponent from a physical and perceived safety issue.</p> <p><a href="https://www.cyclinguk.org/article/campaigns-guide/women-cycling">https://www.cyclinguk.org/article/campaigns-guide/women-cycling</a>  <a href="https://www.sciencedirect.com/science/article/abs/pii/S221414051830121X">https://www.sciencedirect.com/science/article/abs/pii/S221414051830121X</a></p>
Sexual Orientation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No issues identified from EIA 1.
Marriage / civil partnership**	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No issues identified from EIA 1.
Dependants / caring responsibilities**	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No issues identified from EIA 1.
Criminal record / offending past**	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No issues identified from EIA 1.

\*\* Indicates this is not included within the single equality duty placed upon public authorities by the Equality Act. See guidance for further details.

Assessment issue	Impacts identified					Rationale and supporting evidence
	None	Positive	Negative		Uncertain	
			Justified	Mitigated		
<b>Community cohesion</b>						
Individual communities / neighbourhoods	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>The area is typically less affluent than the rest of the Borough, and car ownership is significantly lower in this area. Removing infrastructure that supports social mobility may present an accessibility barrier to those that do not have access to a private vehicle. It is unlikely that this could be mitigated.</p> <p>Evidence to support this assessment includes analysis of the current provision which allows all people to use the facilities. The proposed decision impact which will be that this may not continue to be accessible to people from all disadvantaged groups, as the infrastructure will be altered.</p>
Relations between communities / neighbours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>The area is typically less affluent than the rest of the Borough, and car ownership is significantly lower in this area. Removing infrastructure that supports social mobility may present an accessibility barrier to those that do not have access to a private vehicle. It is unlikely that this could be mitigated.</p> <p>Evidence to support this assessment includes analysis of the current provision which allows all people to use the facilities. The proposed decision impact which will be that this may not continue to be accessible to people from all disadvantaged groups, as the infrastructure will be altered.</p>
<b>Armed Forces Covenant</b>						
Council delivered healthcare services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>People who access services such as Council delivered Healthcare typically are less affluent, and less likely to have access to a private car. The removal of infrastructure that supports social mobility may act as a barrier to these people accessing services. It is unlikely that this could be mitigated.</p> <p>Evidence to support this assessment includes analysis of the removal of current provision which allows all people to use the facilities. The proposed decision impact which will be that this may not continue to be accessible to Armed Forces, as the infrastructure will be altered.</p>

Assessment issue	Impacts identified					Rationale and supporting evidence
	None	Positive	Negative		Uncertain	
			Justified	Mitigated		
Compulsory Education - admissions; educational attainment and curriculum; child wellbeing; transport; attendance; additional needs support; and Service Pupil Premium funding	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>People who access services such as Council delivered compulsory education typically are less affluent, and less likely to have access to a private car. The removal of infrastructure that supports social mobility may act as a barrier to these people accessing services. It is unlikely that this could be mitigated</p> <p>Evidence to support this assessment includes analysis of the removal of current provision which allows all people to use the facilities. The proposed decision impact which will be that this may not continue to be accessible to this group, as the infrastructure will be altered.</p>
Housing, homelessness and disabled facilities grants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>People who access services such as housing typically are less affluent, and less likely to have access to a private car. The removal of infrastructure that supports social mobility may act as a barrier to these people accessing services. It is unlikely that this could be mitigated</p> <p>Evidence to support this assessment includes analysis of the removal of current provision which allows all people to use the facilities. The proposed decision impact which will be that this may not continue to be accessible to this group, as the infrastructure will be altered.</p>
<b>Care leavers</b>						
Care experienced people	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>People who have been supported by care are typically are less affluent, and less likely to have access to a private car. The removal of infrastructure that supports social mobility may act as a barrier to these people accessing services. It is unlikely that this could be mitigated</p> <p>Evidence to support this assessment includes analysis of the removal of current provision which allows all people to use the facilities. The proposed decision impact which will be that this may not continue to be accessible to Care Leavers, as the infrastructure will be altered.</p>

**Next steps:**

- If the answer to some questions remains Uncertain, then further work must be undertaken to clarify impacts. Repeat the process until there is certainty, but ensure that the amount of work undertaken is proportionate to the decision required. No relevant report should be submitted for approval until there is a satisfactory level of certainty around the impacts of the recommended decision.
- Be sure that any likely differential impacts identified through the process (positive or negative) are well evidenced and clearly marked in the template.
- Where the impact is negative, be clear that this can be justified with the justification outlined. If it cannot, the recommended decision must be reviewed.
- Where negative impacts are unjustified and *unavoidable*, actions must be put in place to remove or mitigate impacts. These should be listed in the action plan below.
- The results of the IA process (including changes made to the proposed approach and further actions) should be outlined the main body of the report, and the completed IA template appended to that report.

In addition to the above the report author may also wish to consider completing a discretionary Health impact assessment. Guidance on when this is appropriate should be sought from the Public Health team.

Further actions		Lead	Deadline
<b>Mitigating actions</b>	<p>Several mitigations can be accommodated to address inequality issues. These include:</p> <ol style="list-style-type: none"> <li>1. Confirmation that disabled car parking spaces will be retained</li> <li>2. Ensure that junctions will remain at current widths and provide infrastructure to support road crossing by pedestrians.</li> <li>3. Confirmation that signalised crossing points will be retained</li> <li>4. Increased enforcement to reduce/eliminate illegal pavement cycling</li> </ol> <p>This however only addresses some of the issues identified. It is not known how other issues could be mitigated to ensure that those with protected characteristics would be adversely impacted upon.</p>		
<b>Promotion</b>	Decisions will be publicised using the Councils website and social media opportunities.		
<b>Monitoring and evaluation</b>	Implementation of the decision will be monitored via the use of modal movement counters already in situ on the route, and monitoring complaints and concerns highlighted to the Council by the public.		

<b>Assessment completed by:</b>	Chris Orr	<b>Head of Service:</b>	Craig Cowley
<b>Date:</b>	16 <sup>th</sup> January 2025	<b>Date:</b>	16 <sup>th</sup> January 2025

**MIDDLESBROUGH COUNCIL**



<b>Report of:</b>	Director of Finance and Transformation (s151 Officer)
<b>Relevant Executive Member:</b>	Executive Member for Finance
<b>Submitted to:</b>	Executive
<b>Date:</b>	5 February 2025
<b>Title:</b>	Revenue and Capital Budget – Forecast Year-end Outturn position at Quarter Three 2024/25
<b>Report for:</b>	Decision
<b>Status:</b>	Public
<b>Council Plan priority:</b>	All
<b>Key decision:</b>	Yes
<b>Why:</b>	Decision(s) will incur expenditure or savings above £250,000 and have a significant impact in two or more wards
<b>Subject to call in :</b>	Yes
<b>Why:</b>	

**Proposed decision(s)**

That the Executive approves budget virements within the revenue budget (Appendix 3), and revisions to the capital programme in relation to activity in Quarter Three (Appendix 8 and paragraphs 4.41 and 4.42) as set out in recommendations 2.1.1 to 2.1.3.

That the Executive notes the key issues impacting the Council's financial performance as set out in recommendation 2.2.1 to 2.2.8.

## Executive summary

This report advises the Executive of the Council's forecast year-end financial outturn as at Quarter Three 2024/25, and seeks approval of budget virements within the revenue budget and revisions to the capital programme in relation to activity in Quarter Three.

The report enables the Executive to discharge its financial management responsibilities by setting out the following position at Quarter Three (31 December 2024):

- General Fund Revenue Budget forecast outturn;
- Statement of the Council's reserves and provisions;
- Capital Programme forecast outturn;
- statement of the Council's borrowing and prudential indicators;
- statement of the level of debt owed to and to be recovered by the Council;
- actions that have been taken and are planned to be taken in order address the issues identified.

The main highlights of the report are:

- the forecast 2024/25 revenue outturn as at Quarter Three is a year-end underspend of £6,000 (0.00%), and whilst this is a significant improvement from the £1.382m overspend reported at Quarter Two further management action, in consultation with Executive Members, should be considered to limit expenditure further to reduce the Council's need to draw down Exceptional Financial Support (EFS) and avoid associated capital financing costs of borrowing or use of capital receipts.
- the forecast year-end underspend of £6,000 currently includes £3.048m of net savings where there is a high risk that they will not be deliverable in 2024/25, which are offset by (£3.054m) of operational underspends.
- Based upon the Quarter Three forecast, the General Fund Balance is forecast to be £11.100m whilst the balance on usable unrestricted reserves is forecast to be £10.269m at 31 March 2025. This would be in line with that recommended by the Director of Finance in the Reserves Policy approved by Council on 8 March 2024 to rebuild the Council's financial resilience.
- The 2024/25 Capital Programme forecast year-end outturn of £65.158m at Quarter Three is a reduction of £41.983m from the revised £107.141m budget.
- This is largely due to slippage of planned expenditure from 2024/25 into 2025/26 and 2026/27. The Executive agreed measures to improve capital programme management and forecasting at its meeting on 13 November 2024.



## 1. Purpose

- 1.1 This report discharges the responsibilities of the Executive to manage and control the revenue budget, capital programme and overall balance sheet position of the Council.

## 2. Recommendations

- 2.1 The Executive is requested to **approve** recommendations **2.1.1 to 2.1.3** below:

- 2.1.1 The proposed revenue budget virements over £250,000 as detailed in Appendix 3.
- 2.1.2 The inclusion of additional expenditure budgets to the Capital Programme totalling £0.430m for 2024/25 which are externally funded (detailed in Appendix 8). Subject to approval this will increase the approved 2024/25 Capital Programme budget to £107.141m.
- 2.1.3 The proposed virements over £250,000 between schemes in the 2024/25 Capital Programme approved by Council in March 2024 which are funded from within existing Council resources (detailed in Appendix 8).

- 2.2 The Executive is requested to **note** the key issues impacting the Council's financial performance in 2024/25 set out at **2.2.1 to 2.2.8** below:

- 2.2.1 The forecast 2024/25 revenue outturn as at Quarter Three of £143.184m against an approved budget of £143.190m. This is an underspend of £6,000 (£0.006m) (0.00%) as summarised below and detailed in Table 1. This is an improvement of (£1.388m) from the £1.382m forecast year-end overspend reported at Quarter Two.

	<b>£m</b>
Adult Social Care – unachieved savings	0.659
Adult Social Care – other - mainly by maximising a one-off grant	(0.471)
Children’s Social Care – increased numbers and complexity of external residential placements	2.361
Children’s Social Care –unachieved savings	2.110
Central – savings against centrally held inflation and contingency budgets	(4.273)
Other variances (ECS, Education & Partnerships, Regeneration, Legal and Governance, Finance, and Central)	(0.392)
<b>Total</b>	<b>(0.006)</b>

- 2.2.2 The progress on savings delivery set out in Tables 3 and 4 and Appendix 4.

- 2.2.3 The Council was dependent upon Exceptional Financial Support (EFS) in setting the budget for 2024/25 approved in principle by the Ministry of Housing, Communities & Local Government (MHCLG) of up to £13.4m of

one-off borrowing, the costs which are factored into the MTFP. Of this sum £4.7m has been utilised to achieve a balanced budget in 2024/25. The forecast use of EFS has been reduced to up to £4.7m, which relates only to the element used to balance the budget (paragraph 4.5).

- 2.2.3 It is essential that all available measures are taken by management to maintain revenue expenditure within the approved budget, given the marginal Quarter Three forecast underspend. If an overspend occurs in the remainder of 2024/25 this will require further use of EFS or reserves. Both EFS and reserves can only be used once, and the financial pressure will remain in 2025/26 to be addressed.
- 2.2.4 Based upon the Quarter Three forecast outturn, the forecast revenue balances at 31 March 2025 would at £21.369m which is in line with that recommended in the approved Reserves Policy:
- General Fund Reserve of £11.100m (minimum recommended)
  - Council's unrestricted usable earmarked reserves of £10.269m
- 2.2.5 The 2024/25 Capital Programme forecast year end outturn of £65.158m at Quarter Three is a reduction of £41.983m (39.18%) from the revised Quarter Three budget of £107.141m comprising:
- An underspend on projects of £12.303m
  - Slippage on projects of £29.680m into 2025/26 and 2026/27
- 2.2.6 The current forecast deficit of £6.400m for 2024/25 relating to the High Needs Block with the Dedicated Schools Grant which increases the forecast cumulative deficit to £20.693m at 31 March 2025. If the statutory override is removed by Government on 31 March 2026 without national funding solution in place for High Needs, then this presents a critical risk to the Council's financial viability, given that it will wipe out the Council's general fund reserves. The DSG recovery actions and risks to the Council's financial resilience are set out in paragraph 4.38 and Appendix 6.
- 2.2.7 The level of Middlesbrough's share of Collection Fund and General Fund Debtors on 31 December 2024 is as follows (paragraphs 4.63 to 4.65 and Table 11):
- |                                |          |
|--------------------------------|----------|
| - Council Tax                  | £35.683m |
| - Business Rates               | £6.453m  |
| - Sundry Debt                  | £9.716m  |
| - Housing Benefit Overpayments | £6.080m  |
- 2.2.8 This report should be read together with the separate half yearly Treasury Management report to Executive on 4 December 2024 and the updated forecast outturn position at Quarter Three 2024/25 as set out in paragraphs 4.51 to 4.59.

### 3. Rationale for the recommended decision (s)

- 3.1 To enable the effective management of finances, in line with the Council's Local Code of Corporate Governance, the Scheme of Delegation and financial regulations.

### 4. Background and relevant information

- 4.1 The Council's Scheme of Delegation gives the Executive collective responsibility for corporate strategic performance and financial management, monitoring and control. Standing Orders and Financial Procedures require the Executive's approval for major virements between revenue budgets, and in-year changes to the Council's Capital Programme within approved Council resources within the approved policy framework.
- 4.2 This report enables the Executive to discharge its financial management responsibilities by setting out the Council's position at Quarter Three.
- 4.3 Financial Procedure Rule 18.38.3 of the Council's constitution requires the Executive's approval of revenue and capital programme budget virements over £250,000.

#### **Revenue Budget**

- 4.4 Section 25 of the Local Government Act 2003 requires the Chief Finance officer to report on the robustness of the budget estimates and the adequacy of the financial reserves to Council in agreeing its annual budget and precept for the forthcoming financial year. The Chief Finance Officer is as defined in S151 of the Local Government Act 1972 and is fulfilled by the Director of Finance.
- 4.5 The Director of Finance (S151 Officer) issued her Section 25 Report to Council Members, presenting the 2024/25 Revenue Budget, Medium Term Financial Plan, and Council Tax setting report approved by Council on 8 March 2024. The report set out the basis upon which the revenue budget was considered to be robust and the basis upon which reserves were considered adequate, being dependent upon the approval of Exceptional Financial Support (EFS) by the Ministry of Housing, Communities and Local Government (MHCLG) (formerly DLUHC) as summarised below:

#### ***Exceptional Financial Support 2024/25***

Directorate	2024/25 £m
Required to balance 2024/25 budget	4.700
Contingency for non-delivery of budgeted 2024/25 savings risk	3.500
Contingency for capital receipts delivery risk	4.600
General contingency	0.600
<b>TOTAL</b>	<b>13.400</b>

Based on the current forecast outturn position, only up to £4.700m of this will be required in 2024/25 relating to the element required to balance the 2024/25 budget, (see paragraph 4.47 for further details).

- 4.6 The Council's financial position remains fragile and its ability to control expenditure within the approved 2024/25 budget whilst developing further savings and income

generating opportunities through the Recover, Reset, Deliver Transformation Portfolio in order to balance the MTFP will be crucial to stabilising the Council’s financial position and rebuilding its financial resilience. This requires the delivery of all approved £13.9m of 2024/25 savings plans in full.

- 4.7 The Council has achieved significant improvement in its financial position from that which existed at the start of the 2023/24 financial year. However, it continues to spend above its available annual income sources in 2024/25 as whilst there is a forecast year end underspend of (£0.006m) for 2024/25, this is after using £4.7m of EFS to balance the budget which means it is spending £4.7m above annual revenue income streams in 2024/25.
- 4.8 The further challenges of delivering a balanced budget in 2025/26 to 2028/29 were initially set out in the Medium-Term Financial Plan (MTFP) report to Executive on 4 September 2024 agenda and in the 2025/26 Draft Budget and Medium-term Financial Plan 2025/26 to 2028/29 report to Executive on 4 December 2024. The latest position is set out in the 2025/26 Revenue Budget, Medium Term Financial 2025/26 to 2028/29, and Council Tax report elsewhere on this agenda. Both reports should be read together to fully understand the context within which the Council is operating and the financial challenges that it faces.
- 4.9 The 2024/25 forecast year end outturn at 31 December 2024 (Quarter Three) is an underspend of (£0.006m) (0.00%) against the approved budget of £143.190m and is summarised by Directorate in Table 1. A summary of the key issues and variances is included in Appendix 1 with details of Directorate variances in Appendix 2. Table 1 includes any potential non-delivery of required budget savings as detailed in paragraphs 4.19 to 4.25 and Appendix 4.

**Table 1 - Summary of Revenue Budget Forecast Outturn 2024/25 at Quarter Three**

All Directorates	Original Budget Full Year	Current Budget Full Year	Forecast Outturn	Forecast Variance	Movement from last quarter (Forecast Variance before Financial Recovery Plan)	MEMO FORECAST VARIANCE SPLIT			
						Financial Recovery Plan	Forecast Outturn Variance (If Financial Recovery Plan Assured)	Savings Delivery Variance	Other variances
						£m	£m	£m	£m
				Adv / (Fav)	Adv / (Fav)			Adv / (Fav)	Adv / (Fav)
Adult Social Care	52.075	53.025	53.213	0.188	0.133	0.000	0.188	0.659	(0.471)
Public Health	0.006	0.006	0.006	(0.000)	0.000	0.000	(0.000)	0.000	(0.000)
Children’s Care	54.038	55.362	59.834	4.472	0.785	0.000	4.472	2.110	2.362
Education & Partnerships	7.992	7.468	6.805	(0.662)	0.186	0.000	(0.662)	0.000	(0.662)
Regeneration	2.023	2.215	1.649	(0.566)	(0.000)	0.000	(0.566)	0.080	(0.646)
Environment & Communities	20.176	20.025	20.519	0.494	(0.155)	0.000	0.494	(0.306)	0.800
Legal & Governance	10.387	11.045	10.825	(0.220)	(0.189)	0.000	(0.220)	0.063	(0.283)
Finance	3.121	4.076	4.395	0.318	0.318	0.000	0.318	0.198	0.120
Chief Executive	0.242	0.241	0.241	0.000	0.000	0.000	0.000	0.000	0.000
<b>Total Directorates</b>	<b>150.060</b>	<b>153.463</b>	<b>157.487</b>	<b>4.023</b>	<b>1.077</b>	<b>0.000</b>	<b>4.023</b>	<b>2.804</b>	<b>1.218</b>
Central Budgets	(6.870)	(10.273)	(14.302)	(4.029)	(2.465)	0.000	(4.029)	0.244	(4.273)
<b>Total Budget</b>	<b>143.190</b>	<b>143.190</b>	<b>143.184</b>	<b>(0.006)</b>	<b>(1.388)</b>	<b>0.000</b>	<b>(0.006)</b>	<b>3.048</b>	<b>(3.054)</b>

NOTE – In Quarter One growth provided for 24/25 but unused was included within the outturn projections for the relevant Directorate lines – namely £0.673m unused growth in ECS relating to Waste Disposal, £0.414m unused

*growth in ECS for Concessionary Fares, and £0.732m unused growth in Education & Partnerships relating to ITU. As approved at Quarter One this unused growth has since been vired and is now held centrally and is reflected in the outturn projection for Central Budgets from P5.*

*NOTE – Environment & Communities includes an overachievement of £0.515m against the savings for the implementation of Green Waste charging, and Adult Social Care includes an overachievement of £0.092m against the Sheltered Housing review saving. This reduces the savings delivery variance from £3.655m to £3.048m. Legal & Governance outturn includes unachieved savings £0.051m that have been achieved in other directorate's outturn figures.*

- 4.10 The forecast underspend of (£0.006m) comprises potential overspends due to delayed or undeliverable savings of £3.048m and other variances of (£3.054m). Further analysis of progress on savings delivery that is being managed through the Transformation Portfolio is set out at Tables 3 and 4 and Appendix 4.
- 4.11 Containing expenditure within the approved budget remains a priority for the Leadership Management Team and the Executive for the remainder of the financial year in order to protect critically low reserves and provide an opportunity to start to rebuild them over the period of the MTFP as set out in the approved Reserves Policy.
- 4.12 £20.764m of budgetary growth was provided in setting the 2024/25 budget to Directorates presenting forecast demand pressures primarily in Adults, Children's Integrated Transport Unit, and Waste Disposal. Upon reviewing the 2023/24 financial outturn and performance during 2024/25, the requirement for this growth has been reviewed.
- 4.13 In the Quarter One report to Executive on 4 September 2024 the Director of Finance proposed and Executive agreed that where it is determined that the allocated growth was not required in full (and underspending within Directorates is arising directly from a surplus of budgetary growth provided) that the surplus budget is transferred (vired) from Directorates in 2024/25 to be held centrally. The Director of Finance will then assess how this budgetary provision can be applied to best effect in order to offset the financial pressures arising elsewhere in the Council to meet forecast pressures. The review will be undertaken quarterly throughout the year as refinements to demand and cost modelling are progressed. In the Quarter One report the following virements summarised below were approved to be transferred to central budgets and the Directorate budgets in Table 1 reflect these virements:
- Concessionary Fares £0.414m
  - Waste Disposal £0.673m
  - Integrated Transport Unit £0.732m

The above were actioned for 2024/25 only with any ongoing adjustments being included in the 2025/26 MTFP report to the Executive on 4 September 2024 and these will be reviewed in the 2025/26 Budget and MTFP report to Executive elsewhere on this agenda. Further virements from centrally held resources are requested at Quarter Three as follows:

- Bereavement Services: Income pressure £0.350m
- Children's Services: One-off improvements to internal residential care provision £0.735m
- Finance: Reduction in inflation budget following review of Contractual spend £0.350m

- 4.14 As part of the approved 2024/25 budget a budget of £1.550m was provided to cover the effects of contractual inflation on a number of services and this was initially held centrally. A review of the requirements against this budget was undertaken during Quarter Two and technical adjustments were made to allocate this to Directorate budgets as shown in Table 2. These were included as virements in the Quarter Two Revenue and Capital Projected Outturn Report to Executive on 4 December 2024:

**Table 2 - Allocation of central contractual inflation budget 2024/25**

		<u>£m</u>	<u>£m</u>
<b>AMOUNT AVAILABLE</b>			<b>1.550</b>
Adult Social Care	Care Packages	0.440	
Childrens Care	External Residential Placements	0.274	
	Independent Fostering Agency	0.234	
	Internal Fostering allowances	0.116	
	Family & Friends allowances	0.292	
		<u>0.916</u>	
Legal & Governance	Mail and print	0.113	
<b>Allocated to date</b>			<b>1.469</b>
<b>BALANCE REMAINING</b>			<b>0.081</b>

- 4.15 Note that contractual inflation has only been provided where there is a contractually binding requirement for contract price increases and will not be provided for general inflation relating to supplies and services.
- 4.16 The local government pay award for 2024/25 was agreed between national employers and trade unions on 23 October 2024. At Quarter Two it was initially estimated that this would create a saving of approximately £0.2m against the budget provision for this. Following further detailed work this figure has been revised to £0.388m.
- 4.17 Budget adjustments for the pay award were approved at Quarter Two, with directorate budgets revised in the Quarter Three budget monitoring report to account for this. Should any further adjustments to these budget virements be identified, these will be reflected in the 2024/25 final outturn position.
- 4.18 Additionally, a further £1.102m which had been kept in the central Pay and Prices contingency budget, mainly until the full effect of the 2024/25 pay award was calculated can now be released, as no drawdowns on it are expected. This projected saving is included in the forecast outturn for Central Budgets in Table 1.

### **Budget savings delivery**

- 4.19 The approved revenue budget includes savings totalling £15.302m in 2024/25, a further £5.151m in 2025/26 and a further £1.967m in 2026/27 arising from the 2023/24 and 2024/25 approved budgets. The savings tracker included in Table 3 summarises performance in 2024/25 and the impact upon delivery for 2024/25, categorising the current expected achievability of the savings. Table 4 shows

performance for each Directorate against the 2024/25 approved savings. Savings delivery plans are monitored via the Thematic and Corporate Transformation Boards.

- 4.20 Table 4 shows that £3.358m (22%) of savings for 2024/25 categorised as “Red” within the savings tracker. There are also £0.244m (2%) of savings categorised as “Purple” within the savings tracker which have been deemed unachievable and require alternative proposals to be put forward. Those categorised as “Amber” £0.653m (4%) are not factored into the forecast overspend. They have mitigation in play, or in development and are being monitored through the Programme Management Office to get delivery back on track (“Green”).
- 4.21 Those categorised as “Green” £6.798m (44%) and considered to be on track are being further challenged to ensure full delivery, however currently it is expected that these will be delivered in full and turn ‘Blue’ by 31 March 2025. £4.249m (28%) have been delivered and classed as ‘Blue’.
- 4.22 If the savings rated “Red” and “Purple”, where there is currently a high risk that they will not be deliverable in 2024/25, remain unachievable, they will contribute to an overspend unless fully mitigated by other underspends in “Business as Usual” operations. Up to £3.5m EFS is agreed in-principle to cover any final overspend driven by non-delivery of savings in order to protect critically low revenue reserves. There is a long-term cost of borrowing associated with use of EFS which is factored into the MTFP.
- 4.23 Directors are required to develop mitigation plans for those savings which are categorised as “Red” and “Purple” where there is significant risk to delivery, and “Amber” where there is medium risk to delivery. Also, there is a need to ensure full achievement of savings categorised as “Green”.

**Table 3 – Savings Programme Assurance Summary**

RAG	Savings	24/25 (£m)	25/26 (£m)	26/27 (£m)	Total (£m)	Total (%)
	Approved Budget	(15.302)	(5.151)	(1.967)	(22.420)	
Blue	Benefits and / or saving(s) realised, with evidence provided.	(4.249)	0.000	0.000	(4.249)	19%
Green	Benefits and / or saving delivery on-track, with assured plans in place.	(6.798)	(3.255)	(0.140)	(10.193)	45%
Amber	Medium-risk to benefits and / or saving(s) delivery. Mitigation in-play, or in development.	(0.653)	(1.024)	(1.012)	(2.689)	12%
Red	High-risk to benefits and / or saving(s) delivery. Limited scope for mitigation.	(3.358)	(0.872)	(0.815)	(5.045)	23%
PURPLE	Benefits and / or saving(s) are undeliverable. Alternative plan / saving required, for Executive approval.	(0.244)	0.000	0.000	(0.244)	1%
	<b>Total Savings</b>	<b>(15.302)</b>	<b>(5.151)</b>	<b>(1.967)</b>	<b>(22.420)</b>	<b>100%</b>

**Table 4 – Savings Programme Assurance for 2024/25 by Directorate**

		Benefits and / or saving(s) realised, with evidence provided.	Benefits and / or saving delivery on-track, with assured plans in place.	Medium-risk to benefits and / or saving(s) delivery. Mitigation in-play, or in development.	High-risk to benefits and / or saving(s) delivery. Limited scope for mitigation.	Benefits and / or saving(s) are undeliverable. Alternative plan / saving required, for Executive approval.	
Directorate	Approved 24/25 (£m)	Blue	Green	Amber	Red	PURPLE	24/25 (£m)
Adult Social Care	(5.757)	(1.880)	(2.707)	(0.420)	(0.750)	0.000	(5.757)
Children's Care	(5.080)	(0.867)	(1.954)	(0.150)	(2.109)	0.000	(5.080)
Education and Partnerships	(0.285)	(0.153)	(0.132)	0.000	0.000	0.000	(0.285)
Environment and Community Services	(1.522)	(0.511)	(0.802)	0.000	(0.209)	0.000	(1.522)
Regeneration	(0.607)	0.000	(0.527)	0.000	(0.080)	0.000	(0.607)
Finance	(1.379)	(0.838)	(0.260)	(0.083)	(0.198)	0.000	(1.379)
Legal and Governance	(0.672)	0.000	(0.416)	0.000	(0.012)	(0.244)	(0.672)
<b>TOTAL (£m)</b>	<b>(15.302)</b>	<b>(4.249)</b>	<b>(6.798)</b>	<b>(0.653)</b>	<b>(3.358)</b>	<b>(0.244)</b>	<b>(15.302)</b>
<b>Overall Percentages</b>		<b>28%</b>	<b>44%</b>	<b>4%</b>	<b>22%</b>	<b>2%</b>	

NOTE – Tables 3 and 4 above do not include overachievement of savings whereas Table 1 includes a reduction in the savings delivery variance due to the fact that Environment & Communities has an overachievement of £0.515m against the savings for the implementation of Green Waste charging, and Adult Social Care has an overachievement of £0.092m against the Sheltered Accommodation review saving. Also Legal & Governance outturn includes unachieved savings £0.051m that have been achieved in other directorate's outturn figures.

- 4.24 A detailed savings tracker of savings categorised as “Red” and “Purple” by Directorate is attached at Appendix 4. “Red” and “Purple” savings are factored into the forecast year-end overspend for the year together with any in-year mitigations to offset the resultant overspend.
- 4.25 A number of savings initiatives required the removal of posts and therefore a budget is in place to cover any redundancy costs that may have to be incurred. The capital budget for redundancy costs was estimated at £6.5m covering £2.9m for a planned Management Review (estimated 60.8 FTE) and £3.6m for approved 2024/25 Savings Initiatives (75.4 FTE). The Management Review has been rephased into 2025/26, and therefore the allocation of £2.9m remains unspent. The Savings Initiatives have progressed whereby 52.4 FTE are concluded with the removal of posts through vacant posts and redeployment to other posts within the Council. A further 7 posts incurred redundancy and pension costs of £0.492m, and the remaining balance of £3.097m (16 FTE) are in the progress of restructure and reorganisation.

**Table 5 – Redundancy costs budget**

Estimated Redundancy FTE/Costs	Estimated total no. posts FTE	Deleted (no redundancy) FTE	Redundant FTE	Remaining FTE	Budget £m	Redundancy Cost Incurred £m	Budget Provision Remaining £m
Planned Management Review	60.8			60.8	2.894		2.894
Savings Initiatives	75.4	52.4	7	16	3.589	0.492	3.097
<b>Total</b>	<b>136.2</b>	<b>52.4</b>	<b>7</b>	<b>76.8</b>	<b>6.483</b>	<b>0.492</b>	<b>5.991</b>



## Budget challenge agreed actions

4.26 During Budget Challenge Sessions held up to the end of Quarter Three, it was agreed that a number of fundamental reviews be required in order to develop plans to address forecast financial pressures and control expenditure within the approved budget.

- Children's Social Care (see summary of progress at 4.27 to 4.30)
- Adult's Social Care – Develop and assure financial recovery plan – (completed and incorporated into forecast outturn at Quarter Three)
- Crematorium - Reduced income due to falling demand for service, to consider options for reducing operational costs to align to reduced activity (completed and virement requested in Appendix 3) and to assess the business case for replacement cremators which are approaching the end of their useful life (outstanding)
- Waste Services - zero based budget to be prepared reflecting the change in service operations following implementation of fortnightly collection (completed review of budgets)
- Fleet Services - review of strategic options for sustainable service delivery arising from operation due to recruitment and retention issues and other financial pressures. (outstanding)
- Integrated Transport Unit / Special Educational Needs & Disabilities (SEND) transport – completed baseline budget and development of MTFP forecast to assess demand and unit cost modelled using Special Educational Needs (SEN) data – this work has been updated to reflect the start of the new academic year in September 2024 (completed but subject to continuing further review)

4.27 The Children's Services budget challenge meetings have reviewed, analysed, and challenged financial performance with a particular focus upon the identified cost pressures in external residential care placements budget. The service faces a significant challenge in year which is summarised as follows

- The approved saving **CC02 'Review of Placements'** is required to deliver £1.1m budget reduction in 2024/25. This plan was based upon a net reduction in the number of children in high-cost placements of 11 (from 66 to 55).
- The work programme to achieve the saving, involves the operation of regular care placement panels which are being successful in transferring existing children in placements from high-cost external residential care into more suitable placements to meet their needs. This work aims to improve the outcomes for those children and can be delivered at lower cost for the Council. It is proving successful with 20 children so far this year being transferred from high-cost external residential placements into more suitable care settings (called 'step down') to meet their needs, reducing costs otherwise incurred of approximately £3.1m to date. The true saving against the budget set against these placements in February 2024 for the 20 young people is £0.895m.
- However, the cost reductions achieved through placement panels are being more than offset by increased expenditure due to an additional 32 children being assessed as requiring external residential care provision, due to complexities of young people and regional and national challenges around Fostering provision.

- Therefore, the financial benefits of current activity in CC02, are exceeded by the additional cost of new placements, resulting in an overspend against the budget of £2.6m and an assessment as red in terms of delivering the financial objective.
- Table 6 below summarises the number and forecast cost of children in different types of external residential care to the year end, based upon activity to 31 December. The forecast outturn is for a total spend on residential care of £17.716m including 77 active placements for children across different categories representing a current average of £0.242m per child. However, there are significant variations in cost, with the three highest cost placements totalling £2.590m in 2024/25 and a £3.299m full year effect if placements remain the same.

**Table 6 – Children’s Care External Residential Budget 2024/25 Q3 Forecast**

Detail	Budget		Forecast		Pressure / (saving)
	£m	Numbers	£m	Numbers	£m
<b>External</b>	6.453	13	8.896	25	2.443
<b>Supported</b>	0.817	5	2.355	17	1.538
<b>Semi-support</b>	0.317	8	0.563	15	0.246
<b>Mother &amp; baby</b>	0.000	0	0.117	0	0.117
<b>Block</b>	2.688	12	2.688	12	0.000
<b>School Residential</b>	3.262	7	2.307	7	(0.955)
<b>Secure</b>	0.480	1	0.622	1	0.142
<b>Contingency/Growth</b>	0.784	9	0.168		(0.616)
<b>Inflation (Q2)</b>	0.274				(0.274)
<b>Total</b>	<b>15.074</b>	<b>55</b>	<b>17.716</b>	<b>77</b>	<b>2.642</b>

- 4.28 The plan for CC02 needs to be revised to deliver the planned net reduction in the number of children in external residential care and/or a reduction in the cost of placements. Additional measures are required which deliver improved social care practice to prevent children escalating through the social care system to require external residential care. In addition, more appropriate (and lower cost) categories of care should be used wherever possible though the Council, and regionally, are finding that external fostering placements are becoming harder to source.
- 4.29 Whilst existing measures have reduced the level of forecast overspending compared to no management action being taken, the planned savings delivery for CC02 is at high risk of not delivering the required saving against the budget within 2024/25. Additional measures to address social care practice to prevent the need for residential care are required, but this will take time and will more likely take effect in financial terms during 2025/26 and will require internal provision to improve and capacity increasing within internal Fostering service.
- 4.30 The Service is putting additional measures in place to address these pressures which will be incorporated into the Transformation Portfolio as appropriate:
- Development of a business case to increase Edge of Care provision to prevent more children from needing to be brought into care,
  - Development of a business case to extend the reunification pilot project which is funded via the Department for Education (DfE) which will support children to

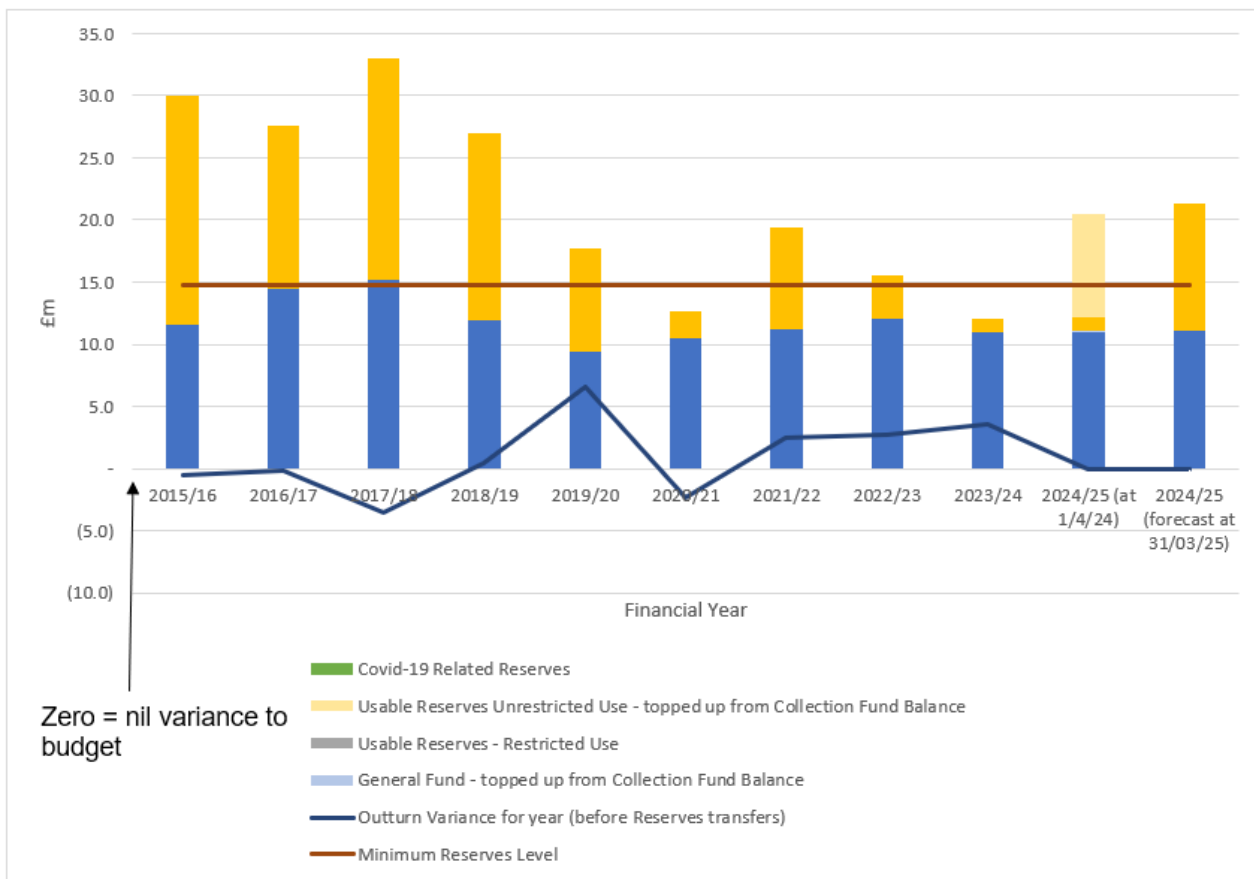
return to their family members which is likely to reduce the number and cost of children in care.

- Ongoing recruitment of permanent staff is taking place to replace agency staff by using specialist recruiting agencies and some agency staff have committed to convert to permanent posts and this may be supported by any regional agreement to update agency engagements to support stability for young people receiving services.
- Reviewing the plans for internal residential provision to ensure that these are utilised effectively to meet the needs of children within Middlesbrough.
- Development of a business case around fostering arrangements to increase internal capacity to support children to live locally and improve the outcomes for the young people which also comes with a reduced cost compared to other Children's Care placements and supports young people to be placed in more appropriate setting and improve their outcomes.
- Potential expansion of the SHIFT project aligning with Edge of Care and Prevention strategies.

### **Council Reserves and Provisions**

- 4.31 It is essential for the Council's financial recovery that expenditure is contained in 2024/25 within the approved budget of £143.190m and that there is no unplanned drawdown upon critically low revenue reserves to meet overspending. It is essential that the Council's financial position is stabilised and reserves are protected and rebuilt over the course of the MTFP. The Reserves Policy was approved by Council on 8 March 2024 and set out the plan to recover the reserves position.
- 4.32 At Quarter Three the General Fund Balance is forecast to be £11.100m whilst the balance on usable unrestricted reserves is forecast to be £10.269m at 31 March 2025. This gives a forecast total on unrestricted usable revenue reserves of £21.369m at 31 March 2025 which is in line with the planned recovery. Appendix 5 provides an analysis of restricted and unrestricted reserves together with General Fund Provisions. It should be noted that reserves could potentially be reduced if the final revenue outturn position is an overspend, rather than the currently projected small underspend.
- 4.33 Figure 1 below shows the trajectory of Middlesbrough's unrestricted usable Reserves from 2015/16 through to 2024/25 forecast closing balance against both the recommended minimum reserves level and the reported outturn position.

***Figure 1 - Middlesbrough Council - Unrestricted Reserves Balances from closing balance 2015/16 through to forecast closing balance 2024/25 and reported outturn variance per year***



### Contingency Budget and Change Fund

4.34 Table 7 summarises the 2024/25 budget and commitments against the central budgets controlled under the delegated powers of the s151 Officer (and deputy s151 Officers) in relation to the Contingency Budget and the Change Fund Reserve at 31 December 2024. A summary of the expenditure approved for utilisation of these budgets is set out at Appendix 7.

**Table 7 – Summary of 2024/25 budget and commitments against central budgets – update table**

	Corporate Contingency	Corporate Contingency - unused growth	Change Fund Reserve
	£m		£m
<b>Starting Budget 2024/25</b>	<b>1.422</b>		<b>1.053</b>
Budgeted contribution 2024/25	-		0.730
Additional contributions in year	-		1.000
Permanent adjustment to Regeneration budget (New Homes Bonus grant adjustment)	(0.081)		-
Permanent adjustment to LGS (previous years' savings adjustment)	(0.014)		-
Temporary adjustment from ECS - growth not required in 2024/25 (Waste Disposal)		0.673	-
Temporary adjustment from Education & Partnerships - growth not required in 2024/25 (Integrated Transport Unit)		0.732	-
<b>Available for use</b>	<b>1.327</b>	<b>1.405</b>	<b>2.783</b>
Approved use to date	(1.327)	(0.147)	(0.017)
Declared as saving against 24/25 outturn - net savings remaining at Q3 from Waste Disposal and Integrated Transport Unit		(1.258)	-
<b>Allocated/committed to date</b>	<b>(1.327)</b>	<b>(1.405)</b>	<b>(0.017)</b>
<b>BALANCE REMAINING UNCOMMITTED</b>	<b>-</b>	<b>-</b>	<b>2.766</b>

### **Dedicated Schools Grant (DSG)**

- 4.35 Local authorities receive a ring-fenced grant from central government each year, which can only be used to fund education – Dedicated Schools Grant (DSG). The DSG budget is accounted for separately to the main Revenue Budget. The Council's allocation in July 2024 was that the Council would receive £197.453m (before deductions and recoupment) of Dedicated Schools Grant (DSG) for 2024/25. The funding comprises of a number of blocks:
- Schools Block
  - Central School Services Block
  - High Needs Block
  - Early Years Block

A large proportion of the Schools Block is passported directly to academies (known as recoupment). Alongside this, agreed place funding for academies and FE colleges is also deducted from the High Needs block for specialist places. Currently after deductions and recoupment the Council will receive DSG of £63.655m in 2024/25 including an agreed disapplication of £0.699m transfer from Schools Block to High Needs Block.

- 4.36 The forecast expenditure of £70.055m (after deductions) is a year-end overspend of £6.400m on DSG within 2024/25 as summarised in Table 8.

**Table 8 - Dedicated Schools Grant (DSG) after recoupment and deductions – update table**

	2024/25 Forecast Income	2024/25 Forecast Expenditure	2024/25 Forecast Year-end Overspend	Balance as at 31/03/2024	Forecast Cumulative DSG Deficit as at 31/03/2025
	£m	£m	£m	£m	£m
Early years	17.557	17.797	0.240	(0.467)	(0.227)
Schools Block	14.387	14.324	(0.063)	(0.298)	(0.361)
High Needs	30.650	36.852	6.202	15.079	21.281
Central school services block	1.061	1.082	0.021	(0.021)	0.000
<b>TOTAL</b>	<b>63.655</b>	<b>70.055</b>	<b>6.400</b>	<b>14.293</b>	<b>20.693</b>

(\*\* 19 November 2024 issued allocations for 2024-25 –note these figures can change post these allocations)

- 4.37 There was a £14.293m total cumulative deficit on the DSG reserve at the end of 2023/24, which included £15.079m attributed to the High Needs Block. The DSG deficit is forecast to increase during 2024/25 and there is a forecast cumulative DSG deficit of £20.693m at 31 March 2025. This includes £21.281m relating to the High Needs Block which is partly offset by £0.588m of surpluses across the other blocks.
- 4.38 The DSG is subject to a statutory override by central Government which instructs Councils to account for the DSG deficits and resulting negative balance in a separate reserve and not to fund it by using its General Fund resources. This is planned to end on 31 March 2026 whilst measures to resolve the national issues with expenditure and funding were implanted. There is limited impact of measures taken to date and if

the statutory override is removed without a government led solution in 2025, this presents a significant risk to the Council's financial position. The size of the forecast DSG deficit at 31 March 2025, £20.693m, which would eliminate most of the forecast usable revenue reserves of £21.369m. Like many local authorities, this could result in the Council being subject to a s114 Notice. The service is working with finance to look at options to improve the final deficit figure, but this will still remain a significant risk.

- 4.39 The position that the new Government plans to take on this national issue which presents significant financial risks for many local authorities needs to be made clear, and it is essential that a solution is provided early in 2025/26. This risk will be added to the Strategic Risk Register and will be reflected in the Annual Governance Statement for 2024/25. Further information relating to DSG and the work being undertaken by the Council with the DfE is set out in Appendix 6.

### **2024/25 Capital Programme Forecast Outturn as at Quarter Three**

- 4.40 On 8 March 2024 Council approved a capital programme for 2024/25 of £88.549m (the original 2024/25 capital budget). This was revised to £97.215m as approved by Executive within the 2023/24 Revenue and Capital Outturn and Development of MTFP report of 26 June 2024 to take account of 2023/24 programme slippage and some new externally funded schemes. The budget was revised at Quarter One by the addition of a total of £8.973m in 2024/25 and by a further £0.523m in Quarter Two in order to add new externally funded schemes / additional external funding to existing schemes
- 4.41 The budget has been further revised at Quarter Three by the addition of a total of £0.430m in 2024/25 in order to add new externally funded schemes / additional external funding to existing schemes (detailed in Appendix 8). Subject to Executive approval of incorporating these within the Capital Programme, the revised budget for 2024/25 is £107.141m as summarised in Table 9.
- 4.42 There are also some virements requested for approval by Executive between schemes in the 2024/25 Capital Programme approved by Council in March 2024 which are funded from within existing Council resources and where there is no increase in planned expenditure above that approved by Council for funding by capital receipts and borrowing (details are provided in Appendix 8). For information, virements that are fully grant funded are also included within Appendix 8.
- 4.43 The 2024/25 projected outturn on capital expenditure is £65.158m at Quarter Three, the revised projection includes new and additions to existing schemes, reductions in existing schemes and programme slippage.
- 4.44 The £65.158m of planned expenditure is expected to be funded by:
- £37.305m (57%) grants and external funding
  - £15.850m (24%) capital receipts
  - £12.003m (19%) borrowing
- 4.45 Table 9 summarises the capital programme approved budget, outturn, and variance for 2024/25.

**Table 9 - Summary of capital programme approved budget, outturn, and variance for 2024/25**

Directorate	2024/25	2024/25	2024/25	2024/25	2024/25	2024/25	2024/25	2024/25	MEMO Explanation of Forecast Outturn Variance	
	Capital Programme Budget (as approved by Council 8/3/24)	Revised Capital Programme Budget (as per Executive report 26/6/24)	Revised Capital Programme (as at Quarter One)	Revised Capital Programme (as at Quarter Two)	Revised Capital Programme (as at Quarter Three)	Forecast Outturn	Forecast Outturn Variance	Forecast Outturn Variance % Against Budget		
	£m	£m	£m	£m	£m	£m	£m	%		
Regeneration	21.582	27.428	29.578	29.578	29.628	18.779	(10.849)	(36.62)	Slippage £m	Underspend £m
Environment and Community Services	17.396	17.294	21.297	21.637	22.017	17.240	(4.777)	(21.70)	(10.754)	(0.095)
Public Health	0.043	0.519	0.689	0.689	0.689	0.689	-	-	(4.746)	(0.031)
Education and Partnerships	12.040	13.912	14.036	14.159	14.159	10.257	(3.902)	(27.56)	0.000	-
Children's Care	2.035	2.026	2.026	2.026	2.026	0.584	(1.442)	(71.17)	(3.727)	(0.175)
Adult Social Care	1.213	1.351	3.877	3.937	3.937	3.616	(0.321)	(8.15)	(1.440)	(0.002)
Legal and Governance Services	2.350	2.795	2.795	2.795	2.795	3.333	0.538	-(19.25)	(0.321)	-
Finance	4.790	4.790	4.790	4.790	4.790	0.810	(3.980)	(83.09)	0.538	-
Transformation Programme	13.700	13.700	13.700	13.700	13.700	5.150	(8.550)	(62.41)	(0.680)	(3.300)
Exceptional Financial Support	13.400	13.400	13.400	13.400	13.400	4.700	(8.700)	(64.93)	(8.550)	-
<b>Total</b>	<b>88.549</b>	<b>97.215</b>	<b>106.188</b>	<b>106.711</b>	<b>107.141</b>	<b>65.158</b>	<b>(41.983)</b>	<b>(39.18)</b>	<b>(29.680)</b>	<b>(12.303)</b>

- 4.46 Capital slippage results from a delay in delivery of projects compared to the planned delivery. Whilst expenditure remains within the approved project budget, this results in an in-year underspend which is required to be carried forward to the new financial year. This is called slippage. The amount of slippage (currently forecast at £29.680m) is reprofiled and carried forward to 2025/26 and 2026/27 to reflect revisions to the expected delivery and expenditure timescale. £4.235m of the stated £29.680m slippage has been identified following reviews of the status of the projects within the capital programme during Quarter Three. Details of capital slippage for 2024/25 as at Quarter Three are shown in Appendix 9.
- 4.47 During Quarter Three there has also been an extensive review of planned expenditure throughout the capital programme to 2026/27, this has resulted in a total of £35.562m of resources previously programmed to be expended within 2024/25 and 2025/26 being re-profiled into 2026/27. This includes the £4.235m stated within paragraph 4.46. Details of all re-profiling between the financial years are shown in Appendix 9.
- 4.48 The major reasons for the forecast underspend of £12.303m is that there is a reduction of £8.700m relating to Exceptional Financial Support which was planned to be funded from borrowing. These funds were set aside as contingency for capital receipts delivery risk (£4.600m) which is not required as sufficient planned capital receipts have been realised to fund the forecast transformation expenditure in the year, the contingency for savings programme delivery risk (£3.500m), and the general contingency (£0.600m) will not be required based upon the revenue outturn forecast. Also, as outlined in the Quarter One report there was an underspend of £3.100m of Council resources due to the Capitalisation of Property Finance Lease Arrangements scheme.
- 4.49 Table 10 summarises and Appendix 10 details updated forecast expenditure for the period 2024/25 to 2026/27 split over the various schemes and the proposed funding.

Since the Capital Programme for the period 2024/25 to 2026/27 was approved by Council on 8 March 2024, there has been forecast slippage from 2024/25 and increased externally funded schemes as detailed above, and there is therefore a need to revise the forecasts for the period 2024/25 to 2026/27. Any changes to the budgets approved by Council in March 2024 for 2025/26 and future years, will be formally approved by Council as part of 2025/26 budget setting in February 2025.

**Table 10 – Summary of Forecast Capital Programme 2024/25 to 2026/27**

Directorate	2024/25 Forecast £m	2025/26 Forecast £m	2026/27 Forecast £m	TOTAL £m
Regeneration	18.779	30.320	34.348	83.447
Environment and Community Services	17.240	19.345	9.495	46.080
Public Health	0.689	-	-	0.689
Education and Partnerships	10.257	7.553	0.996	18.806
Children's Care	0.584	0.550	3.253	4.387
Adult Social Care	3.616	3.451	1.344	8.411
Legal and Governance Services	3.333	1.610	2.222	7.165
Finance	0.810	0.191	0.389	1.390
Transformation Programme	5.150	7.500	14.050	26.700
Exceptional Financial Support	4.700	-	-	4.700
<b>Total EXPENDITURE</b>	<b>65.158</b>	<b>70.520</b>	<b>66.097</b>	<b>201.775</b>
<b>Funded by</b>				
Borrowing	12.003	12.807	23.969	48.779
Capital Receipts	6.000	6.000	6.000	18.000
Flexible Use of Capital Receipts	9.850	7.500	14.050	31.400
Grants	35.713	43.230	15.558	94.501
Contributions	1.592	0.983	6.520	9.095
<b>Total FUNDING</b>	<b>65.158</b>	<b>70.520</b>	<b>66.097</b>	<b>201.775</b>

- 4.50 The previous Director of Finance led the development of strengthened governance and reporting arrangements during 2024/25. These were detailed in the Capital Programme Governance Improvement report which was approved by Executive on 13 November 2024. The revised arrangements for capital governance, management and reporting are being implemented by the newly appointed Director of Finance and Transformation and Director of Regeneration. The Corporate Capital Board and Strategic Capital Board has been created and operational for the development of the 2025/26 capital programme contained in the 2025/26 Budget, Medium Term Financial Plan 2025/26 to 2028/29 and Council Setting report elsewhere on this agenda.



### **Treasury Management - Borrowing & Prudential Indicators**

- 4.51 The Council's investment and borrowing activity is managed in accordance with the Treasury Management Strategy (TMS) which is a key element of the MTFP alongside the annual revenue budget and capital programme which are approved by Council annually before the start of the financial year.
- 4.52 Treasury Management activity is governed by the Prudential Indicators which are set within the TMS. The Council uses external expert treasury advisers (Arlingclose) to inform the development of its strategy and operational in year decisions. A half yearly review of the Council's TMS and prudential indicators took place at Quarter Two and a specific report was submitted to Executive on 4 December 2024. The budgeted and forecast position on these as at Quarter Three for 2024/25 are summarised in Table 11 below.
- 4.53 Investment and borrowing decisions are taken to manage the short, medium, and long-term cash needs of the Council and these are driven primarily by the following:
- the extent to which the Council finances its capital expenditure by borrowing which is measured by the Capital Financing Requirement (CFR)
  - the timing differences between operational income and expenditure flows
  - the level of cash backed reserves held, and.
  - current short to long term interest rate forecasts.

**Table 11 – Prudential Indicators – Quarter Three 2024/25**

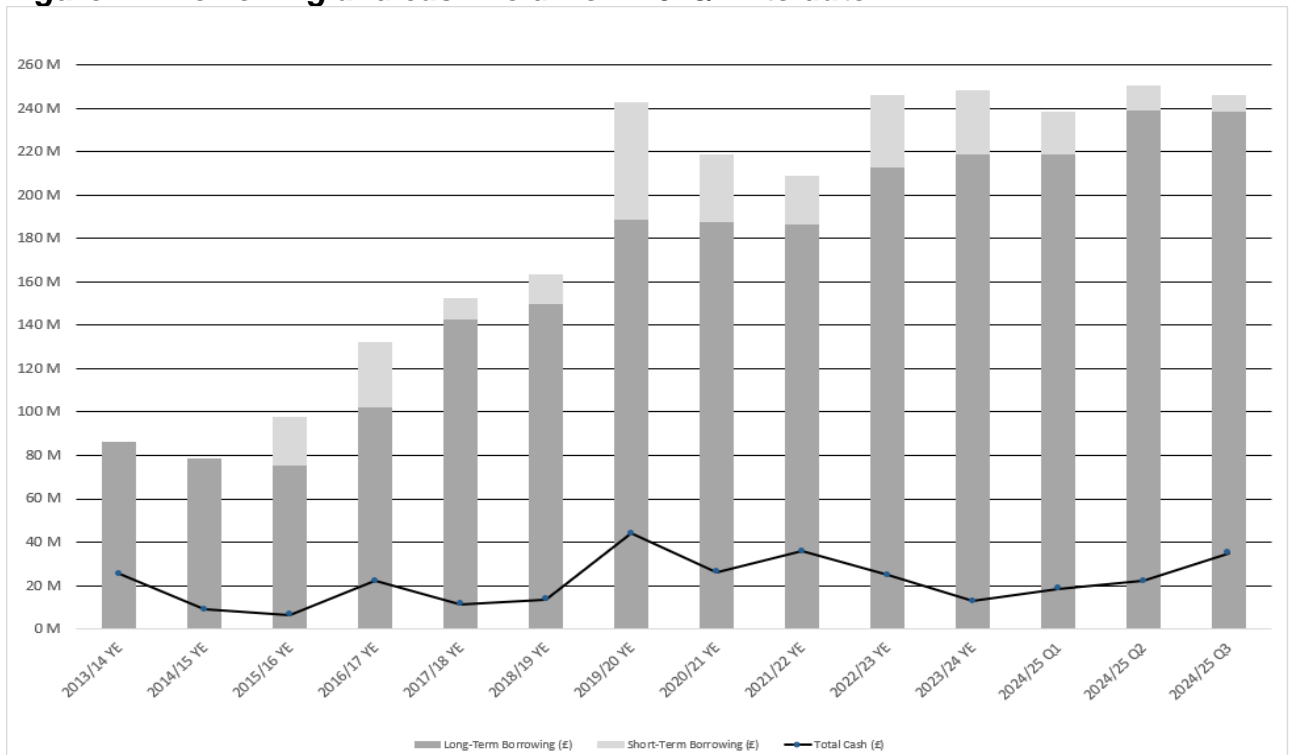
	<u>Budget</u> <u>(as per</u> <u>March</u> <u>approval)</u> <u>(£M)</u>	<u>Forecast</u> <u>at Quarter</u> <u>Three</u> <u>(£M)</u>	<u>Variance</u> <u>(£M)</u>	<u>Variance</u> <u>as %</u> <u>of Budget</u> <u>(£M)</u>
Capital Expenditure	88.549	65.158	(23.391)	(26.42%)
<b>Financing</b>				
External Sources	32.412	37.305	4.893	15.10%
Own resources	19.700	15.850	(3.850)	(19.54%)
Debt	36.437	12.003	(24.434)	(67.06%)
	88.549	65.158	(23.391)	(26.42%)
Capital Financing Requirement	331.863	297.816	(34.047)	(10.26%)
External Debt	310.525	270.303	(40.222)	(12.95%)
Investments	15.000	35.021	20.021	133.47%
Capital Financing	11.154	11.154	0.000	0.00%
Cost as a % of Revenue Budget	7.79%	7.79%	0.00%	0.00%

- 4.54 The Council's forecast Capital Expenditure outturn at Quarter Three is £65.158m compared to an original approved budget of £88.549m, a forecast underspend of

£23.391m (26.4%). The decrease in capital expenditure is due to an increase in new schemes funded by grants and contributions of £4.893m, offset by slippage on schemes funded by borrowing of (£24.434m) and slippage on the transformation programme funded by flexible capital receipts of (£3.850m).

- 4.55 During the third quarter of 2024/25, external borrowing decreased from £250.256m on 30 September 2024, to £245.860m on 31 December 2024. This decrease of £4.396m reflects the repayment of principal on annuity loans. No new long- or short-term borrowing was required during the period, mainly due to increased levels of cash because of the current asset sales programme.
- 4.56 Cash balances have increased from £22.213m to £35.021m between the end of September and the end of December 2024. This reflects the capital and revenue spending plans of the Council to date in this financial year, plus higher than normal levels of capital receipts as highlighted above. Also, long term interest rates from the Public Works Loan Board have increased significantly to well above 5.00% during the third quarter. This is above the target borrowing rate of 4.75% for the financial year. As cash levels have remained healthy, there has been no need to take any external borrowing to help with liquidity.
- 4.57 The ratio of long-term to short-term borrowing has therefore remained stable during the quarter given that repayments only have been made to date. The Council's total under borrowed position (external debt compared to the capital-financing requirement – or underlying need to borrow for the financial year) is £51.956m on 31 December 2024, or 17.4%. Total borrowing of between £20m - £25m is required over the remainder of the financial year to finance the forecast spend on the capital programme and to keep liquidity balances at a sustainable level. The over-riding objective continues to be to demonstrate value for money and affordability from any borrowing decisions taken over the medium term.

**Figure 2 – Borrowing and cash held from 2013/14 to date**



- 4.58 The affordability & sustainability of the Capital Programme and its total level of external borrowing and capital financing costs is self-regulated by the Council through a set of prudential indicators. These thresholds are approved by Council as part of the annual budget process in February/March each year. CIPFA and Government view this approach as best practice in ensuring resources are allocated prudently to capital schemes and achieve value for money in the use of resources.
- 4.59 The amount of external debt at £245.860m and the total underlying need to borrow of £297.816m, are both below the Council's authorised debt limit of £318.000m for the year. This is the threshold above which any borrowing would be unlawful. The difference relates to lower borrowing than expected in 2024/25, including for exceptional financial support, plus no need to borrow for unexpected revenue purposes. The total annual cost of financing the Council's capital investment plans being forecast is £11.154m, or 7.8% of the current net revenue budget.

### **Collection Fund - Council Tax and Business Rates income**

- 4.60 Income received from Council Tax and Business Rates (NNDR) is a major source of revenue income for the Council and funds around 62% of its annual net budget in delivering all Council services. It is accounted for separately from the General Fund in the Collection Fund which is heavily regulated by Government. Due to the prescribed mechanisms for operating the Collection Fund, the financial impact of any 2024/25 income collection variances do not immediately affect the General Fund position. By illustration, the impact of any estimated surplus or deficit variance on the Collection Fund for 2024/25 is fed into the development of the 2025/26 budget and MTFP and any cost / benefit does not impact the 2024/25 financial year.
- 4.61 There is currently an estimated forecast surplus on the Collection Fund for 2024/25 of £3.636m. After deducting preceptors' shares (Police, Fire & Central Government), the amount available to Middlesbrough is forecast to be £3.135m. The estimated surplus is unavailable in 2024/25 but becomes available legally to support the development of the 2025/26 budget once the distributable shares have been set.
- 4.62 Paragraphs 4.45 and 4.68 of Appendix 2 of the 2025/26 Draft Budget and Medium-Term Financial Plan 2025/26 to 2028/29 report to this Executive, details the proposed use of this estimated Collection Fund surplus for 2024/25 in the 2025/26 budget setting process.

### **Debt Recovery Performance**

- 4.63 A key workstream within the plans to recover the Council's financial position is the renewed focus upon recovering monies owed to the Council from the following sources;
- Council Tax
  - Business Rates
  - Sundry (general) debt
  - Housing Benefit Overpayments
- 4.64 The Council's approach to improving debt recovery performance whilst maintaining appropriate support to residents and businesses who are entitled to available help, advice and support, is set out in Appendix 11. Progress will be incorporated into

quarterly monitoring reports throughout 2024/25, with the position at Quarter Three 2024/25 (31 December 2024) shown in Table 11 in paragraph 4.58. An exercise to review uncollectable debt for write off will be completed during Quarter Four.

- 4.65 The debt collection performance for 2024/25 together with the movement in debt balances between 31 March 2024 to 31 December 2024 is summarised below:

**Table 12 – Debt Collection Performance Quarter Three 2024/25 (as of 31 December 2024)**

<b>Category of Collectable Debt</b>	<b>Balance at 1/4/24 (£m)</b>	<b>Movement in-year (£m)</b>	<b>Balance at 31/12/2024 (£m)</b>
Council Tax	36.773	(1.090)	35.683
Business Rates	8.391	(1.938)	6.453
Sundry Debt	15.516	(5.800)	9.716
Housing Benefits Overpayments	6.535	(0.455)	6.080
<b>Total</b>	<b>67.215</b>	<b>(9.283)</b>	<b>57.932</b>

Note that the figures for Council Tax and Business Rates are Middlesbrough's share of the Collection Fund debt (Council Tax 83% and Business Rates 49%).

## **5. Other potential alternatives(s) and why these have not been recommended.**

- 5.1 Not applicable.

## **6. Impact(s) of the recommended decision(s)**

### **6.1 Financial (including procurement And Social Value)**

- 6.1.1 This report sets out the implications associated with the financial performance of the Council in managing its revenue, grant and capital resources for the financial year 2024/25 and the financial implications are incorporated throughout. The report should be read in conjunction with the 2025/26 Budget, Medium Term Financial Plan 2025/26 to 2028/29, and Council Tax setting report elsewhere on this agenda to fully understand the financial position of the Council.

### **6.2 Legal**

- 6.2.1 The proposed recommendations are consistent with and will promote the achievement of the Council's general legal duty to achieve Best Value in accordance with Section 3 of the Local Government Act 1999 (as amended by s137 of the Local Government & Public Involvement in Health Act 2007).

### **6.3 Risks**

- 6.3.1 In line with the Council's Risk Management Policy, the corporate Strategic Risk Register will be reported to this Executive as part of the Corporate Performance Update: Quarter Three 2024/25 report.

## **6.4 Human Rights, Equality and Data Protection**

6.4.1 The complete overall impact assessment included in Appendix 3 of the budget report to Council on 8 March 2024 , along with all the individual impact assessments found that there was a justified adverse impact from these proposals in order to ensure the Council is able to maintain a balanced budget and continue to meet its statutory obligations.

## **6.5 Climate Change / Environmental**

Not applicable

## **6.6 Children and Young People Cared for by the Authority and Care Leavers**

The proposed recommendations in this report do not directly impact on Children and Young People Cared for by the Authority and Care Leavers.

## **6.7 Data Protection / GDPR**

Not applicable

### **Actions to be taken to implement the recommended decision(s)**

<b>Action</b>	<b>Responsible Officer</b>	<b>Deadline</b>
Corporate revenue budget spending controls set out in the main body of the report will continue to be applied to Directorates as stated.	Director of Finance	31/3/25
Service Reviews to be continued to be undertaken in following areas as detailed in para. 4.26 to 4.30 <ul style="list-style-type: none"> <li>• Children's Care</li> <li>• Adults Social Care</li> <li>• Crematorium</li> <li>• Waste Services</li> <li>• Fleet Services</li> <li>• Integrated Transport Unit / SEND transport</li> </ul>	Director of Childrens Services Director of Adult Social Care Director of Environment & Community Services Director of Environment & Community Services Director of Environment & Community Services Director of Education & Partnerships	31/3/25
Revenue budget virements detailed in Appendix 3 to be actioned, subject to approval	Head of Financial Planning & Support	12/2/25
Review Debt for potential write off	Head of Resident & Business Support Director of Finance	31/3/25
Amendments to the capital programme for 2024/25 to be actioned, subject to approval	Head of Financial Planning & Support	12/2/25

## Appendices

1	Summary of key variances and financial recovery plans Quarter Three 2024/25
2	Details of Directorate variances Quarter Three 2024/25
3	Proposed revenue budget virements above £250,000 at Quarter Three 2024/25
4	Detailed savings tracker of savings categorised as “Red” and “Purple” by Directorate at Quarter Three 2024/25
5	Reserves and Provisions
6	Summary of projects approved for utilisation of Contingency Budgets and Change Fund at Quarter Three 2024/25
7	Dedicated Schools Grant
8	Capital Programme Quarter Three 2024/25 - additional external funded schemes / additional external funding to existing schemes, and transfers between schemes
9	Capital Programme Quarter Three 2024/25– details of capital slippage
10	Revised Capital Programme Forecasts 2024/25 to 2026/27
11	Council's approach to debt recovery

## Background papers

Body	Report title	Date
Executive	2024-25 Budget and MTFP – Application for Exceptional Financial Support	17/1/24
Executive	Middlesbrough Independent Improvement Advisory Board: First Update Report	17/1/24
Council	Corporate Governance Improvement Plan and Section 24 Action Plan progress report	17/1/24
Council	Flexible Use of Capital Receipts Policy	17/1/24
Executive	2024/25 Revenue Budget, Medium Term Financial Plan, and Council Tax setting	28/2/24
Executive	Prudential Indicators and Treasury Management Strategy Report – 2024/25	28/2/24
Council	2024/25 Revenue Budget, Medium Term Financial Plan, and Council Tax setting, and Treasury Management Strategy 2024/25	8/3/24
Executive	2025/26 Budget and MTFP Approach and Timetable	22/5/24
Executive	2023/24 Revenue and Capital Outturn and development of MTFP	26/6/24
Executive	2025/26 Medium Term Financial Plan	4/9/24
Executive	Revenue and Capital Budget – Forecast Year-end Outturn position at Quarter One 2024/25	4/9/24
Executive	Capital Programme Governance Improvement	13/11/24
Executive	2025/26 Draft Budget and Medium-Term Financial Plan 2025/26 to 2028/29	4/12/24
Executive	Treasury Management Mid-Year review – 2024/25	4/12/24
Executive	2025/26 Budget, Medium Term Financial Plan 2025/26 to 2028/29, and Council Tax setting	5/2/25

**Contact:** **Andrew Humble**  
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## Summary of Key variances and financial recovery plans

The most significant directorate variances and financial recovery plans\* are summarised below, with further detail for each Directorate being included in Appendices 1 and 2

\* includes details of recovery actions to be taken though are unlikely to have an effect on 24/25 outturn

It should be noted that the measures taken to control expenditure in year are a combination of 'one off mitigations' that have a favourable impact only in 2024/25 and plans that deliver 'ongoing' cost reductions or income generation that will have a favourable impact upon the calculated budget gap for 2025/26.

The ongoing pressures that remain as a result of the following will impact upon the 2025/26 budget model:

- Partial or Non-delivery of approved planned savings (RAG Red and Purple)
- Demand and other financial pressures for which a one-off mitigation has been delivered

Directorate	Service Area	Summary of Variances over £250,000	2024/25 Forecast Overspend/ (underspend) £m	Financial Recovery Plan Key Actions	Value of Recovery Plan 2024/25 £m
Adults Social Care	Prevention, Provider & Support Services	Levick Court £0.426m - 2024/25 budget saving currently rated as "RED" : ASC11 Re-provision use of Levick Court £0.311m due to further consideration of alternative options regarding the unit's future cost plus cost of re-provisioned care to the independent sector £0.165m. Partly offset by one-off carers underspend.	0.502		
	Purchasing - savings	£0.369m of 2024/25 budget saving ASC12 Adult Social Care Services transformation currently rated "RED". Partly offset by one-off income receipt relating to 23/24.	0.253	Care package reviews where Assistive Technology can be implemented as an alternative	0.000
	Purchasing - Personal Care	Maximise use of the Discharge grant funding (one-off for 24/25)	(0.305)		
	Purchasing - other	Additional fairer charging income in excess of budget (£0.225m), and additional direct payment surplus in excess of budget	(0.464)		
	Temporary Accommodation	Combination of increased demand and delays in Move On work due to sickness and vacancies in key roles.	0.504		
	Across Directorate	Pay related savings across the Directorate due to new vacancies and delayed/difficulties in recruitment	(0.428)		
	Across Directorate	Other variances below £250,000	0.126		
Children's Care	External Residential	Increased numbers of children in external residential placements above budgeted level. Includes 2024/25 budget saving currently rated as "RED" : CC02 Review of Placements £1.1m and CC06 Shift Programme £0.400m	2.642	Placement reviews are on-going but due to timing in year and complexities, then no improvement included in recovery plan as could move both ways due to instability with a number of complex placements and searches.	0.000
	External Residential	Health contributions (forecast £0.026m pressure) and Education contributions (£0.257m pressure) against placements	0.283	Review of contributions against each individual placement will be finalised in Quarter 4.	0.000
	Internal Residential	Agency staff and team covering significant absences and staff pressures across Internal services.	1.397	Project team to continue to look at sourcing properties to deliver Internal Residential Services to Young people currently placed in External provision for future savings. Permanent recruitment to posts, including marketing campaign and review of recruitment and retention packages along with Options Appraisal for other solutions.	0.000
	Fostering & Adoption	Increases in internal fostering provision (increase of 10%) changes in policy to be fully implemented across service	(0.111)	Recruitment of internal foster carers to reduce reliance on Independent Fostering Agencies and higher cost placements	0.000
	Corporate Parenting & Assessments & Care Planning	Forecast pressure in Children Looked After & Pathways and Children with Disabilities services due to agency posts across the service along with edge of care placements.	0.467	Permanent recruitment to posts including marketing campaign and review of recruitment and retention packages along with Options Appraisal for other solutions.	0.000
	Management	Forecast pressure from agency costs and posts in both Heads Of Service (3) and Service Manager (4) posts offset by saving in Admin.	0.586	Recruitment for majority of permanent Heads of Service posts now complete. Permanent recruitment to Service Manager level and Team Manager during Quarter 4.	0.000

	Across Service Teams	Staff savings from vacant posts held across service teams	(1.022)	Savings from vacant posts held in services to cover overspend in Directorate. Also Children's Services structure review.	0.000
	Across Directorate	Other budget savings for Children's Care (excluding CC02) currently rated "Red" (as detailed in Appendix 4).	0.230	Review of savings required in order to meet existing savings targets , and continue to look at other savings opportunities across the Directorate.	0.000
Education & Partnerships	Integrated Transport Unit	Following a reassessment of demand from start of academic year in September 2024 there is an additional forecast saving of £0.676m for 2024/25. This is in addition to the £0.732m transferred to Central Budgets at Quarter One.	(0.676)		
	Across Directorate	Other variances below £250,000	0.013	Service to continue to seek to reduce expenditure to bring this element of budget into balance	0.000
Regeneration	Investment Properties	Income below budget set at Cleveland Centre offset by increased income above budget at Teesside Advanced Manufacturing Park (TAMP) where the sale concluded later than originally expected which provided additional rent to the Council whilst in it's ownership.	0.377		
	Property Services	Savings of £0.710m on the running costs budgets - this includes a one-off rates refund of (£0.244m) relating to the Crematorium	(0.705)		
	Commercial	Saving against the Valuation & Estates budget, this is mainly due to increased income as a result of sales associated with the asset review programme, and leases.	(0.235)		
	Regeneration Management	Saving currently rated "Red" re. improved housing co-ordination and provision (REG07)	0.080		
	Across Directorate	Other variances below £250,000	(0.083)		
Environment & Communities	Bereavement Services	Reduced income due to falling demand for service of £0.350m, and £0.099m due to increased costs relating to equipment and materials to enable burials at cemeteries. This is partially offset by staff savings due to posts being held vacant	0.449	Service review to be undertaken to consider further options for reducing operational costs to align to reduced activity and to assess the business case for replacement cremators which are approaching the end of their useful life.	TBC
	Waste Collection	Overachievement of income from implementation of charging for Green Waste Collection Service (£0.515m) partially offset by the junk job saving shortfall £0.054m and other income shortfall £0.078m. Also additional one-off set up costs of £0.363m to deliver Fortnightly Collection and Garden Waste Service.	(0.020)		
	Fleet Management	Increased staff costs and vehicle hires due to recruitment issues	0.600	Review to be undertaken. Market supplements are being made to solve recruitment issues and avoid greater overspend due to outsourcing work to external supplier.	TBC
	Highways Maintenance	Increased use of internal staff for grant funded projects	(0.181)		
	Street Lighting	Energy costs above budget	0.190	Review to determine whether this will continue or reduce.	TBC
	Car Parking	Residents Permits Charge unlikely to be implemented until 2025 due to software issue creating forecast pressure of £0.125m.	0.125		
	Supported Communities	Addition unringfenced grants received that can be used to cover work previously budgeted	(0.784)		
	Across Directorate	Other variances below £250,000	0.115		
Finance	Cross Cutting Savings	Budget saving (FIN07) reduction in contractual spend	0.350		
	Across Directorate	Other variances below £250,000	(0.032)		
Legal and Governance	Across Directorate	Other variances below £250,000	(0.220)		
Central Budgets	Pay and Prices Contingencies	Projected saving on Pay & Prices Pay Award contingency following 24/25 pay award agreement being reached	(1.490)		
	Inflation Held Centrally	Funding set aside centrally to cover income shortfalls within Bereavement Services. Saving reported within Central budgets offsets pressure on Bereavement Services reported under ECS	(1.431)		
	Contingency for Future Uncertainty	Net savings from growth awarded in 24/25 but not yet required, (previously reported within individual Directorates), returned centrally for 24/25. (Waste Disposal - ECS and Integrated Transport Unit - Education & Partnerships)	(1.258)		
	Senior Management Review	Budget saving currently rated as "RED" : CEN02 23/24 Senior Management Review £0.244m.	0.244		
	Across Directorate	Other variances below £250,000	(0.094)		
<b>Total Variance</b>			<b>(0.006)</b>		<b>0.000</b>



## Adult Social Care Summary

Adult Social Care	Original Budget	Current Budget	Forecast	**	Financial	Forecast	MEMO FORECAST		Issues Ref.
	Full Year	Full Year	Outturn	Forecast			Variance Split		
	£m	£m	£m	£m	£m	£m	Adv / (Fav)	Adv / (Fav)	No.
Service Strategy	0.740	0.740	0.819	0.079		0.079		0.079	
NHS Support/MSIF grant	(9.615)	(9.615)	(9.615)	0.000		0.000		0.000	
Prevention, Provider & Support Service	2.834	2.974	3.476	0.502		0.502	0.311	0.191	1
Better Care Fund (incl Improved BCF grant)	(8.618)	(8.618)	(8.618)	0.000		0.000		0.000	
Specialist & Lifelong Learning	3.144	3.315	3.293	(0.022)		(0.022)		(0.022)	
Access & Safeguarding	6.040	6.432	6.093	(0.339)		(0.339)		(0.339)	2
A&S : Temporary Accommodation only	0.165	0.228	0.732	0.504		0.504	0.165	0.339	3
Purchasing - Residential	26.527	27.838	27.828	(0.010)		(0.010)		(0.010)	
Purchasing - Direct Payments	7.578	7.758	7.803	0.045		0.045		0.045	
Purchasing - Supported Tenancies	10.866	11.312	11.304	(0.008)		(0.008)		(0.008)	
Purchasing - Enablement & Support	2.906	2.851	2.812	(0.039)		(0.039)		(0.039)	
Purchasing - Day Care	1.668	1.735	1.727	(0.008)		(0.008)		(0.008)	
Purchasing - Personal Care	10.472	10.215	9.910	(0.305)		(0.305)		(0.305)	4
Purchasing - Other	(3.997)	(3.913)	(4.377)	(0.464)		(0.464)	(0.186)	(0.278)	5
Purchasing - Savings / Growth / Inflation	1.365	(0.227)	0.026	0.253		0.253	0.369	(0.116)	6
<b>Total Directorate</b>	<b>52.075</b>	<b>53.025</b>	<b>53.213</b>	<b>0.188</b>	<b>0.000</b>	<b>0.188</b>	<b>0.659</b>	<b>(0.471)</b>	

ISSUES

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**Appendix 2 - Detailed Directorate Revenue Budget Forecast Outturn Quarter Three 2024-25**

This document was classified as: OFFICIAL

<u>Ref. No.</u>	<u>Service Area</u>	<u>Forecast Variance £m</u>	<u>Issue</u>
1	Prevention, Provider & Support Service	0.502	Levick Court £0.426m : Savings not yet achieved £0.311m due to further consideration of alternative options regarding the unit's future plus cost of re-provisioned care to the independent sector £0.165m. Partly offset by carers underspend (see ref no. 5)
2	Access & Safeguarding	(0.339)	Underspend on pay due to difficulties in recruitment (£0.334m)
3	Temporary Accommodation	0.504	Combination of increased demand and delays in Move On work due to sickness and vacancies in key roles.
4	Purchasing - Personal Care	(0.305)	Maximise the Discharge grant re. the additional "Pressures Round" contract (one-off for 24/25)
5	Purchasing - Other	(0.464)	Additional fairer charging income in excess of budget (£0.225m); additional direct payment surplus in excess of budget (£0.145m); one-off carers underspend mitigating Levick Savings (per ref 1) (£0.095m); Early achievement of 25/26 savings re Sheltered accomodation review (£0.092m)
6	Purchasing - Savings/Growth/Inflation	0.253	Current shortfall in ASC12 savings re. Adults transformation
	Other Variance < £250k	0.037	
		<b>0.188</b>	

## Public Health Summary

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### MEMO FORECAST VARIANCE SPLIT

Public Health	Original Budget	Current Budget	Forecast	Forecast	Financial	Forecast	MEMO FORECAST		Issues Ref.
	Full Year	Full Year	Outturn	Variance			Recovery Plan	Outturn	
	£m	£m	£m	£m	£m	£m	£m	£m	No.
						Adv /(Fav)	Adv /(Fav)	Adv /(Fav)	
Substance Misuse	3.908	3.988	3.456	(0.532)	0.000	(0.532)	0.000	(0.532)	1
Misc Public Health	(9.195)	(9.280)	(9.195)	0.085	0.000	0.085	0.000	0.085	
Best Start In Life	3.549	3.549	3.617	0.068	0.000	0.068	0.000	0.068	
Health Protection	1.092	1.092	1.120	0.028	0.000	0.028	0.000	0.028	
Healthy Environments	0.147	0.147	0.147	0.000	0.000	0.000	0.000	0.000	
Ill Health Prevention	0.376	0.381	0.439	0.058	0.000	0.058	0.000	0.058	
Public Mental Health	0.129	0.129	0.182	0.053	0.000	0.053	0.000	0.053	
<b>Total Before Movement to Reserves</b>	<b>0.006</b>	<b>0.006</b>	<b>(0.234)</b>	<b>(0.240)</b>	<b>0.000</b>	<b>(0.240)</b>	<b>0.000</b>	<b>(0.240)</b>	
Transfer surplus to PH reserve	0.000	0.000	0.240	0.240	0.000	0.240	0.000	0.000	2
<b>Total Directorate</b>	<b>0.006</b>	<b>0.006</b>	<b>0.006</b>	<b>(0.000)</b>	<b>0.000</b>	<b>(0.000)</b>	<b>0.000</b>	<b>(0.240)</b>	

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### ISSUES

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**Appendix 2 - Detailed Directorate Revenue Budget Forecast Outturn Quarter Three 2024-25**

This document was classified as OFFICIAL

<u>Ref. No.</u>	<u>Service Area</u>	<u>Forecast Variance</u> <u>£m</u>	<u>Issue</u>
1	Substance Misuse	(0.532)	£0.174m relates to savings on vacant posts, the remainder is a contract saving from bringing the prescribing service in house. The core substance misuse budget has to remain at this level in order to achieve the conditions within the other substance misuse grants. A plan will be put in to place to utilise this saving within the substance misuse team.
2	PH Reserve	0.240	It is proposed to transfer any underspend within the PH budget to reserve, per the grant guidance/conditions
	Other Minor Variances	0.292	
		<u>(0.000)</u>	

## Children's Care Summary

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### MEMO FORECAST VARIANCE SPLIT

Children's Care	Original Budget Full Year	Current Budget Full Year	Forecast Outturn	Forecast Variance	Financial Recovery Plan	Forecast Outturn Variance	Savings Delivery Variance	Other variances	Issues Ref. No.
	£m	£m	£m	£m	£m	£m	£m	£m	
				Adv / (Fav)		Adv / (Fav)	Adv / (Fav)	Adv / (Fav)	
Assessments & Safeguarding Care Planning	8.333	8.457	8.579	0.122	0.000	0.122	0.200	(0.078)	1
Children Looked after, Corporate Parenting and Children with Disabilities	3.291	3.336	3.911	0.575	0.000	0.575	0.410	0.165	2
Fostering, Adoption and Connected Carers	16.399	17.212	17.101	(0.111)	0.000	(0.111)	0.000	(0.112)	3
External Residential Expenditure	14.800	15.074	17.716	2.642	0.000	2.642	1.500	1.142	4
External Residential contributions	(2.155)	(2.155)	(1.872)	0.283	0.000	0.283	0.000	0.283	4
Internal Residential services	3.789	3.982	5.379	1.397	0.000	1.397	0.000	1.397	5
Other Services	5.999	6.177	5.155	(1.022)	0.000	(1.022)	0.000	(1.022)	6
Management, Business Development & Admin	3.581	3.279	3.865	0.586	0.000	0.586	0.000	0.586	7
<b>Total Directorate</b>	<b>54.038</b>	<b>55.362</b>	<b>59.834</b>	<b>4.472</b>	<b>0.000</b>	<b>4.472</b>	<b>2.110</b>	<b>2.362</b>	

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ISSUES

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Issue

**Appendix 2 - Detailed Directorate Revenue Budget Forecast Outturn Quarter Three 2024-25**

This document was classified as OFFICIAL

<u>Ref. No.</u>	<u>Service Area</u>	<u>Forecast Variance £m</u>	
1	Assessments & Safeguarding	0.122	£0.122m pressure due to agency staff costs across service area, in particular across Safeguarding service.
2	Corporate Parenting	0.575	£0.575m Forecast pressure in Children Looked After & Pathways and Children with Disabilities services due to agency posts across the service along with edge of care placements (£0.030m of this is due to unachieved saving re. Short Breaks)
3	Fostering & Adoption	(0.111)	£0.111m forecast saving, due to increases in internal fostering provision (increase of 10%) changes in policy to be fully implemented across service and effect of inflation on Fostering and carer payments, but lower than budget for this financial year due to timing of increases.
4	External Residential	2.642	£2.642m forecast pressure due to External Residential numbers being higher than budget(77). This is due to market sufficiency. The service has currently numerous complex placements that could change in Q4 and subsequent impact upon 2025-26 budget and forecast.
4	External Residential	0.283	Forecast pressure from combination of Health contributions (£0.026m pressure) and Education contributions (£0.257m pressure) to placements
5	Internal Residential	1.397	Forecast £1.397m over spend due to agency staff required covering significant
6	Other Services	(1.022)	£1.022m forecast savings due to vacant posts held across resource teams along with projected savings in Prevention service.
7	Management	0.586	£0.586m forecast pressure from agency costs and posts in both Heads Of Service (3) and Service Manager (4) posts offset by saving in Admin.
		<b>4.472</b>	

## Education & Partnerships Summary

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Education & Partnerships	Original Budget Full Year	Current Budget Full Year	Forecast Outturn	Forecast Variance
	£m	£m	£m	£m
				Adv /(Fav)
Management Budgets	(0.880)	0.050	0.050	0.000
Dedicated Schools Grant	0.000	(0.962)	(0.962)	0.000
Achievement	0.730	0.812	0.812	0.000
SEN & Vulnerable Learners	0.896	0.926	0.926	0.000
Access to Education (Excl ITU)	0.104	0.126	0.126	0.000
Partnerships	0.495	0.526	0.539	0.013
Integrated Transport Unit	6.648	5.991	5.315	(0.676)
Non DSG - Early Years	0.000	0.000	0.000	0.000
De-delegation / Buy back Services	0.000	0.000	0.000	0.000
<b>Total Directorate</b>	<b>7.992</b>	<b>7.468</b>	<b>6.805</b>	<b>(0.662)</b>

Financial Recovery Plan	Forecast Outturn Variance
£m	£m
	Adv /(Fav)
0.000	0.000
0.000	0.000
0.000	0.000
0.000	0.000
0.000	0.000
0.000	0.013
0.000	(0.676)
0.000	0.000
0.000	0.000
0.000	0.000
<b>0.000</b>	<b>(0.662)</b>

### MEMO FORECAST VARIANCE SPLIT

Savings Delivery Variance	Other variances
£m	£m
Adv /(Fav)	Adv /(Fav)
0.000	0.000
0.000	0.000
0.000	0.000
0.000	0.000
0.000	0.000
0.000	0.013
0.000	(0.676)
0.000	0.000
0.000	0.000
<b>0.000</b>	<b>(0.662)</b>

Issues Ref. No.
1

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ISSUES

**Appendix 2 - Detailed Directorate Revenue Budget Forecast Outturn Quarter Three 2024-25**

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<u>Ref. No.</u>	<u>Service Area</u>	<u>Forecast Variance</u> <u>£m</u>	<u>Issue</u>
1	Partnerships Integrated Transport Unit	0.013 (0.676)	£0.676km forecast saving against budget due to improved efficiencies of routes.
		<b><u>(0.662)</u></b>	



## Regeneration Summary

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**MEMO FORECAST  
VARIANCE SPLIT**

Regeneration	Original Budget Full Year	Current Budget Full Year	Forecast Outturn	Forecast Variance	Financial Recovery Plan	Forecast Outturn Variance	Savings Delivery Variance	Other variances	Issues Ref. No.
	£m	£m	£m	£m	£m	£m	£m	£m	
						Adv /(Fav)	Adv /(Fav)	Adv /(Fav)	
Regeneration Management	0.065	0.068	0.140	0.072	0.000	0.072	0.080	(0.008)	1
Economic Growth	(0.812)	(0.693)	(0.551)	0.142	0.000	0.142	0.000	0.142	
Investment Properties	(1.463)	(1.463)	(1.086)	0.377	0.000	0.377	0.000	0.377	2
Planning Services	0.172	0.203	0.200	(0.003)	0.000	(0.003)	0.000	(0.003)	
Property Services	5.757	5.727	4.892	(0.835)	0.000	(0.835)	0.000	(0.835)	3
Commercial	(1.960)	(1.969)	(2.204)	(0.235)	0.000	(0.235)	0.000	(0.235)	4
Cultural Services	0.416	0.472	0.415	(0.057)	0.000	(0.057)	0.000	(0.057)	
Marketing & Comms	0.399	0.415	0.388	(0.027)	0.000	(0.027)	0.000	(0.027)	
Community Learning	(0.551)	(0.545)	(0.545)	0.000	0.000	0.000	0.000	0.000	
<b>Total Directorate</b>	<b>2.023</b>	<b>2.215</b>	<b>1.649</b>	<b>(0.566)</b>	<b>0.000</b>	<b>(0.566)</b>	<b>0.080</b>	<b>(0.646)</b>	

Appendix 2 - Detailed Directorate Revenue Budget Forecast Outturn Quarter Three 2024-25

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ISSUES

<u>Ref. No.</u>	<u>Service Area</u>	** <u>Forecast Variance</u> <u>£m</u>	<u>Issue</u>
1	Regeneration Management	0.072	An officer from Thirteen Group is seconded in to the Council in part to identify necessary savings, whilst initiatives have been identified the savings are yet to
2	Investment Properties	0.377	The current projections for the Investment Properties are as follows, £0.542m Cleveland Centre, £0.129m Captain Cook Shopping Precinct, (£0.219m) Teesside Advanced Manufacturing Park (TAMP), (£0.075m) Centre Square 1 and 2. The position is similar to that reported at quarter 2, however this does assume that the new TAMP owner collects all outstanding rent owed to the Council on it's behalf.
3	Property Services	(0.705)	The running costs budget is expected to under spend by (£0.710m), this includes a one off rates refund relating to the Crematorium which has been finalised at (£0.244m).
4	Commercial	(0.235)	The forecast variance is primarily due to a saving of (£0.195m) against the Valuation & Estates budget, this is mainly due to increased income as a result of sales associated with the asset review programme, and leases.
	Other Variances +/- £0.250m	(0.075)	
		<u>(0.566)</u>	

## Environment & Community Services Summary

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Environment & Community Services	Original Budget Full Year	Current Budget Full Year	Forecast Outturn	Forecast Variance
	£m	£m	£m	£m
Strategic Asset Management	0.121	0.128	0.139	0.011
Property & Commercial	(0.862)	(0.700)	(0.388)	0.312
Environment Services	11.671	11.319	11.558	0.239
Fleet & Highways	3.171	3.288	3.821	0.533
Transport	1.973	1.614	1.568	(0.046)
EPCS General	0.083	0.280	(0.071)	(0.351)
Supporting Communities	2.647	2.631	2.199	(0.432)
North East Migration P'ship	0.000	0.000	0.000	0.000
Public Protection	1.366	1.431	1.482	0.051
Parks & Farms	0.006	0.034	0.211	0.177
<b>Total Directorate</b>	<b>20.176</b>	<b>20.025</b>	<b>20.519</b>	<b>0.494</b>

MEMO

Financial Recovery Plan	Forecast Outturn Variance
£m	£m
	Adv /(Fav)
	0.011
	0.312
	0.239
	0.533
	(0.046)
	(0.351)
	(0.432)
	0.000
	0.051
	0.177
<b>0.000</b>	<b>0.494</b>

Savings Delivery Variance	Other variances
£m	£m
Adv /(Fav)	Adv /(Fav)
	0.011
	0.312
(0.431)	0.670
	0.533
0.125	(0.171)
	(0.351)
	(0.432)
	0.000
	0.051
	0.177
<b>(0.306)</b>	<b>0.800</b>

Issues Ref. No.
1
2
3
4
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ISSUES

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Appendix 2 - Detailed Directorate Revenue Budget Forecast Outturn Quarter Three 2024-25

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<u>Ref. No.</u>	<u>Service Area</u>	<u>Forecast Variance £m</u>	<u>Issue</u>
3	Property & Commercial - Bereavement Services-Expenditure	0.099	Purchase of equipment to be used at cemeteries
3	Property & Commercial - Bereavement Services-Income	0.350	There has been a reduction in the number of cremations which have resulted in an income shortfall
2	Property & Commercial - Building Cleaning	(0.137)	Staff vacancies and turnover have resulted in a projected saving
3	Environment Services-Catering	0.130	An increase in the cost of food and drink have created an overspend. This is partially offset by a saving against staffing due to turnover and difficulties in recruiting to vacant posts.
3	Environment Services - Waste Collection-Income	(0.383)	The Garden Waste saving overachievement (£0.515m) is partially offset by the junk job saving shortfall £0.054m and other income shortfall £0.048m
3	Environment Services - Waste Collection-Savings Imj	0.363	Additional expenditure has been incurred in order to deliver Fortnightly Collection and Garden Waste savings
3	Environment Services-Waste Disposal	0.100	High cost of disposing contaminated recycling waste
4	Fleet & Highways-Fleet Management	0.600	Market Supplement payments are being made to solve recruitment issues and avoid greater overspend due to outsourcing work to external supplier. Vehicle hires due to number of essential vehicles awaiting repair - also due to recruitment issues are expecting to result in an overall pressure
4	Fleet & Highways-Street Lighting Energy	0.190	Energy costs have not reduced as much as anticipated.
4	Fleet & Highways-Street Lighting Maintenance	(0.137)	Internal operatives have carried out additional capital grant funded works.
4	Fleet & Highways-Highways Maintenance	(0.204)	Additional capital grant has been received. Associated work is to be carried out by internal operatives
6	ECS General	(0.352)	Unringfenced grant has been received in relation to supporting refugees/asylum seekers
7	Supported Communities-Neighbourhood Safety	(0.432)	(£0.245m) additional grant received that can be used to cover work previously budgeted in core. In addition (£0.188m) expected salary savings due to staff turnover
10	Parks & Farm	0.177	The footfall at Newham Grange Leisure Farm over the summer income was lower than expected. Additional expenditure has been incurred due to health and safety issues
	Other Variances across the Directorate	0.130	
		<b>0.494</b>	

## Legal & Governance Services Summary

\*

MEMO

Legal & Governance Services	Original Budget Full Year	Current Budget Full Year	Forecast Outturn	Forecast Variance
	£m	£m	£m	£m
Legal & Governance Services Management	0.153	0.156	0.147	(0.009)
Coroners	0.487	0.487	0.540	0.053
Cross Cutting Admin Saving	(0.136)	(0.136)	(0.085)	0.051
Legal Services	1.456	1.510	1.364	(0.146)
Legal Childcare	0.671	0.671	0.800	0.129
Democratic Services	1.379	1.429	1.335	(0.094)
Human Resources	1.508	1.815	1.755	(0.060)
Strategy, Information & Governance Service	0.985	1.020	1.020	0.000
ICT Service	2.545	2.602	2.502	(0.100)
Customer Centre / Mail & Print	1.339	1.491	1.447	(0.044)
<b>Total Directorate</b>	<b>10.387</b>	<b>11.045</b>	<b>10.825</b>	<b>(0.220)</b>

Financial Recovery Plan	Forecast Outturn Variance
£m	£m
	Adv / (Fav)
0.000	(0.009)
0.000	0.053
0.000	0.051
0.000	(0.146)
0.000	0.129
0.000	(0.094)
0.000	(0.060)
0.000	0.000
0.000	(0.100)
0.000	(0.044)
<b>0.000</b>	<b>(0.220)</b>

Savings Delivery Variance	Other variances
£m	£m
Adv / (Fav)	Adv / (Fav)
0.000	(0.009)
0.000	0.053
0.051	0.000
0.000	(0.146)
0.000	0.129
0.000	(0.094)
0.012	(0.072)
0.000	0.000
0.000	(0.100)
0.000	(0.044)
<b>0.063</b>	<b>(0.283)</b>

Issues Ref. No.
1
2

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### ISSUES

\*

### Issue

**Appendix 2 - Detailed Directorate Revenue Budget Forecast Outturn Quarter Three 2024-25**

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<u>Ref. No.</u>	<u>Service Area</u>	<u>Forecast Variance £m</u>	
1	Cross Cutting Admin Saving	0.051	Whilst showing as an under achievement of the savings target, causing a pressure of £0.051m, this is just within this Directorate. The remaining savings requirement has been achieved within other Directorates, with the savings being part of their overall forecast.
2	Legal Services	(0.146)	There are significant one off staffing savings of (£0.243m) due to in-year vacancies. These savings are partially offset by the need to employ agency staff to provide essential cover.
	Other Variances +/- £0.250m	(0.125)	
		<b><u>(0.220)</u></b>	

## Finance Summary

\*\*

Finance	Original Budget Full Year	Current Budget Full Year	Forecast Outturn	Forecast Variance	Movement from last quarter (Forecast Variance before Financial Recovery Plan)
	£m	£m	£m	£m	£m
					Adv /(Fav)
Strategic Finance	0.156	0.262	0.262	0.000	0.000
Financial Planning & Support	0.724	0.839	0.813	(0.027)	(0.027)
Central Support Services & Overheads to Grants	(2.483)	(2.483)	(2.483)	0.000	0.000
Cross Cutting Savings	(0.888)	(0.538)	(0.188)	0.350	0.350
Finance & Investments	2.276	2.496	2.632	0.136	0.136
Pensions Governance & Investments	0.602	0.615	0.615	0.000	0.000
Resident & Business Support - Housing Benefits Subsidy	1.020	1.087	1.267	0.180	0.180
Resident & Business Support - Operational / Non-Housing Benefits Subsidy	0.266	0.212	0.053	(0.159)	(0.269)
Strategic Commissioning & Procurement	1.449	1.586	1.424	(0.162)	(0.052)
<b>Total Directorate</b>	<b>3.121</b>	<b>4.076</b>	<b>4.395</b>	<b>0.318</b>	<b>0.318</b>

### MEMO FORECAST VARIANCE SPLIT

Financial Recovery Plan	Forecast Outturn Variance	Savings Delivery Variance	Other variances	Issues Ref. No.
£m	£m	£m	£m	
	Adv /(Fav)	Adv /(Fav)	Adv /(Fav)	
	0.000		0.000	
	(0.027)		(0.027)	
	0.000		0.000	
	0.350		0.350	1
	0.136		0.136	
	0.000		0.000	
	0.180		0.180	
	(0.159)	0.198	(0.357)	
	(0.162)		(0.162)	
<b>0.000</b>	<b>0.318</b>	<b>0.198</b>	<b>0.120</b>	

**Appendix 2 - Detailed Directorate Revenue Budget Forecast Outturn Quarter Three 2024-25**

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**ISSUES**

<b><u>Ref. No.</u></b>	<b><u>Service Area</u></b>	<b><u>** Forecast Variance £m</u></b>	<b><u>Issue</u></b>
1	Cross Cutting Savings	0.350	Relates to 50% of saving FIN07, Reduction in Contractual Spend. Total savings target was (£0.700m), which was loaded centrally initially, pending identification of affected contracts. 50% has already been allocated to Directorates as part of Tranche 1, the remaining 50% target currently held centrally is offset by savings on inflation budgets held centrally. As a result of the work undertaken on contract reviews, the requirement to provide for additional inflation has been reduced. Budget virements will be processed to reflect this.
	Other Variances +/- £0.250m	(0.032)	
		<b>0.318</b>	



## Chief Executive Summary

\*\*

Chief Executive	Original Budget Full Year	Current Budget Full Year	Forecast Outturn	Forecast Variance	Movement from last quarter (Forecast Variance before Financial Recovery Plan)
	£m	£m	£m	£m	£m
					Adv /(Fav)
Chief Executive	0.242	0.241	0.241	0.000	0.000
<b>Total Directorate</b>	<b>0.242</b>	<b>0.241</b>	<b>0.241</b>	<b>0.000</b>	<b>0.000</b>

### MEMO FORECAST VARIANCE SPLIT

Financial Recovery Plan	Forecast Outturn Variance	Savings Delivery Variance	Other variances	Issues Ref. No.
£m	£m	£m	£m	
	Adv /(Fav)	Adv /(Fav)	Adv /(Fav)	
	0.000		0.000	
<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	

## Central Budgets Summary

\*\*

General Fund & Centrally Held Budgets	Original Budget Full Year	Current Budget Full Year	Forecast Outturn	Forecast Variance
	£m	£m	£m	£m
General Fund	(0.204)	0.165	0.018	(0.147)
Capital Financing	11.154	11.154	11.154	0.000
Added Years Pensions	1.216	1.216	1.270	0.054
Change Fund	0.730	0.730	0.730	0.000
Pay & Prices Contingencies	4.754	1.490	0.000	(1.490)
Inflation Held Centrally	2.900	1.431	0.000	(1.431)
Centrally Held Grants	(33.105)	(33.105)	(33.106)	(0.001)
Senior Management Review	(0.244)	(0.244)	0.000	0.244
Exceptional Financial Support	(4.700)	(4.700)	(4.700)	0.000
Contingency for Future Uncertainty	1.422	2.383	1.125	(1.258)
Contributions to/from Reserves	8.825	8.825	8.825	0.000
External Audit	0.382	0.382	0.382	0.000
<b>Total Directorate</b>	<b>(6.870)</b>	<b>(10.273)</b>	<b>(14.302)</b>	<b>(4.029)</b>

Financial Recovery Plan	Forecast Outturn Variance
£m	£m
	Adv / (Fav)
	(0.147)
	0.000
	0.054
	0.000
	(1.490)
	(1.431)
	(0.001)
	0.244
	0.000
	(1.258)
	0.000
	0.000
<b>0.000</b>	<b>(4.029)</b>

### MEMO FORECAST VARIANCE SPLIT

Savings Delivery Variance	Other variances	Issues Ref. No.
£m	£m	
Adv / (Fav)	Adv / (Fav)	
	(0.147)	
	0.000	
	0.054	
	0.000	
	(1.490)	1
	(1.431)	2
	(0.001)	
0.244	0.000	3
	0.000	
	(1.258)	4
	0.000	
	0.000	
<b>0.244</b>	<b>(4.273)</b>	

Appendix 2 - Detailed Directorate Revenue Budget Forecast Outturn Quarter Three 2024-25

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<u>Ref. No.</u>	<u>Service Area</u>	** <u>Forecast Variance</u> <u>£m</u>	<u>Issue</u>
1	Pay & Prices Contingencies	(1.490)	Following settlement of 24/25 pay award and given late stage in the financial year with no claims on the general Pay & Prices Contingency, the remaining budgets on these areas can now be included within the projected outturn position.
2	Inflation Held Centrally	(1.431)	Relates to other centrally held inflation budgets, which are now not expected to be called upon this financial year and therefore can now be included within the projected outturn position. Note that (£0.350m) of this saving offsets the remaining element of savings target FIN07 Reduction in Contractual Spend which is reported under Finance
3	Senior Management Review	0.244	Senior Management Review budgeted saving unlikely to be achieved in 24/25
4	Contingency for Future Uncertainty	(1.258)	Net savings from growth awarded in 24/25 but not required/reallocated, (previously reported within individual Directorates), returned centrally for 24/25. (Waste Disposal - ECS and Integrated Transport Unit - Education &
	Other Variances +/- £0.250m	(0.094)	
		<u>(4.029)</u>	

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**Appendix 3 : Proposed revenue budget virements above £250,000 at Quarter Three 2024/25**  
*(under Financial Procedure Rule 18.38.3)*

<b>Proposed Virement Request</b>	<b>Regeneration</b>	<b>Environment &amp; Community Services</b>	<b>Public Health</b>	<b>Education &amp; Partnerships</b>	<b>Children's Care</b>	<b>Adult Social Care</b>	<b>Legal &amp; Governance Services</b>	<b>Chief Executive</b>	<b>Finance</b>	<b>Central Budgets</b>
	£m	£m	£m	£m	£m	£m	£m	£m	£m	£m
<b>Permanent</b>										
Bereavement Services income budget pressure due to decrease in number of cremations		0.350								(0.350)
<b>Temporary</b>										
One-off cost of improvements to Internal Residential Care provision (pending review of provision) funded from Corporate Contingency					0.735					(0.735)
Reduction in level of inflation budgets required as a result of contractual spend review linked to achievement of Tranche 2 of FIN07 saving Reduction in Contractual Spend									0.350	(0.350)
<b>Total Virement</b>	<b>0.000</b>	<b>0.350</b>	<b>0.000</b>	<b>0.000</b>	<b>0.735</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>0.350</b>	<b>(1.435)</b>
									<b>Total:</b>	<b>0.000</b>

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## Appendix 4

### Detailed savings tracker of savings categorised as “Red” and “Purple” by Directorate at Quarter Three 2024/25

Directorate	Ref:	Categorisation	Budget savings proposal	Approved 24/25 (£m)	Benefits and / or saving(s) realised, with evidence provided.					Forecast 24/25 (£m)
					Blue	Green	Amber	Red	PURPLE	
Adult Social Care	ASC02	E	Temporary Accommodation and support review	(0.165)				(0.165)		(0.311)
Adult Social Care	ASC11	T	Re-provision use of Levick Court	(0.311)		(0.095)		(0.216)		(0.311)
Adult Social Care	ASC12	T	Transformation of Adult Social Care Services	(1.900)		(1.445)	(0.420)*	(0.035)*		(1.900)
Adult Social Care	ASC13	E	Review of Direct Payments	(0.660)		(0.326)		(0.334)		(0.660)
Children's Care	CC02	E	Review of Placements (including Processes and Procedures).	(1.100)				(1.100)*		(1.100)
Children's Care	CC05	E	Other savings - Maximising grants	(0.454)		(0.104)	(0.150)	(0.200)		(0.454)
Children's Care	CC06	T	SHIFT Project, a multidisciplinary approach in prevention.	(0.400)				(0.400)		(0.400)
Children's Care	CS04		Introduce supplier incentive Scheme across Childrens purchasing	(0.031)		(0.002)		(0.029)		(0.031)
Children's Care	CS07		Reduction in agency costs	(0.380)				(0.380)		(0.380)
Environment & Communities	ECS03	I	Junk' Job collection will be chargeable.	(0.092)		(0.008)*		(0.084)*		(0.092)
Environment & Communities	ECS08	I	Resident Parking Permits Charge	(0.125)				(0.125)		(0.125)
Regeneration	REG07	T	Investing in better co-ordination of the way the Council provides housing to reduce the overall spend on emergency, temporary and short term accommodation for people.	(0.080)				(0.080)		(0.080)
Finance	FIN02	I	Review of Single Person Discounts and Student Exemption for Council Tax.	(0.198)				(0.198)*		(0.198)
Legal & Governance	LGS02	S	DBS Renewals - staff to self declare at renewal stage	(0.012)				(0.012)*		(0.136)
Central (TOM)	CEN02		Senior Management Review	(0.244)					(0.244)	(0.244)
<b>TOTAL</b>				<b>(6.152)</b>	<b>0.000</b>	<b>(1.980)</b>	<b>(0.570)</b>	<b>(3.358)</b>	<b>(0.244)</b>	<b>(6.152)</b>

\*RAG amended since January 2025 Transformation Board

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**Analysis of unrestricted and restricted reserves and provisions, and impact of the forecast year-end overspend on the level of reserves**

	<u>Closing Balance</u> <u>31/03/24 / Opening</u> <u>Balance 01/04/24</u>	<u>Amendments to</u> <u>Opening Balance</u> <u>from Collection</u> <u>Fund Surplus</u>	<u>REVISED</u> <u>OPENING</u> <u>BALANCE</u> <u>01/04/24</u>	<u>Forecast Use in</u> <u>Year</u>	<u>Projected</u> <u>Additional</u> <u>Contributions</u>	<u>Projected</u> <u>Transfers from /</u> <u>(to) General Fund</u>	<u>Forecast year end</u> <u>2024/25</u> <u>underspend</u>	<u>Forecast</u> <u>Balance at year</u> <u>end 2024/25</u>
	<u>£m</u>	<u>£m</u>	<u>£m</u>	<u>£m</u>	<u>£m</u>	<u>£m</u>	<u>£m</u>	<u>£m</u>
<b>GENERAL FUND RESERVE</b>	<b>10.986</b>	<b>0.114</b>	<b>11.100</b>	-	-	-	-	<b>11.100</b>
<b>USABLE EARMARKED RESERVES</b>								
<i><b>Restricted Use</b></i>								
Public Health	1.172		1.172			0.240		1.412
Insurance Fund	-		-	(0.500)	0.500			-
Better Care Fund	0.590		0.590					0.590
Marton Library S106	0.025		0.025					0.025
Housing Rental Sinking Fund	0.093		0.093					0.093
	1.880	-	1.880	(0.500)	0.500	0.240	-	2.120
<i><b>Unrestricted Use</b></i>								
Financial Resilience Reserve	-	6.211	6.211		0.500		0.006	6.717
Legacy Accounts Reserve	-	1.000	1.000					1.000
Change Fund	1.036	1.000	2.036	(0.300)	0.730			2.466
Elections Costs	0.033		0.033	(0.017)	0.070			0.086
	1.069	8.211	9.280	(0.317)	1.300	-	0.006	10.269
	2.949	8.211	11.160	(0.817)	1.800	0.240	0.006	12.389
<b>UNUSABLE EARMARKED RESERVES</b>								
Revenue Grants Unapplied (Technical Reserve)	5.408		5.408					5.408
Dedicated Schools Grant Adjustment Account	(14.293)		(14.293)	(6.400)				(20.693)
	(8.885)	-	(8.885)	(6.400)	-	-	-	(15.285)
<b>SCHOOL BALANCES</b>	<b>4.599</b>	<b>-</b>	<b>4.599</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>4.599</b>
<b>PROVISIONS</b>								
Business Rates Appeals	1.339		1.339					1.339
Insurance	3.007		3.007					3.007
Other	0.184		0.184	(0.017)				0.167
	4.530	-	4.530	(0.017)	-	-	-	4.513
	14.179	8.325	22.504	(7.234)	1.800	0.240	0.006	17.316

**NOTE**

The year-end balances may be subject to further change due to further technical adjustments which may be required as part of the external audit of the Council's accounts for 2023/24. These will be mainly relating to the closure of the Collection Fund accounts, DSG, school balances, and Insurance Fund. There may also be potential changes required relating to the Council's accounts for 2021/22 and 2022/23 which are still subject to review by the Council's new external auditors, Mazars. The final year-end balances on Reserves will be reported in the Council's Statement of Accounts for 2024/25.

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## Appendix 6

### Dedicated Schools Grant

1. The DSG conditions of grant require that any local authority with an overall deficit on its DSG account at the end of financial year 2021/22, or who's DSG surplus had substantially reduced, present a plan to the DfE for managing its DSG spend in 2022/23 and future years and commit to reducing the deficit. There is also a requirement to provide information as and when requested by the DfE about pressures and potential savings on its High Needs budget.
2. The Council complete regular DSG management recovery plans to outline forecasts over the next 5 years. The Council is also working with the DfE and has received a Stage 1 grant of £45,000 and a Stage 2 grant of £1m has been approved for the "Delivering Better Value" (DBV) programme that is supporting work to reduce the ongoing pressures within the High Needs Block using best practice and benchmarking across the country. Within this programme it has been identified that, to be successful, inclusion in mainstream schools needs to improve. DBV is a long-term programme and 55 other local authorities as well as Middlesbrough Council are participating in the DBV programme. It should be noted that Middlesbrough Council is not involved in the "Safety Valve" programme, which is support for those local authorities with the greatest DSG deficits.
3. DfE also expect that schools be regularly updated via the Schools Management Forum about the authority's DSG account and plans for handling it, including high needs pressures and potential savings.
4. The DBV programme (which commenced in September 2023) highlighted there were risks to the programme outcomes without significant change, regarding inclusion in mainstream schools. Inclusion within mainstream has remained a challenge, which has resulted in continued increased demand for specialist provision for children with an Education, Health and Care Plan (EHCP) and alternative provision for those children and young people who are permanently excluded. This has resulted in increasing numbers of over commissioned places, the financial impact of which is pressure to provide additional place funding alongside high needs top up to meet the individual needs of the pupils. There have also been rate increases from specialist providers. The number of commissioned Alternative Provision placements has also increased to meet rising demand from the significantly high rates of exclusion; this again places additional financial pressure on the high needs block.
5. A range of management actions are being taken alongside the DBV programme these include initiatives such as:
  - Launch of SEND and Inclusion clinics in all schools to review how they are using their notional SEND budget as well as identifying training and support required within the setting.
  - Work with health colleagues to identify health contributions where relevant,
  - On-going reviews of Education, Health, and Care Plans (EHCPs)

- Dedicated training for school staff to support inclusive practice,
  - On going work with school to prioritise the reintegration of excluded pupils into mainstream school where possible
  - Review of funding provided to schools including special schools,
  - Continued early intervention and prevention work with schools to reduce exclusions,
  - Review of maintained schools reserves and updated policy for challenging the use of those reserves
  - New Free School to be built by September 2026 which will support more children access local provision.
  - Ongoing development of local provision to meet needs and reduce the number of out of area placements,
  - Greater support during transitions
6. Regular meetings take place with the DfE and the DBV lead to monitor the actions within our DBV plan. Regular monitoring reports are also produced in line with the DBV grant conditions. The pressures on the High Needs Block are highlighted as part of this process to ensure the DfE are fully aware of the ongoing pressures within Middlesbrough.
7. The increasing pressure in DSG and the High Needs Block is due to the fact that alongside social care, the Service has seen, and is predicting, an increase in more complex placements with a forecast increase in Education, Health, and Care plans (EHCPs) in the future. In Middlesbrough, the number of EHCPs have increased from 1,659 in 2022 and 1,804 in 2023 to a current level of 2,026 in December 2024, a 12% increase from 2023 to 2024. It should be noted that the number of children with and EHCP is also a key cost driver in relation to home to school transport costs that are met by the General Fund through the Integrated Transport Unit. Some children in Alternative Provision are also a factor in relation to home to school transport costs. In 2022 132 children accessed Alternative Provision and in 2023 the figure was 175, and this figure has currently risen to 252. This is a national issue affecting many local authorities and presents a growing and significant financial risk to the Council. The Government have partly recognised this by an increase in funding allocated in the finance settlements in recent years for both Schools and High Needs Blocks. However, no specific funding has been provided in recognition of the adverse impact upon the General Fund cost of home to school transport.
8. Table 1 below shows the actual and forecast Education, Health, and Care plans (EHCPs), and is periodically being updated and used to calculate the forecasted increase in required demand on alternative provision services and also the Council's SEND transport requirements and also used to inform updates of the DSG Management Plan for Middlesbrough.

**Table 1 – Actual and forecast Education, Health, and Care plans (EHCPs)**

<b>Year</b>	<b>2022</b>	<b>2023</b>	<b>2024</b>	<b>2025</b>	<b>2026</b>	<b>2027</b>
Number of EHCP – actual and forecast	1,659	1,804	2,026	2,076	2,302	2,462



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## Summary of projects approved for utilisation of Contingency Budgets and Change Fund as at Quarter Three 2024/25

	<u>Corporate Contingency</u>	<u>Corporate Contingency - unused growth</u>	<u>C R</u>
	£m	£m	
<b>Starting Budget 2024/25</b>	<b>1.422</b>		-
<b>Change Fund - Reserve Opening Balance @ 01/04/24</b>			
<b>Change Fund - Provision Opening Balance @ 01/04/24</b>			
Budgeted contribution 2024/25			
Additional contributions in year			
Permanent adjustment - amendment to 24/25 budget for New Homes Bonus grant funding adjustment (Regeneration)	<b>(0.081)</b>		
Permanent adjustment - amendment to 24/25 budget for previous years' savings removal (LGS)	<b>(0.014)</b>		
Temporary adjustment - unused growth not required for 2024/25 - from Environment & Community Services (Waste Disposal)			<b>0.673</b>
Temporary adjustment - unused growth not required for 2024/25 - from Education & Partnerships (Integrated Transport Unit)			<b>0.732</b>
<b>Available for use</b>	<b>1.327</b>	<b>1.405</b>	
<b><u>Approved use to date</u></b>			
Children's Social Care Case Review	(0.170)		
Children's Care Internal Residential Care Improvements	(0.735)		
Chief Executive - 1 month handover with Interim/permanent postholders	(0.022)		
Middlesbrough Independent Improvement Advisory Board costs 2024/25	(0.055)		
Interim Finance consultant - Infrastructure, assets and leasing	(0.013)		
Financial improvement - Interim finance lead - accounts closure and audit, financial reporting, systems, and control	(0.126)		
Director of Finance costs above budget for permanent Director of Finance post	(0.089)		
Director of Finance - 1 month handover with interim/permanent postholders	(0.012)		
CIPFA FM Model costs	(0.037)		
Mayoral Assistant - 3 week handover of existing / new postholder	(0.003)		
Recruitment costs for Chief Executive/Director of Finance/Head of ICT	(0.036)		
HR - Organisational Development staff to support transformation			(0.147)
Contribution to Lord Lieutenant of North Yorkshire	(0.004)		
Contribution to Multibank Initiative	(0.025)		
Flexible Retirement Exit costs agreed in 23/24, but commencing in 24/25			
<b>Approved use to date</b>	<b>(1.327)</b>	<b>(0.147)</b>	
Declared as saving against 24/25 outturn at Q2 - net savings remaining at Q2 from Waste Disposal and Integrated Transport Unit			(1.258)
<b>BALANCE REMAINING UNCOMMITTED</b>	<b>0.000</b>		-

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Appendix 8 : Capital Programme Quarter Three 2024/25 - new externally funded schemes / additional external funding to existing schemes, and transfers between Council funded schemes

Directorate	Scheme	Total Value 2024/25 £m	Total Value Future Years £m	Reason	Change To Capital Programme	External Funding £m	Council Funding £m
Regeneration	Old Town Hall	0.050	4.459	The Council has been awarded £4.459m of grant funding by Heritage Lottery Fund in order to undertake significant repairs and improvements to the Old Town Hall, including a modern extension to the building. These funds are matched by with £1.873m of Government provided Towns Fund grant.	Addition to current	4.509	-
Regeneration	Cultural Development Fund - Enhancements to Partner Organisations	0.000	0.380	The Council has been awarded £0.380m of grant funding from the TVCA in order to carry out additional enhancements to the Auxiliary on top of the current Cultural Development Fund funded works.	Addition to current	0.380	-
	<b>Total Regeneration</b>	<b>0.050</b>	<b>4.839</b>			<b>4.889</b>	<b>-</b>
Environment and Community Services	Transporter Bridge	0.380	-	Stockton Council has contributed £0.380m towards health and safety inspection works at the Transporter Bridge	Addition to current	0.380	-
	<b>Total Environment And Community Services</b>	<b>0.380</b>	<b>-</b>			<b>0.380</b>	<b>-</b>
Adult Social Care	Disabled Facilities Grant	-	3.154	The Council has received formal notification from the Ministry of Housing and Local Government (MHCLG) that the 2025/26 grant allocation is £2.814m. This is in addition to a one off grant payment from MHCLG of £0.340m	Addition to current	3.154	-
	<b>Total Adult Social Care</b>	<b>-</b>	<b>3.154</b>			<b>3.154</b>	<b>-</b>
	<b>Total All Directorates</b>	<b>0.430</b>	<b>7.993</b>			<b>8.423</b>	<b>-</b>

Virements Within Directorates

Directorate	Scheme	Total Value 2024/25 £m	Total Value Future Years £m	Reason	Change To Capital Programme	External Funding £m	Council Funding £m
Environment and Community Services	Bridges and Structures	-0.388		The funds have been transferred in order to undertake essential Health and Safety inspections at the Transporter Bridge.	Virement within Directorate		-0.388
Environment and Community Services	Transporter Bridge	0.388			Virement within Directorate		0.388
	<b>Total Environment And Community Services</b>	<b>-</b>	<b>-</b>			<b>-</b>	<b>-</b>
	<b>Total All Directorates</b>	<b>-</b>	<b>-</b>			<b>-</b>	<b>-</b>

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## Appendix 9 : Capital Programme Quarter Three 2024/25 – Details of capital slippage

Capital slippage is a way of reprofiling capital budgets between financial years to match forecast timing of expenditure, whilst staying within the approved project budget.

The following details the slippage during Quarter Three. Details of the slippage at Quarter One of £3.267m and Quarter 2 of £22.178m were shown in Appendix 10 of the respective budget monitoring reports. These added together total the £29.680m total slippage for 2024/25 as at the end of Quarter Three.

Directorate	Scheme	2024/25 £m	2025/26 £m	2026/27 £m	2027/28 £m	Funding Source	Slippage Explanation
Regeneration	Levelling Up Partnership - Employment Hub	(0.450)	0.450	-	-	Grant	Cost estimates indicated that the initial allocation was insufficient, the tender process was consequently put on hold until funding from other Levelling Up Partnership schemes could be diverted to this scheme. The transfer of funds has now been undertaken with no detriment to the other schemes.
Regeneration	Levelling Up Partnership - Increase Quality of Temporary Accommodation stock	-	(2.141)	2.141	-	Grant	The Council is actively seeking to acquire 60 properties with the intention of providing temporary accommodation for homelessness people and children leaving care. Suitable properties need to be identified and refurbished. Part of the funding has been re-profiled into 2026/27 to ensure that the correct standard and location of properties are identified. If properties are identified sooner then the grant will be brought back into 2025/26.
Regeneration	Towns Fund - Urban Living & Placemaking	-	(1.000)	1.000	-	Grant	A delay has arisen due to needing varying permissions from Network Rail in order to complete roof and cladding works at the Auxiliary. There is also a delay due to unforeseen structural issues which arose when the demolition works started.
Regeneration	Cultural Development Fund - Enhancements to Partner Organisations	(0.828)	0.828	-	-	Grant	Following public consultation an amendment to the scheme was undertaken which has resulted in a delay in the physical works.
Regeneration	Levelling Up Fund - South Middlesbrough Accessibility	(1.275)	1.275	-	-	Grant	The vast majority of the re-profiling is in relation to Newham Hall. The planned junction works are now predominantly expected to be undertaken within 2026/27.
Regeneration	Newham Hall - Housing Growth	(0.222)	(8.089)	8.311	-	Grant	The Council is seeking to secure leisure operators for tenancies of the remaining units within the precinct. Until such time that the operators and their requirements are identified no works can be undertaken. The funds have therefore been re-profiled but can be brought back into 2025/26 if and when an operator is secured.
Regeneration	Indigenous Growth Fund - Captain Cook Square	-	(2.650)	2.650	-	Grant	The design of the building is yet to be agreed, additionally there are issues with respect of drainage which need to be resolved. These issues will result in the construction of the Centre now concluding in 2026/27.
Regeneration	Towns Fund - Nunthorpe Community Hub	-	(0.500)	0.500	-	Borrowing / Grant	Tender submissions have exceeded the current budget allocation, resulting in the need to undertake a value engineering exercise. Additionally, the Council is waiting the partner organisation to agree the lease terms and work is ongoing to secure the land from the academy trust. These issue will result in the construction of the Centre now completing in 2026/27.
Regeneration	Towns Fund - East Middlesbrough Community Hub	-	(0.500)	0.500	-	Borrowing	There are currently no plans for the acquisition of commercial properties, as such the funds have been re-profiled into 2026/27.
Regeneration	Acquisition of Town Centre Properties	-	(1.000)	1.000	-	Borrowing	These are residual funds relating to the allocation to Middlesbrough Development Company for the construction of Boho Village. As per Executive agreement within the quarter 1, upon the conclusion of a constructor contractor dispute, these funds will be transferred to the De-Risking Sites budget.
Regeneration	Middlesbrough Development Company	-	(1.100)	1.100	-	Borrowing	Funds have been re-profiled until a suitable affordable housing scheme is identified.
Regeneration	Affordable Housing Via Section 106	-	(1.495)	1.495	-	Borrowing / Contributions	The budget has been reviewed alongside the capital receipts programme, all necessary required funds have been identified within 2025/26, resulting in the residual budget being re-profiled.
Regeneration	Derisking Sites	-	(0.425)	0.425	-	Borrowing	The property rationalisation programme is being reviewed, the funds will be required as and when certain accommodation requirements for Council staff are identified.
Regeneration	Property Asset Investment Programme	-	(0.450)	0.450	-	Borrowing	Works have been put on hold to allow for a strategic review regarding future use of the building.
Regeneration	Town Hall Roof	-	(2.956)	2.956	-	Borrowing	Works have been put on hold to allow for a strategic review regarding future use of the building.
Regeneration	Municipal Buildings Refurbishment	-	(1.014)	1.014	-	Borrowing	Works have been put on hold to allow for a strategic review regarding future use of the building.
Regeneration	Resolution House	-	(0.492)	0.492	-	Borrowing	Works have been put on hold to allow for a strategic review regarding future use of the building.
Regeneration	Other Small Scale Slippage Across The Directorate	(1.036)	0.507	0.529	-	Borrowing / Grant	
	<b>Regeneration Total</b>	<b>(3.811)</b>	<b>(20.752)</b>	<b>24.563</b>	-		
Environment and Community Services	Highways Infrastructure	0.674	(0.674)	-	-	Borrowing	Procurement issues around some of the carriageway re-surfacing has now been resolved. This has resulted in works taking place earlier than anticipated.
Environment and Community Services	DLUC Levelling Up Neighbourhood Safety	0.264	(0.264)	-	-	Grant	Funds have been brought forward mainly in connection with work on increased street lighting in key hotspot locations taking place earlier than expected.
Environment and Community Services	Bridges & Structures	-	(0.760)	0.760	-	Borrowing	The Bridges and Structures Programme has recently been re-evaluated and re-profiled as part of the Council wide Capital Review.
Environment and Community Services	Street Lighting Column Replacement	-	(0.463)	0.463	-	Borrowing	The Street Lighting Column Replacement Programme has recently been re-evaluated and re-profiled as part of the Council wide Capital Review.
Environment and Community Services	Other Small Scale Slippage Across The Directorate	(0.180)	0.080	0.100	-	Borrowing / Grant	
	<b>Environment and Community Services Total</b>	<b>0.758</b>	<b>(2.081)</b>	<b>1.323</b>	-		

Education and Partnerships	Other Small Scale Slippage Across The Directorate	0.212	(0.212)	-	-	Grant	
	<b>Education and Partnerships Services Total</b>	<b>0.212</b>	<b>(0.212)</b>	<b>0.000</b>	<b>-</b>		
Children's Care	Children's Services Financial Improvement Plan	-	(0.650)	0.650	-	Borrowing	The funds are currently unallocated, if an initiative comes forward in 2025/26 the funds will be re-allocated accordingly.
	<b>Children's Care Total</b>	<b>0.000</b>	<b>(0.650)</b>	<b>0.650</b>	<b>-</b>		
Legal and Governance Services	Other Small Scale Slippage Across The Directorate	-	(0.037)	0.037	-	Borrowing	
	<b>Legal and Governance Services Total</b>	<b>0.000</b>	<b>(0.037)</b>	<b>0.037</b>	<b>-</b>		
Finance	Other Small Scale Slippage Across The Directorate	-	(0.239)	0.239	-	Borrowing	
	<b>Finance Total</b>	<b>0.000</b>	<b>(0.239)</b>	<b>0.239</b>	<b>-</b>		
Transformation Programme		(1.394)	(7.356)	8.750	-		The proposed activities and costs within the Transformation Programme have been reviewed, resulting in significant re-profiling, particularly the funds set aside for redundancy costs.
	<b>Transformation Total</b>	<b>(1.394)</b>	<b>(7.356)</b>	<b>8.750</b>	<b>-</b>		
	<b>TOTAL</b>	<b>(4.235)</b>	<b>(31.327)</b>	<b>35.562</b>	<b>-</b>		

<b>MIDDLESBROUGH COUNCIL</b>	
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<b>Report of:</b>	Director of Finance and Transformation (s151 Officer)
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<b>Relevant Executive Member:</b>	Elected Mayor of Middlesbrough Executive Member for Finance
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<b>Submitted to:</b>	Executive
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<b>Date:</b>	5 February 2025
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<b>Title:</b>	2025/26 Revenue Budget, Medium Term Financial Plan, and Council Tax setting
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<b>Report for:</b>	Decision
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<b>Status:</b>	Public
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<b>Council Plan priority:</b>	All
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<b>Key decision:</b>	Yes
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<b>Why:</b>	Decision(s) will incur expenditure or savings above £250,000 and have a significant impact in two or more wards
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<b>Subject to call in?:</b>	No
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<b>Why:</b>	The approval of the budget and MTFP will be taken by Council on 19 February 2025
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## Executive summary

This report provides information and advice to the Executive in terms of the proposed budget for 2025/26 and the Medium Term Financial Plan (MTFP) to 2028/29, following on from the previous report presented to Executive on 4 December 2024.

The annual budget report and MTFP is by its nature a detailed and complex report which forms the basis of the Budget and Policy Framework. Members need to have regard to all information presented in the main report which highlights the key issues for consideration and provides substantial detail in the supporting appendices.

The report incorporates the following sections following the conclusion of the recent budget consultation and the Provisional Local Government Finance Settlement (LGFS) for 2025/26 published on 18 December 2024:

- Report of the Director of Finance (s151 Officer's) in relation to the robustness of budget estimates and the adequacy of financial reserves under s25 of the Local Government Finance Act 2003 (Appendix 1)
- Medium Term Financial Plan (MTFP) 2025/26 to 2028/29 (Appendix 2)
- Proposed 2025/26 Net Revenue Budget of £143.362m (Appendix 2)
- Council Tax setting including an increase of 4.99% for 2025/26 (Appendix 7)
- Budget Consultation feedback (Paragraphs 4.8 to 4.16 and Appendix 3)
- Reserves Policy (Appendix 4)
- Fees and Charges Policy (Appendix 5)
- Proposed Capital Programme and Capital Strategy Report for 2025/26 to 2028/29 totalling £170.290m (including £74.798m for 2025/26), and the associated financing (Appendix 6)
- Schools Budgets (Appendix 8)

This report contains a number of issues for noting by Executive and requests approval of a number of recommendations by the Executive before referring for consideration and approval by Council at its budget setting meeting on 19 February 2025. These are detailed in Section 2.

The Final Local Government Finance Settlement is unlikely to be announced before this report is published and therefore the 2025/26 budget and MTFP to 2028/29 will be based upon the Provisional LGFS with any changes being reflected in the report to Council on 19 February 2025.

Council approval of the 2025/26 budget and proposed Council Tax is required by the statutory deadline of 11 March 2025.

The report should be read in conjunction with the Prudential Indicators and Treasury Management Strategy 2025/26 report elsewhere on this agenda. That report translates the Council's revenue income and expenditure plans and capital investment plans for the purpose of the council's cash flow management together with setting the framework within which the Council's investment and borrowing activity is governed.

## 1. Purpose

- 1.1 This report proposes a 2025/26 net revenue budget of £143.362m, and a Medium Term Financial Plan (MTFP) for the period 2025/26 to 2028/29 following the issuing of the Provisional Local Government Finance Settlement (LGFS) and sets out the financial planning assumptions applicable to the budget based upon the best information available at this time.
- 1.2 A Council Tax increase for 2025/26 of 4.99% is proposed, comprising 2% Adult Social Care Precept and 2.99% Core Council Tax which is within the referendum limits set by Government.
- 1.3 The report proposes a Capital Programme of £74.798m for 2025/26 and totalling £170.290m over the period from 2025/26 to 2028/29 together with a financing statement comprising a combination of external funding and council resources. In addition, the proposed capital strategy sets out the Council's approach to capital investment and financing, including the forecast levels of borrowing. The Prudential Indicators and Treasury Management Strategy 2025/26 report elsewhere on this agenda translates the Council's revenue income and expenditure plans and capital investment plans for the purpose of the council's cash flow management together with setting the framework within which the Council's investment and borrowing activity is governed. It includes the Minimum Revenue Provision (MRP) Policy which governs how the Council accounts for debt repayment in accordance with statutory regulations.
- 1.4 A summary of the Schools' Budget and allocation of the Dedicated Schools Grant (DSG) as determined under the Department for Education's (DfE's) National Funding Formula, together with an overview of the financial pressures on the DSG High Needs Block and forecast deficit which is being addressed under the Delivering Better Value (DBV) Programme.
- 1.5 The s151 Officer's recommended Reserves Policy for 2025/26 sets out the plan for replenishing and maintaining unrestricted usable revenue reserves over the period of the MTFP in order to achieve financial recovery and re-establish the Council's financial resilience.
- 1.6 The s151 Officer's recommended Fees and Charges Policy sets out the proposed framework within which discretionary charges for services will be reviewed and fees and charges set in the future in order to ensure financial viability of discretionary services.
- 1.7 The report is underpinned by the Section 151 Officer's report in accordance with s25 of the Local Government Act 2003 which assesses the robustness of budget estimates and the adequacy of financial reserves in the context of the known financial risks that exist in the Council's operating environment. The report sets out the responsibilities of all officers and members to work collaboratively together in order to enable the Council to successfully achieve financial sustainability over the medium term. Under s31A of the Local Government Finance Act 1992, the Council is required

to have regard to this report when making decisions on agreeing the budget and setting the Council Tax.

## 2 Recommendations

- 2.1 That the Executive is requested **to approve that the following are forwarded to Council for approval** as set out in **2.1.1 to 2.1.8** below
- 2.1.1 Budget proposals for savings and income generation of £7.036m in 2025/26 rising to £8.686m in 2028/29, as set out in Appendix 2 (Annex 1 and 2).
- 2.1.2 Budget growth of £2.521m in 2025/26 rising to £2.918m in 2026/27 for re-investment in services aligned to the Recover, Reset, and Deliver plan.as set in Appendix 2 (Annex 4)
- 2.1.3 Budget provision of £0.311m in 2025/26 and a further £0.100m in 2026/27 to address the removal of previously approved savings in line with the priorities outlined in the Council Plan and after listening to residents' views as set out in Appendix 2 (Annex 3)
- 2.1.4 An increase in Council Tax of 4.99% resulting in a Council Tax level (Band D) of £2,074.35 excluding parish, Fire, and Police precepts in line with both the Government's referendum limits and the s151 Officer's advice (paragraphs 4.29 to 4.32 and detailed in Appendix 7)
- 2.1.5 The proposed General Fund revenue budget for 2025/26 with a net budget requirement of £143.362m
- 2.1.6 The Financial Reserves Policy for 2025/26 (Appendix 4) including the proposed contributions to reserves to strengthen the Council's financial resilience, and which proposes:
- a minimum General Fund Balance of least 7% of the Net Revenue budget over the MTFP period to 2028/29. In the 2025/26 proposed budget the level is 7.75% equivalent to £11.1m.
  - the building up of the Financial Resilience Reserve to at least £10m in 2025/26 and £20m by the end of 2028/29 to strengthen the Council's financial resilience
- 2.1.7 The proposed Fees & Charges Policy for 2025/26, and the schedule of fees and charges arising from the application of the approved policy for 2025/26 (Appendix 5)
- 2.1.8 The Capital Strategy 2025/26 and the proposed 2025/26 to 2028/29 Capital Programme totalling £170.290m which includes the addition of new Council funded schemes, and the associated financing statement (Appendix 6).



2.2 The Executive is requested to **note** the key issues as set out at **2.2.1 to 2.2.13** below:

- 2.2.1 The statutory s25 report of the Council's Section 151 Officer in respect of the robustness of the estimates within the budget and the adequacy of reserves (Appendix 1)
- 2.2.2 The updated financial planning assumptions in the Council's Medium Term Financial Plan following the publication of the Provisional Local Government Finance Settlement (Appendix 2), and that these will be updated further following publication of the Final Local Government Finance Settlement in early February 2025, with any changes being reported to the Council on 19 February 2025 as part of the budget setting report
- 2.2.3 The creation of a Delivery Risk Budget of £2m on a one-off basis in 2025/26 only to protect against unplanned use of reserves (Appendix 2).
- 2.2.4 The transfer of the estimated surplus on the Collection Fund for 2024/25 of £3.135m to a new Savings Delivery Risk Reserve to help provide against the risk of non-delivery or delay of savings and to rebuild reserves (Appendix 2).
- 2.2.5 The creation of a Middlesbrough Priorities Fund totalling £4.367m for 2025/26 only, along with the process for use and governance of the Fund (Appendix 2)
- 2.2.6 Whilst the budget is balanced for 2025/26 and 2026/27 there will still be a budget gap of £2.726m in 2027/28 rising to £5.170m by 2028/29. Further savings proposals arising from the Transformation Programme will be required as a minimum to meet these budget gaps (Appendix 2)
- 2.2.7 The feedback of the budget consultation exercise (paragraphs 4.8 to 4.16 and Appendix 3)
- 2.2.8 The estimated balances on unrestricted usable revenue reserves as at 1 April 2025 of:
- General Fund balance - £11.100m
  - Usable Earmarked reserves – unrestricted £10.269m
- 2.2.9 The inclusion of transformation and redundancy expenditure which can be capitalised under the Flexible Use of Capital Receipts strategy (FUoCR) of £7.500m in 2025/26 (as part of planned £26.700m Transformation Programme from 2024/25 to 2028/29), and that the annual Flexible Use of Capital Receipts (FUoCR) Strategy will be presented to Council for consideration and approval in April 2025.
- 2.2.10 The Council's estimated revenue cost of borrowing for 2025/26 is £12.060m which is equivalent to 8.4% of the Net Revenue Budget and is approaching the maximum affordable level (currently set at 10% over the MTFP period),

therefore future capital investment will need to rely more heavily on external funding and capital receipts in order to maintain borrowing at affordable levels.

2.2.11 Details of the Dedicated Schools Grant (DSG) Grant for 2025/26 and the allocation to schools (detailed in Appendix 8)

2.2.12 The forecast total cumulative DSG deficit of £20.693m on 31 March 2025, including £21.281m relating to the High Needs Block (Appendix 8)

2.2.13 That a statutory override is in place which prevents the DSG deficit from being met from General Fund resources and the Government's plan to deliver a funding solution is awaited. This presents a potential significant medium term financial risk to the Council in the event that the statutory override is removed without a suitable funding solution (Appendix 8)

### **3 Rationale for the recommended decision(s)**

- 3.1 All Council members have a legal obligation to agree a balanced budget and set the Council Tax by 11 March 2025. In addition, the Council has a Best Value duty to demonstrate financial sustainability through the delivery of a balanced Medium Term Financial Plan (MTFP) over a period of at least 3 years. The setting of the budget is part of the budget and policy framework and therefore requires Full Council approval.
- 3.2 The recommendations enable the Council to progress towards meeting its statutory responsibility to set a balanced revenue budget in 2025/26 and the requirement to secure financial sustainability of the period of the MTFP.
- 3.3 The Council is required to take a systematic, coherent, and controlled approach to addressing its ongoing financial challenges over the medium-term, while enabling the delivery of the Mayor's vision and priorities for Middlesbrough through delivery of the wider Council Plan.

### **4 Background and relevant information**

#### **Report of the Director of Finance and Transformation (s151 Officer) s25 of the Local Government Finance Act 2003 (Appendix 1)**

- 4.1 Section 25 of The Local Government Act 2003 requires the Chief Financial Officer (CFO) to report to the Council on:
  - the robustness of the estimates made for the purpose of the budget calculations;
  - the adequacy of the proposed financial reserves.
- 4.2 The Council is required by law to take this report into account when making its decisions in relation to setting the annual budget and setting the Council Tax for the financial year 2025/26.

- 4.3 Section 26 of the Local Government Act 2002 places an onus on the CFO (The Director of Finance and Transformation and s151 Officer) to ensure the Council has established a minimum level of reserves to be retained to cover any unforeseen demands that could not be reasonably defined within finalising the proposed budget.
- 4.4 The s151 Officer's report is extremely important and sets the context within which the 2025/26 budget and MTFP report and the Treasury Management Strategy reports should be considered. It provides a summary of the risks and issues that need to be addressed as a priority in order to strengthen the Council's grip on its financial management arrangements to deliver financial recovery and achieve financial resilience over the period of the MTFP. It also sets out the accountabilities and responsibilities of all members and officers in relation to delivering in accordance with the 2025/26 Budget and MTFP in order to secure the financial future of the organisation.
- 4.5 The s25 report is detailed in Appendix 1 and includes the following sections:
- Legal Framework
  - Chief Finance Officer Overall Opinion
  - Current context and financial standing of the Council
  - Recommendations in relation to financial recovery and resilience
  - Robustness of Estimates
  - Governance
  - Accounting Practice
  - Budget Savings Delivery
  - Key Risks impacting Budget Delivery
  - Adequacy of Reserves

### **Revenue Medium Term Financial Plan 2025/26 to 2028/29 (Appendix 2)**

- 4.6 This section of the report includes the following main highlights with further details contained in Appendix 2 with relevant paragraph numbers in Appendix 2 indicated:
- Details of Government funding including previous years funding and funding for 2025/26 (paragraphs 3.1 to 3.64)
  - An update on the changes since the report to Executive on 4 December 2024 following the Provisional Local Government Finance Settlement (LGFS) announcement on 18 December 2024 (Table 4)
  - The Provisional LGFS provided additional funding, however most of it was one-off for 2025/26 only
  - The Final LGFS is unlikely to be announced before this report is published and therefore the 2025/26 budget and MTFP to 2028/29 will be based upon the Provisional LGFS with any changes being reflected in the report to Council on 19 February 2025.
  - Confirmation of the financial impact of proposed savings following the budget consultation exercise, which total £7.036m in 2025/26 rising to £8.686m in 2028/29 (paragraphs 4.54 to 4.57)

- Budget growth of £2.521m in 2025/26 rising to £2.918m in 2026/27 for re-investment in services aligned to the Recover, Reset, and Deliver plan (paragraph 4.58 and Annex 4)
- Budget provision of £0.311m in 2025/26 and a further £0.100m in 2026/27 to address the removal of previously approved savings in line with the priorities outlined in the Council Plan and after listening to residents' views (paragraph 4.59 and Annex 3)
- The creation of a Delivery Risk Budget of £2m on a one-off basis in 2025/26 only to protect against unplanned use of reserves (paragraph 4.16)
- The estimated surplus on the Collection Fund for 2024/25 of £3.135m will be transferred to new Savings Delivery Risk Reserve to help provide against the risk of non-delivery or delay in achieving saving and help rebuild reserves (paragraphs 4.49 and 4.72)
- The creation of a Middlesbrough Priorities Fund totalling £4.367m for 2025/26 only (paragraphs 4.61 to 4.63)
- Updated budget gaps for the MTFP period as a result of finalised financial planning assumptions, confirmation of income sources, planned expenditure, savings, and funding via the Provisional LGFS – with a balanced budget for 2025/26 and 2026/27 and a budget gap of £2.726m in 2027/28 rising to £5.170m by 2028/29 (Table 14)
- Proposes the 2025/26 Net Revenue Budget of £143.362m
- Proposes a Council Tax increase of 4.99% for 2025/26 comprising 2% ASC Precept and 2.99% Core Council Tax, in line with both the Government's referendum limits and the s151 Officer's advice (paragraphs 4.73 to 4.87).
- The continued building up of the Council's reserves to recommended levels in order to improve the Council's financial resilience in the future

4.7 This report highlights an improved financial position for the Council from that reported in the December 2024 Executive report with additional funding being provided to the Council in the 2025/26 Provisional LGFS. However, the majority of the additional funding is one-off for 2025/26 only and therefore does not provide any certainty for the medium term. There is therefore a need for the Council to continue to focus on its financial position and continue the momentum in transforming the Council services.

### **Budget Consultation Feedback 2025/26 (Appendix 3)**

- 4.8 This section provides a summary of consultation activity and responses, along with impact assessments included at Appendix 3.
- 4.9 A 4 week public consultation on the 2025/26 MTFP proposals and Council Tax increase commenced on 5 December 2024 and concluded on 8 January 2025 with consultation taking place via a general public survey on the Council's website with hard copies available upon request, a general consultation email address, and a range of targeted and general engagement events in person and online.
- 4.10 Following this consultation period, the recommendations are set in detail on how to proceed in light of the consultation and are set out below and in Appendix 3.

Consultation received the views of range of people through diverse channels of engagement, below is a summary of consultation activity:

- The budget consultation was promoted to over 45,000 residents via an email Council newsletter and promoted on the Council website and social media (Facebook and X).
- 361 responses to the Council's consultation survey
- 3 consultation in person events led by the Mayor and Executive Member for Finance and attended by senior officers, were attended by approximately 25 people
- Elected Member briefings on budget proposals
- Elected Members were provided with details of the budget consultation to enable them to share with residents in their ward
- consultation with the Council's Overview and Scrutiny Board, and attendance of the Mayor and Executive Member for Finance at Overview and Scrutiny Board
- consultation with the local business sector, including a specific formal consultation meeting with the North East Chamber of Commerce on 24 January 2025

4.11 The on-line survey invited respondents to tell us about their views on the four budget proposals that were deemed to be subject to public consultation, the proposed Council Tax increase for 2025/26, and the proposed budget for 2025/26 in general.

4.12 Analysis of the budget consultation survey responses shows the following main points:

- 24.37% of respondents who answered the question were in favour of a Council Tax increase of 4.99%. 74.23% were against, and 5 individuals did not answer the question.
- The public were asked whether they would support a proposal to increase Council Tax further than the proposed 4.99%. 90% said no in response to that question.
- The survey asked those who disagreed with the budget proposal to provide alternative suggestions they thought should be considered. 361 comments were received. Most comments related to the impact of the increase, concern that more money would be collected but service levels would reduce, high salaries, and frustration at those who do not pay Council Tax.

4.13 Consultation responders were also asked if they agreed with the areas of budget growth that had been proposed in the budget. 65% of those who answered the question that asked if they agreed or disagreed with the areas of growth said they either agreed or strongly agreed. 14% disagreed or strongly disagreed. Analysis of the free text provided on this question identified most common comments could be grouped around themes of support, a desire to see improved open spaces, more support for youth services and a desire for more events to be held in the town.

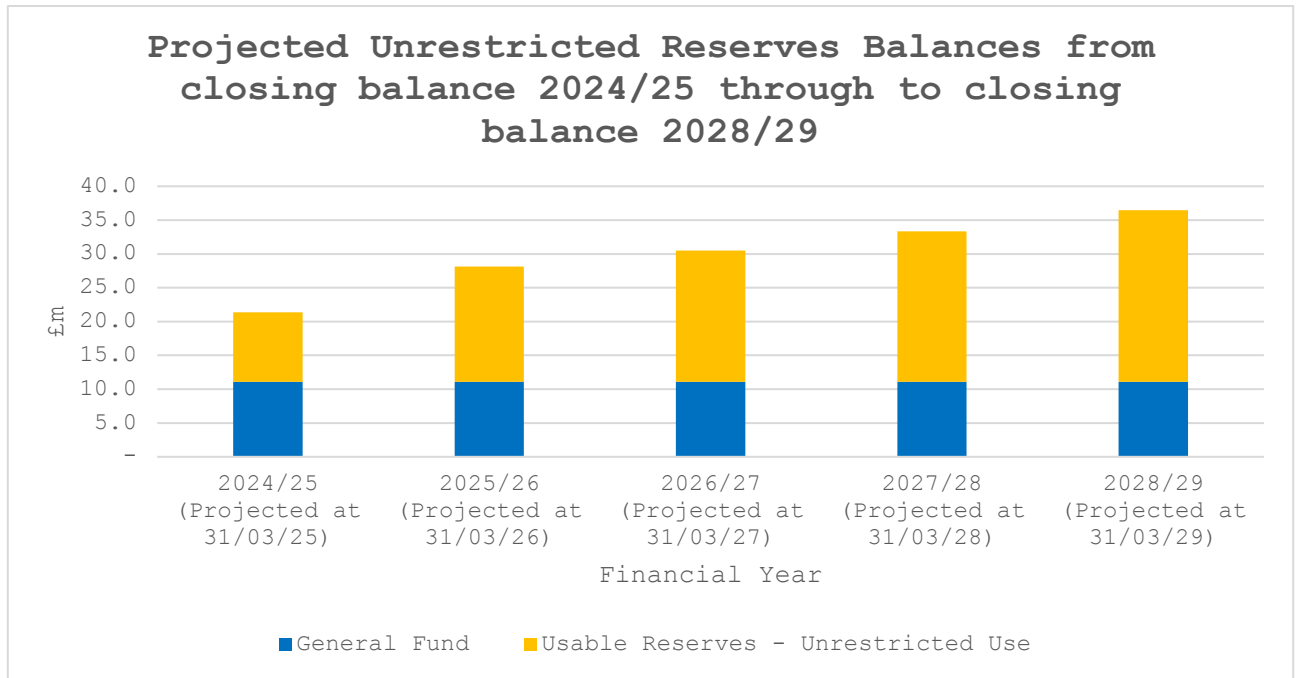
4.14 While Elected Members are not obliged to change their budget proposals in light of the outcome of the consultation, they are required to have due regard to it in making

their decisions around the Council's Council Tax levels and the Medium Term Financial Plan.

- 4.15 Following consultation, the recommendation is to proceed with savings and income assumptions presented in the December 2024 Executive Board MTFP report
- 4.16 Responses to the budget consultation survey were analysed to assess whether there were any concerns about impacts from proposals that varied by protected characteristic, which could give an indication of an unintended impact or a concern that there would be a disproportionate adverse impact on individuals or groups because they held one or more protected characteristics. This analysis is set out in the Human Rights, Equality and Data Protection section (section 6.4) of this report. Impact assessments for the budget proposals that were subject to public consultation and an overall impact assessment are set out in Appendix 3

#### **Financial Reserves Policy (Appendix 4)**

- 4.17 The Financial Reserves policy at Appendix 4 provides an overview of the Council's Reserves, the planned replenishment of the usable reserves over the term of the MTFP in order to achieve financial resilience, and sets out the principles governing their use. The Policy is reviewed and updated annually as part of the annual budget setting cycle.
- 4.18 The s151 Officer recommends that the minimum balance on the General Fund Reserve should be maintained at a level of at least 7% of the Net Revenue budget over the MTFP period to 2028/29. In the 2025/26 proposed budget the level is 7.75% equivalent to £11.1m.
- 4.19 In addition, the s151 Officer recommends the build up of the Financial Resilience Reserve to at least £10m in 2025/26 and £20m by the end of 2028/29 to strengthen the Council's financial resilience.
- 4.20 The summary forecast of all unrestricted usable reserves and the General Fund balance over the MTFP period to the end of 2028/29 after planned contributions is illustrated in the graph below, however this will depend on any unplanned drawdowns of reserves.



### **Fees and Charges Policy (Appendix 5)**

- 4.21 Appendix 5 details the Fees and Charges policy for 2025/6, which applies sector wide good practice on the levying of fees and charges into Middlesbrough's context.
- 4.22 Appendix 5 Annex 1 provides a Schedule of proposed Fees and Charges for 2025/26 for services provided by the Council, arising from the application of the proposed policy for 2025/26.

### **Capital Programme 2025/26 to 2028/29 & Capital Strategy 2025/26 (Appendix 6)**

- 4.23 The Council operates a strict approach to considering and prioritising schemes for inclusion in the capital programme set against available resources including a technical review process, as set out in the Capital Strategy in Appendix 6.
- 4.24 A review of the capital programme was undertaken in January 2025 and prior to setting the budget.
- 4.25 The main points arising from the review of the Capital Programme and the Capital Strategy are:
  - The addition of new Council funded schemes totalling £17.847m over the MTFP period to 2028/29, including £4.278m in 2025/26. These are for essential expenditure required to support the delivery of the Council's objectives and priorities
  - The addition of £7.913m of Council resources for 2027/28 and 2028/29 for schemes deemed Business as Usual
  - The total capital expenditure over the MTFP period from 2025/26 to 2028/29 of £170.290m, with a programme of £74.798m for 2025/26. This is funded by a combination of external borrowing, grants and contributions, capital receipts and





- 4.27 Although the proportion of the net revenue budget being spent on Capital Financing costs is increasing, this has been fully funded by additional budget allocations. The level is now very close to the 10% threshold which was indicated by CIPFA as an upper limit for debt financing costs when the Prudential Code was introduced in 2007. Full details regarding this are included in the Prudential Indicators and Treasury Management 2025/26 report to this Executive.
- 4.28 The Council needs to control its spending plans over the medium to long term and seek to fund expenditure via external fundings sources or capital receipts from asset sales rather than borrowing which needs to be rationed going forward in order to maintain affordability. The overall capital financing position makes it more important that the Council controls its revenue expenditure within budget, delivering its savings plans in full and realises the planned capital receipts to fund transformation and future capital investment.

### **Council Tax Setting 2025/26 (Appendix 7)**

- 4.29 Appendix 7 sets out the Council Tax base, proposed Council Tax increase and detailed calculations required by statute to determine the Council Tax applicable to each Council tax band.
- 4.30 It shows that if the final budget proposed in this report is approved by Council the Net Revenue Budget requirement for 2025/26 will be £143.362m with a Council Tax Requirement of £75.783m, equating to a Council Tax (Band D) for non-parish areas (Middlesbrough Council only element) of £2,074.35 and Band A of £1,382.90. This represents a total increase in Council Tax of 4.99% for 2025/26 comprising of a general increase of 2.99% and an adult social care precept of 2.00%.
- 4.31 This is in line with the Government's referendum limits and the s151 Officer's advice that the Mayor and Executive should adopt the current assumed maximum permissible Council Tax increase of 4.99% p.a. for 2025/26. This is necessary in light of the Council's financial position and the uncertainty over the medium term pending the Spending Review and Funding Reform during 2025. Any reduction in planned Council Tax will be a permanent loss in future funding.
- 4.32 Council Tax income has increased as a proportion of total income over the last 10 years as the level of RSG has reduced. This presents a particular financial challenge for the Council given it has a particularly low Council Tax base with 50.0% of dwellings in Band A and 17.4% in Band B. This is a higher proportion than the national Band A and B percentage and means that a greater proportion of our residents pay a Band A and B than comparable Councils. This means that a higher rate of Council Tax is needed to raise the same income yield compared with many other councils. Every 1% of Council tax raises approximately £0.700m per year. Full details regarding this were provided in paragraphs 4.51 to 4.56 of the December 2024 Executive report

## Schools Budget 2025/26 (Appendix 8)

- 4.33 Appendix 8 provides details of the Dedicated Schools Grant for 2025/26 totalling £207.169m after deductions for national non domestic rates and direct funding of high needs by Education & Skills Funding Agency (EFSA).
- 4.34 This budget has 4 elements - budgets delegated to individual schools, support to high needs pupils, provision for early years expenditure and support for central services.
- 4.35 The key points relating to the Schools budgets are:

- Total indicative grant funding for Middlesbrough is **£207.169m** for 2025/26, comprising of the following four blocks of funding:

DSG Block	2024/25 £m	2025/26 £m	Increase £m	Increase %
Schools Block	139.892	150.103	10.211	7.3
Central School Services Block	1.061	1.136	0.075	7.1
High Needs Block	30.650	33.283	2.633	8.6
Early Years Block	17.557	22.647	5.090	29.0
<b>TOTAL DSG AFTER DEDUCTIONS</b>	<b>189.160</b>	<b>207.169</b>	<b>18.009</b>	<b>9.5</b>

- This is an increase of **£18.009m (9.5%)** from the 2024/25 indicative budget after deductions
- The figures currently are indicative and the grant will be amended throughout the year as the Schools Block includes amounts which are passported straight to academies
- The DSG deficit is predicted to increase by £6.400m during 2024/25 and it is currently forecast that there will be a total cumulative DSG deficit of £20.963m at 31 March 2025, including £21.281m relating to the High Needs Block which is partly offset by £0.588m of surplus forecast across the other blocks. The pressure has been driven up by Education and Health Care Plans (EHCPs) increasing from 2023 to 2024 by over 12.3% (up from 1804 to 2026) and the service has faced the full year effect of this increase along with continued increasing numbers in the past 12 months and increasing exclusions. The position will be closely monitored during 2025/26 and reported through the quarterly budget monitoring.
- Middlesbrough are signed up to the Delivering Better Value (DBV) programme that invests £1m over an approximate 18-month period ending 31 March 2025 which aims to deliver cost efficiencies, with any extension period only due to timing of grant and delivery of the programme.
- The Dedicated Schools Grant (DSG) is subject to a statutory override by central Government which instructs Councils to account for the DSG deficits and resulting negative balance in a separate reserve and not to fund it by

using its General Fund resources. This was planned to end on 31 March 2023, however the Government extended the arrangement to at least 31 March 2026. This is a potential major risk to the Council's financial resilience in the long term if the Government remove the statutory override before the deficit position is resolved – the current balance is £20.693m which would be required to be met from the General Fund resources. The position that Government takes on this national issue which presents significant financial risks for many local authorities, will be closely followed and updates will be provided as appropriate

- A range of management actions are being taken alongside the DBV programme and the initiatives are detailed in paragraph 1.6 of Appendix 8.

## **5. Other potential alternative(s) and why these have not been recommended**

Not applicable.

## **6. Impact(s) of the recommended decision(s)**

### **6.1 *Financial (including procurement and Social Value)***

6.1.1 The detailed financial implications are set out throughout the report.

6.1.2 The Council is required by law to set a legally balanced budget by 11 March 2025. Failure to do so will result in the statutory requirement for the s151 Officer to issue a s114 Notice under s114(3) of the Local Government Finance Act 1988.

6.1.3 Council approval of the 2025/26 budget and proposed Council Tax will therefore be sought at the Council meeting on 19 February 2025 in order to comply with the statutory deadline of 11 March 2025 and to enable the billing of Council Tax to Middlesbrough households to be undertaken.

### **6.2 *Legal***

6.2.1 The Council is required under legislation to set a balanced budget for each year. The Medium Term Financial Plan and revenue and capital budgets form part of the Council's policy framework, as set out in its constitution. The approach outlined within the document will enable the Council to operate within the resources available and continue to meet its many statutory duties.

6.2.2 Elected Members (individually and collectively) have a fiduciary duty to local taxpayers and so duty to facilitate, rather than frustrate, the setting of a lawful budget, and not to do so would bring damaging legal, financial, operational, and reputational consequences for the Council, and precepting authorities such as the police, fire service and local parish councils. It may also give rise to personal liability for individual members for misfeasance in public office, negligence, or breach of statutory duty, should they be found to be purposely failing to set a lawful budget.

### **6.3 Risk**

- 6.3.1 The revision of the Council's Medium Term Financial Plan for 2025/26 to 2028/29 plays a fundamental role in ensuring that the Council Plan is delivered effectively.
- 6.3.2 The proposed approach will ensure a positive impact on the strategic risk that the Council fails to achieve a balanced budget. The proposed approach also aligns with legal requirements around consultation and assessing the impact of proposals. It therefore impacts positively on the risks that the Council could fail to achieve good governance or comply with the law.
- 6.3.3 There is a risk that the financial position of the Council will be adversely affected by any non-achievement of the proposed budget savings and other proposals for 2025/26 outlined in the report.

### **6.4 Human Rights, Public Sector Equality Duty and Community Cohesion**

- 6.4.1 Budget savings proposals for 2025/26 and beyond were initially assessed and categorised in Appendices 1 and 2 of the report to Executive on 4 December 2024 and then were subject to public consultation starting on 5 December 2024 and ending on 8 January 2025.
- 6.4.2 The Council must ensure that, in line with the Public Sector Equality Duty, that any budget saving proposals, other budget proposals, or proposed Council Tax increases thought to impact on those with protected characteristics are assessed, mitigated where possible and/or justified. As such impact assessments for those proposals and the overall budget are required to be undertaken. The completed impact assessments are appended to this report, along with an overall impact assessment at Appendix 3.
- 6.4.3 The Public Sector Equality Duty (PSED) (as set out in the Equality Act 2010) places a statutory duty on the Council in exercising its functions, to have regard to the need to:
- eliminate discrimination, harassment and victimisation;
  - advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and
  - foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
- 6.4.4 Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular, to the need to:
- remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;
  - take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it; and

- encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.

6.4.5 The protected characteristics are: age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation. Where proposed decisions may be relevant to one or more of these protected characteristics, the Council is obliged to assess the impact. If there is judged to be an adverse impact on these characteristics that is relevant to the duty above steps are taken to consider whether it can be avoided or mitigated. Where it cannot be avoided or mitigated, a decision can only be taken if it can be justified.

6.4.6 As a result of the above, the four proposals set out at Appendix 2 of the December report have been subject to a screening impact assessment. As a result of that process two of those proposals were found to have no concerns that they could have a disproportionate adverse impact on individuals or groups because they hold one or more of the protected characteristics or there were no concerns the proposals could have an adverse impact on human rights or community cohesion.

6.4.7 Two of the proposals were identified as being potentially relevant to the disability protected characteristic and one of those was also relevant to the age protected characteristic (EDC05). The impact assessment process found that the potential impacts of both proposals would be fully mitigated:

Proposal	Impact Assessment
<p>EDC05 – Recharge Discretionary Home to School transport services</p> <p><i>Where the council provides discretionary as opposed to statutory home to school transport services, these will be recharged to the relevant schools and/ or health services.</i></p>	<p>The individual IA found that the impact was mitigated because services will continue to be delivered in line with existing policy and taking into account identified needs of those transported and that its impact on schools and vulnerable children had been considered within the design of the proposal which correctly places responsibility for the costs with the school or health provider who have the responsibility to fund if needed.</p>
<p>ECS19 – Council Car Parking</p> <p><i>An increase in fees and charges above the 2% increase (average 3.5%) within the Fees and Charges policy for Council Car Parking - (See Fees and Charges Schedule)</i></p>	<p>The proposed increases are potentially relevant to the disability protected characteristic where individuals with less mobility may need to access car parking. Blue badge provisions would be unaffected by the proposals, therefore there are no concerns that the proposal could disproportionately impact on a group or individuals because they hold one or more protected characteristics and the potential impact is mitigated.</p>

6.4.8 As well as assessing the impact of proposals to reduce, remove or amend service provision, the impact assessment process also identified that the following growth

proposals would have a positive impact on the age and disability protected characteristics by increasing investment to:

- Improve practice and data quality for care packages in Adult Social Care
- Fund more youth services sessions
- Meet demand for overnight emergency accommodation

## **6.5 Climate Change / Environmental**

6.5.1 The proposal REG08 Reduction in Energy Usage should have a positive impact on the Council's aspirations for climate change.

## **6.6 Children and Young People Cared for by the Authority and Care Leavers**

6.6.1 A number of the proposals within the 2025/26 proposed budget are relevant to these groups. As per paragraph 6.4.7 one of the proposals, EDC05 Recharge Discretionary Home to School Transport Service may impact these groups, but has been fully mitigated. Other proposals will ensure that service provision is reviewed to ensure it is fit for purpose.

## **6.7 Data Protection**

6.7.1 There are no concerns that the proposals within the report will impact negatively on data protection or GDPR.

### **Actions to be taken to implement the recommended decision(s)**

<b>Action</b>	<b>Responsible Officer</b>	<b>Deadline</b>
That this report is presented to Full Council on 19 February 2025 for approval of the Revenue Budget and Council Tax for 2025/26, the updated Capital Programme for the period to 2028/29, and the Capital Strategy 2025/26. Council will also be requested to approve the MTFP for 2025/26 to 2028/29.	Director of Finance and Transformation	19/2/25
If approved by Council on 19 February 2025, the proposals set out in this report will form the basis of the 2025/26 revenue budget of the Council	Director of Finance and Transformation	19/2/25

## Appendices

1	s151 Officer Statement on Robustness of the budget and adequacy of reserves, required under s25 of The Local Government Act 2003 (Pt 1)
2	Revenue Medium Term Financial Plan 2025/26 to 2028/29
3	Budget Consultation – impact assessments 2025/26
4	Financial Reserves Policy
5	Fees and Charges Policy
6	Capital Programme 2025/26 to 2028/29 and Capital Strategy 2025/26
7	Council Tax Setting 2025/26
8	Schools Budget 2025/26

## Background papers

Body	Report title	Date
Executive	2024/25 Revenue Budget, Medium Term Financial Plan, and Council Tax setting	28/2/24
Executive	Prudential Indicators and Treasury Management Strategy Report – 2024/25	28/2/24
Council	2024/25 Revenue Budget, Medium Term Financial Plan, and Council Tax setting, and Treasury Management Strategy 2024/25	8/3/24
Council	Transformation of Middlesbrough Council	24/4/24
Executive	2025/26 Budget and MTFP Approach and Timetable	22/5/24
Executive	2023/24 Revenue and Capital Outturn and development of MTFP	26/6/24
Executive	Revenue and Capital Budget – Forecast Year-end Outturn position at Quarter One 2024/25	4/9/24
Executive	2025/26 Medium Term Financial Plan	4/9/24
Executive	Capital Programme Governance Improvement	13/11/24
Executive	Revenue and Capital Budget – Forecast Year-end Outturn position at Quarter Two 2024/25	4/12/24
Executive	Treasury Management Mid-Year review – 2024/25	4/12/24
Executive	Calculation of Council Tax Base for 2025/26	4/12/24
Executive	2025/26 Draft Budget and Medium Term Financial Plan 2025/26 to 2028/29	4/12/24

Executive	Revenue and Capital Budget – Forecast Year-end Outturn position at Quarter Three 2024/25	5/2/25
Executive	Prudential Indicators and Treasury Management Strategy Report – 2025/26	5/2/25

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## **Appendix 1 - S151 Officer Section 25 Report**

### **The robustness of the 2025/26 budget and adequacy of reserves**

#### **1 Purpose of the report**

- 1.1 This is an important report which provides the context within which the entire suite of the 2025/26 budget and MTFP and Treasury Management Strategy Reports on this agenda must be considered when making decisions in relation to setting the annual budget and Council Tax.
- 1.2 The report advises Elected Members of the Council of the Director of Finance and Transformation's (s151 Officer) report on the robustness of estimates made for the purposes of the budget calculations and the adequacy of proposed financial reserves as required by statute.

#### **2 Legal Framework**

- 2.1 Section 25 of The Local Government Act 2003 (the Act) includes the following statutory duty in respect of the budget report to Council:

*'the Chief Financial Officer (CFO) of the authority must report to it on the following matters:*

- a) the robustness of the estimates made for the purpose of the calculations;*
- and*
- b) the adequacy of the proposed financial reserves.'*

- 2.2 The Act also requires the Authority to which the report is made to have regard to the report when taking decisions about the budget and setting the Council Tax. The Chief Finance Officer is as defined in Section 151 of the Local Government Act 1972 and is fulfilled by the Director of Finance.
- 2.3 Section 26 of the Local Government Act 2003 places an onus on the CFO (the Director of Finance and Transformation and s151 Officer) to ensure the Council has established a minimum level of reserves to be retained to cover any unforeseen demands that could not be reasonably defined within finalising the proposed budget. For the purpose of the Act 'reserves' include the 'General Fund Balance.
- 2.4 This report has been prepared by the CFO to fulfil this duty and gives the required advice relating to the 2025/26 financial year. This includes a consideration of the budget proposals as a whole and the key financial risks facing the Council.
- 2.5 In accordance with s31A of the Local Government Finance Act 1992, the Council is required to have regard to this report when making decisions on

agreeing the budget and setting the Council Tax for the financial year 2025/26.

### **3 Chief Finance Officer Overall Opinion**

- 3.1 At 2024/25 budget setting the Council's financial position was deemed critical by the previous s151 Officer due to demand pressures, a critically low level of revenue reserves, and it was unable to set a balanced revenue budget for 2024/25 without recourse to Exceptional Financial Support (EFS) from the Department for Levelling Up, Housing and Communities (DLUHC) - now renamed Ministry of Housing, Communities and Local Government (MHCLG).
- 3.2 Whilst the Council financial position has substantially improved through actions undertaken during 2024/25 and is now on a firmer setting, it is still fragile for the following major reasons and there needs to be a continuing focus on the Council's finances.
- 3.3 The Council is forecast to slightly underspend by £0.006m against its budget of £143.190m in 2024/25 (as per the Quarter Three budget monitoring), however it has still not been able to fully mitigate its financial pressures during 2024/25 mainly in relation to children's social care expenditure and has had to rely on underspends on central budgets to create an underspend position. It also has net savings totalling £3.048m which are forecast to be unachieved in 2024/25. It should also be noted that even if the Council breaks even against the budget of £143.190m it will still have to borrow or use capital receipts to fund the £4.7m used to balance the 2024/25 budget.
- 3.4 Whilst the Council reserves have improved during 2024/25 and now the balance on usable unrestricted reserves are forecast to be £21.369m at 31 March 2025, they are still at a relatively low position compared to other local authorities. However, the Council reserves are adequate to support the budget for 2025/26 having regard to the assessment of current financial and other risks and the implementation of recommended management control measures as set out in this report. Provided these assessed risks do not increase substantially and beyond those that have been reasonably assumed in developing the budget the Council is capable of delivering an increase in its financial resilience over the MTFP period. The Council must aim to rebuild its usable unrestricted revenue reserves over the period of the MTFP as outlined in Section 11 of this report and the Reserves Policy in Appendix 4 of the budget report.
- 3.5 Given the Council's financial position and the uncertainty over the medium term pending the Spending Review and Funding Reform in 2025/26, the s151 Officer advised the Mayor and Executive to adopt the current assumed maximum permissible Council Tax increase of 4.99% p.a. for 2025/26 and this

has been recommended in the proposed budget for 2025/26. Any reduction in planned Council Tax will be a permanent loss in future funding.

- 3.6 There is also a high level of budget savings planned to be made over the MTFP period to 2028/29 with £15.4m savings required over the period from 2025/26 to 2028/29, and these are on top of £15.3m of savings required for 2024/25. This creates a risk in that these are not fully achieved or replaced with alternative savings of a similar value creating pressures on the budget and requiring the use of already low levels of reserves.
- 3.7 Whilst the budget is balanced for 2025/26 and 2026/27 there are still gaps in balancing the budget for 2027/28 and 2028/29. This will necessitate the need for the Council's Transformation Programme to generate savings to help bridge the budget gaps.
- 3.8 On the basis of the risks and issues set out in this report, in my opinion as Director of Finance and Transformation (s151 Officer), the budget estimate of £143.362m and a council tax requirement of £75.783m for 2025/26 to be presented for approval by Council is robust on the basis that:

- a) All Members and Officers will work collaboratively together with an unrelenting focus and priority placed upon:
  - a. controlling costs within cash limited budgets without exception.
  - b. Delivery of all £11.9m of planned savings for 2025/26 and a further £3.5m for 2026/27 on an ongoing basis
  - c. Identify and develop further transformational savings to enable implementation to secure delivery of a minimum of a £2.726m further savings by 2027/28 and an additional £2.444m of savings by 2028/29 based on the current budget gaps for those years
  - d. Noting that the failure to deliver planned savings in any financial year will add to the budget gap in the following financial year
  - e. Following extensive training in the new Financial and Contract Procedure Rules, Directors will ensure full staff compliance across their respective service areas.

These control measures will serve to preserve and rebuild the Council's revenue reserves to strengthen the Council's financial resilience over the medium term.

- b) The Council takes all necessary measures to realise the delivery of planned asset sales in 2025/26 (estimated to be £17m in 2025/26) which are critical to fund transformation investment over the MTFP, and the capital programme.

- c) The funding for the Transformation Programme is maintained at current levels over the period of the MTFP (i.e. £26.7m over the period from 2024/25 to 2028/29).
- d) That transformation and savings delivery plans are developed with continued momentum and appropriate temporary resources are secured across Service Directorates to ensure delivery in line with programme delivery profiles. Each Director will need to ensure that they secure the necessary resources to deliver within available transformation financial resources given the risks to delivery noted in section 5.3 below.
- e) That outputs both financial and non-financial are realised as part of the Transformation Programme, and any expenditure is spent in accordance best value principles.
- f) That sufficient senior and specialist capacity of the Finance Team is secured to be able to service the organisational requirements associated with delivering transformation alongside its normal duties in upholding the S151 officer statutory responsibilities to the required standard. The resources within the substantive team are currently insufficient to deliver at the extent of improvements in financial management required to support the delivery of transformation, and uphold the business-as-usual statutory duties of the s151 officer.

*S114 (7) of the Local Government Finance Act 1988 requires that the Council provide the s151 Officer with sufficient resources as the s151 Officer considers necessary to fulfil their statutory duties under the Act.*

Budget growth has been provided within the proposed 2025/26 budget and if this is approved by the Council as part of the budget setting for 2025/26 then this should provide adequate resources to enable additional capacity and increased qualified accountancy staff in order to implement a new operating model and structure for the Finance Function during 2025/26, as part of the financial management improvement plan to ensure that it is adequate to meet the longer term needs of the Council.

- 3.9 The Council must continue to proactively address the areas for improvement set out in previous external bodies, such as DHLUC/Grant Thornton, Middlesbrough Independent Improvement and Advisory (MIIAB), the CIPFA Financial Management Review undertaken during 2024/25, and the recent LGA Corporate Peer Challenge. In particular, embedding improvements to budget modelling and forecasting within the operational management of services underpinned by effective systems and processes will deliver improved and embedded financial management practices across all directorates.
- 3.10 Whilst I am able to provide a high level of assurance for the 2025/26 budget I do have concerns that I will be unable to provide such assurance for the

medium term should the MTFP position change significantly. This medium term judgement reflects the following concerns;

- Continued inflationary pressures;
- Significant financial risks around our social care budgets;
- The inability to make transformation savings to address the medium term position;
- Further delays in fair funding reform and business rates baselining, from which we have a realistic expectation of additional funding; and
- Notwithstanding fair funding reform which should provide an improvement, a forecast tightening of government funding over the medium term;

#### **4. Current Context and Financial Standing of the Council**

##### **2024/25 Financial Position**

- 4.1 The Council approved a balanced budget for 2024/25 in February 2024 but due to the financial position at the time and the critically low level of usable earmarked revenue reserves there was a requirement to apply for Exceptional Financial Support (EFS) from the Department for Levelling Up, Housing and Communities (DLUHC) - now renamed Ministry of Housing, Communities and Local Government (MHCLG) - and £4.7m of EFS was required to balance the 2024/25 budget.
- 4.2 The forecast outturn position at Quarter One 2024/25 was a £3.742m overspend, but with improved monitoring and control measures implemented across the organisation by the Leadership Management Team, Elected Mayor and Executive the current forecast outturn position at Quarter Three is an underspend of £0.006m against the £143.190m budget set for 2024/25 (details are provided in the Quarter Three budget monitoring report to Executive on 5 February 2025).
- 4.3 The Council's approach to financial management and control must continue to be rigorous and continue to be reviewed and strengthened through 2025/26 to establish a firm grip on financial management and embed this in the strategic and operational management of the organisation. This is essential to achieve and sustain the current momentum in the improvement in the Council's finances.
- 4.4 There has been an unrelenting focus by the Leadership and Management Team and Executive Members upon managing and tracking the delivery of approved savings over the course of the year. Where original plans have proved difficult or not possible to deliver within the year, alternative mitigations have been deployed as far as possible by Directors through the development and implementation of Financial Recovery Plans.
- 4.5 The Quarter Three position on savings delivery is included in the Quarter Three budget monitoring report to Executive on 5 February 2025, and shows that there are £3.048m of net savings which are deemed to be undeliverable.

These are factored into the 2024/25 forecast budget position and have been reviewed to ensure they are achievable ongoing.

4.6 The table below summarises the main variances within the Council which have proven difficult to mitigate fully due to a combination of:

- The demand led and statutory nature of the services which have experienced increased demand and complexity of need beyond those anticipated.
- Inflationary pressures continuing to impact the supply chain for goods, works and services.
- The nature of current operating models which need to be modernised to realise efficiencies.
- The requirement for more effective demand management to support and enable communities to become more resilient and self-reliant.

<b>2024/25 Forecast Outturn Quarter Three</b>	<b>£m</b>
Adult Social Care – unachieved savings	0.659
Adult Social Care – other - mainly by maximising a one-off grant	(0.471)
Children’s Social Care – increased numbers and complexity of external residential placements	2.361
Children’s Social Care –unachieved savings	2.110
Central – savings against centrally held inflation and contingency budgets	(4.273)
Other variances (ECS, Education & Partnerships, Regeneration, Legal and Governance, Finance, and Central)	(0.392)
<b>Total</b>	<b>(0.006)</b>

4.7 It is essential that robust measures are taken during 2025/26 to manage demand more effectively, deliver efficiencies and develop longer term transformation to control costs, particularly in the areas of Adult Social Care, Children’s Care, Education and Partnerships (SEND transport), Homelessness and Environment and Communities (Waste Disposal), in order to ensure the financial sustainability of the Council in the medium to longer term.

4.8 As reported previously the Council’s usable unrestricted reserves and the General Fund Balance had reduced considerably over the period 2015/16 to 2023/24 to a critically low level of £12.055m at 31 March 2024. Whilst the level of reserves has improved considerably during 2024/25 to a forecast level of £21.369m at 31 March 2025 (as per the Quarter Three budget monitoring) they are still at a relatively low level compared to other local authorities with further details being included in the Adequacy of Reserves Section 11.

4.9 The Council still has a low level of financial resilience as a result of the weaknesses in its financial management practices over a number of years. The need to exercise financial grip on operational expenditure and achieve

transformation of its service delivery models and financial management practices through 2025/26 is critical to stabilise the financial position.

- 4.10 The Council must now continue to have a firm grip and take firm and unwavering action in 2025/26 in order to control expenditure within its annual income sources without exception in order to protect and rebuild reserves to a sufficient level over the medium term 2025/26 to 2028/29.

## **5 Recommendations in relation to financial recovery and resilience**

- 5.1 In September 2024 MHCLG withdrew the Best Value Notice in relation to the Council's failings in culture and governance. However there is still a continuing need to embed improvements in relation to securing financial sustainability and delivery of transformation, whilst effectively implementing new strategies to embed positive cultures.
- 5.2 The Council is progressing on its improvement journey and must seize opportunities to deliver modernisation and efficiency in its operations and embed more robust financial management practices with momentum in order to protect its financial position and succeed in the medium term.
- 5.3 The Council currently lacks sufficient capacity within its permanent staffing establishment across service directorates and enabling services such as HR, Legal, IT and Finance in order to achieve the level of change required at the pace expected and this presents a significant risk which needs to be addressed through the resource planning for transformation that is currently underway. This risk has been highlighted by DLUHC/Grant Thornton, MIIAB, and CIPFA as part of its Financial Management Review during 2024/25. Ensuring that the Council has the appropriate skills, knowledge and capacity in place across service directorates and enabling services such as finance, HR, ICT and legal services is critical to the Council's success. This is being addressed within the development of the transformation programme resource plans and budget growth for these services.
- 5.4 Alongside the need to redesign and transform service delivery, there is a requirement to continue to review and strengthen the financial management arrangements within service directorates, including the adoption of a corporate standard approach to demand and cost modelling, forecasting and reporting, improved financial management skills amongst budget holders, upskilling the finance team and ensuring underlying IT systems, business processes and procedures are in place to establish 'one version of the financial truth' for Middlesbrough Council to support its financial planning and strategic and operational decision making.
- 5.5 The nature of the demand pressures in adult and children's social care, SEND transport, homelessness, and Waste Disposal have proved difficult to control and mitigate in previous years and are key themes within the transformation and savings programmes proposed for 2025/26 and over the medium term, and in turn are critical to securing financial sustainability of the Council.

- 5.6 Service Directors will be required to deliver fully on their savings plans during 2025/26 whilst proactively managing operational income and expenditure to remain within the budget allocations for which they are responsible and accountable without exception.
- 5.7 In addition to ensuring appropriate resources within the service areas, this work will need appropriate engagement of the Finance Business Partnering function. The Finance Service is currently depleted in terms of its capacity to meet the needs of the organisation at this time and presents a specific risk to the Council's ability to deliver on transformation and meet the statutory responsibilities of the s151 Officer. Budget growth has been provided within the proposed 2025/26 budget and if this is approved by the Council as part of the budget setting for 2025/26 then this should provide adequate resources to enable additional capacity and increased qualified accountancy staff in order to implement a new operating model and structure for the Finance Function during 2025/26, as part of the financial management improvement plan to ensure that it is adequate to meet the longer term needs of the Council. There is however a risk in recruiting the required resources due to lack of available suitably qualified and experienced accountancy staff within the local government sector, and other options may be required to be considered to achieve this objective.
- 5.8 A significant amount of work has been undertaken by the Finance Team to develop and improve the Council's approach to demand and cost modelling which is the foundation of robust financial management. Further work will be required during 2025/26 and will build upon the foundations laid during 2023/24 and 2024/25 and will require the integration of operational and financial management through activity-based costing at the most basic level of operational management and decision making across all directorates. In particular, senior finance input will be required to be embedded in transformation programme multi-disciplinary teams to ensure that effective and robust financial management systems and processes are established and embedded in the redesigned and transformed service models.
- 5.9 Budget holders and decision makers within service areas must become more proficient in understanding and managing the financial consequences of their decisions and further training will be provided throughout 2025/26.
- 5.10 Finance Business Partnering needs to be developed to provide greater forward looking, proactive analysis, information, advice and constructive challenge to Directorate Management Teams. The Finance Business Partner is the S151 Officer's representative and should be positioned as a full and equal member of the Directorate DMT, representing and advising Service Directors on behalf of the S151 Officer and upholding the statutory responsibilities of the S151 Officer. The S151 Officer will seek to modernise the traditional approach to delivering accountancy support and financial reporting that is currently the norm across the organisation. This is necessary



in order to establish a firm grip upon the financial management of Service Directorates and embed a strong financial management culture.

- 5.11 There is a fundamental risk to achieving this requirement given there is insufficient capacity of appropriately skilled and experienced staff within the permanent Finance function as outlined above. Section 114(7) of the Local Government Finance Act 1988 requires the local authority to provide its Chief Finance Officer with such staff, accommodation and other resources as are in his/her opinion sufficient to allow his/her duties under the Act to be performed. This risk has been mitigated by the provision of additional resources in the proposed 2025/26 budget as outlined above.

## **6. Robustness of Estimates**

- 6.1 Budget estimates are based upon a combination of known data and assumptions of which some are within the organisation's control, and some are outside of its control. Therefore, it is not possible to predict the future with certainty and so the statement on robustness of estimates cannot give a 100% guarantee that expenditure and income will be incurred as expected in developing those budget estimates. The financial planning environment is particularly uncertain due to persistently high inflation which is built into budgets, and again only a one-off Local Government Finance Settlement being published for 2025/26.
- 6.2 Work has commenced to establish a standardised approach to demand and cost modelling in the areas of adult social care, children's social care, Integrated Transport Unit and Waste given the scale of the expenditure and financial pressures being experienced in order to improve the Council's approach to budget setting, monitoring and forecasting as required by recommendations made in various external reviews, including the CIPFA Financial Management Review which took place in during 2024/25.
- 6.3 Models are assessed as adequate, but work will need to continue through 2025/26 to improve the Council's financial planning and forecasting capability through more focus upon data and forecasting techniques to strengthen the links between service and financial planning for the future.
- 6.4 The s151 Officer has relied upon the following measures in order to meet the requirements for assessing the robustness of estimates:
- Budgets have been aligned to the identified spending needs of the Council through the assessment of demand, pay inflation, non pay inflation, contractual inflation and assessment of income sources as set out in the detailed proposed 2025/26 Budget and MTFP at Appendix 2.
  - Compliance by all Directors in the use of budget development guidance issued to support the development of budget saving proposals, including the use of standardised summary business case templates which capture the costs, benefits, risks, impact of proposals together with a high level profile of delivery timescales.

- A further review of income from fees and charges for discretionary services has been undertaken and a Fees and Charges policy which was first implemented in 2024/25 is proposed again for 2025/26 to provide a framework within which fees and charges should be managed .
- A review of savings proposals and their achievability by the Executive, Leadership Management Team, Departmental Management Teams and due diligence review by Finance to assess the robustness and deliverability of proposals.
- The Overview and Scrutiny Board have been engaged in the review and challenge of budget proposals during the consultation period and a series of all member briefings and consultation events have been held to help shape budget proposals.
- Budget proposals have been subject to public and staff consultation where appropriate and feedback has been factored into the finalisation of proposals.
- Directors have taken responsibility and accountability for the delivery of their budget proposals and have formally signed them off as deliverable.
- The use of in-year budget monitoring by Directors and engagement through monthly budget challenge sessions to understand and address the underlying drivers of cost and the recurrent vs non recurrent nature of pressures being experienced in year.
- Director's assessment of expected demand for service provision over the term of the MTFP and testing this in order to assess the credibility of future growth pressures.
- Sensitivity analysis on the assessment of service demand for the demand led statutory service areas to assess the adequacy of reserves.
- The Capital Programme has been extensively reviewed to ensure Council resources are utilised within affordable limits, whilst also ensuring provision for essential expenditure required to support the delivery of the Council's objectives and priorities
- The Treasury Management position reflects the annual requirement to meet capital financing costs of £12.060m in 2025/26 which is equivalent to 8.4% of the Net Revenue Budget.

## **7 Governance**

- 7.1 The Budget has been prepared with the full involvement of the Leadership Management Team led by the Chief Executive and has engaged fully the Elected Mayor and the Executive over many months and iterations of budget proposals.
- 7.2 Under the Council's Constitution, financial management is delegated to each Director, and they are required to manage expenditure within approved resources allocated to their control.
- 7.3 Following the revision of the Constitution and Contract and Financial Procedure rules in September 2023, all senior officers have received relevant

training and are required to comply fully with these procedures. Further training will be provided during 2025/26.

- 7.4 Enhanced monthly budget monitoring, forecasting and reporting arrangements will continue throughout 2025/26 and essential spending controls including vacancy management and contract compliance will remain indefinitely.
- 7.5 Monthly tracking of savings delivery will be reported by the Programme Management Office engaging fully with Finance Officers to ensure savings delivery and overall cost control remain on track.
- 7.6 An enhanced transformation and programme management framework will operate in relation to the delivery of proposed savings and the development of new transformational projects throughout 2025/26 and over the period of the medium term financial plan.
- 7.7 Realisation of capital receipts from asset sales is critical to funding investment in transformation and therefore will be managed as a workstream within the programme management framework to provide assurance of delivery.

## **8 Accounting Practice**

- 8.1 The 2023/24 annual audit report by the Head of Internal Audit (Veritau) gave a Reasonable Assurance conclusion in August 2024 in relation to the framework for governance, risk management and control operating in the Council. The report acknowledges the progress that the Council has made to address these previously identified issues as well as the corporate issues identified in the government's Best Value notices in January 2023 and January 2024 which are the subject of the CGIP and s24 Notice. This is a significant improvement from the Limited Assurance opinion given in 2021/22 and 2022/23 in which a number of governance weaknesses were identified that were not limited to a specific area or audit.
- 8.2 It is noted that within that assessment, the conclusion of the most recent internal audit reports relating to core financial systems has given substantial assurance on the audit of the main accounting system, debtors and payroll, and for creditors, which gives the s151 officer some degree of assurance over the control environment and completeness and accuracy of financial reporting arrangements for core financial systems that impact upon budgeting and financial reporting.
- 8.3 Issues identified in relation to use of Purchase Cards in Children's Services has resulted in a revision and strengthening of policies and procedures for the use of purchase cards across the wider organisation. Weaknesses also remained in Children's Services in relation to commissioning and contract management with agreed actions now implemented. Children's Services use of agency staff identified a number of issues relating to policies, procedures, authorisation of recruitment, pre-employment checks and timesheet

authorisation, and the findings and management actions were presented to the Audit Committee in October 2024.

- 8.4 Further due diligence will be undertaken in relation to accounting practice including Dedicated Schools Grant and capitalisation of expenditure through 2025/26 and so it is possible that new issues may emerge as this work is delivered.

## **9 Budget Savings Delivery**

- 9.1 The budget development process for 2025/26 continued the requirement to produce a summary business case as a minimum standard (referred to as R2 form) in relation to every budget proposal which captures key financial information around investment, income, expenditure reduction (staff and non staff), impact upon service users, equality impact assessment, risks and dependencies and high level delivery timescale, together with a RAG rating on the risks associated with delivery of planned savings.
- 9.2 More complex and transformational savings initiatives will be subject to enhanced programme and project management in accordance with the new Transformation Programme governance arrangements to provide assurance of delivery.
- 9.3 It is critical that the Leadership Management Team and Executive have an unwavering focus upon ensuring the following during 2025/26:
- delivery of planned savings
  - development and implementation of further transformation, efficiency and demand management plans.
  - Strict cost control including on vacancies, other staff costs and expenses,
  - Compliance with Contract Procedure Rules to ensure expenditure is 'on-contract' and appropriate use and control of purchase card expenditure.
  - Continuation of monthly budget monitoring, forecasting and challenge sessions to ensure that proactive arrangements are in place to address adverse variances as they emerge.
  - Continuation of quarterly member led budget challenge sessions (monthly for Children's Care) and review sessions with full engagement of portfolio holders in overseeing financial performance on a monthly basis.
  - Integration of operational and financial management processes that enable the development of more robust data driven demand and cost models which are the foundation for effective financial planning, forecasting, monitoring and control.
- 9.4 The s151 Officer has made financial provision for a Savings Delivery Risk Reserve of £3.135m and a delivery risk budget of £2m in 2025/26, due to the following factors:

- the challenging nature of the savings programme which is predicated heavily upon new transformation, redesign and demand management measures
- the fact that programmes of this magnitude can take a period of time of implement
- the Council's potential lack of sufficient resources and capacity to ensure delivery with momentum

9.5 It is anticipated that the amount of transformation expenditure will be up to £5.0m in 2025/26 (including ICT), with an estimate for redundancy costs of up to £1.750m in 2025/26, and a contingency budget of £0.750m. This will be funded from Flexible Use of Capital Receipts (FUoCR) and will mean that the estimated value of the FUoCR will be £7.5m in 2025/26, and once finalised this will be presented for consideration and approval by Council in April 2025. It is essential that the capital receipts are received during the year to fund the Transformation Programme and the Capital Programme

## **10 Key Risks impacting Budget Delivery**

- 10.1 **Demand for Children's Social Care** - As described in the MTFP at Appendix 2, the Council continues to experience exceptionally high levels of demand, complexity, and cost of children's social care, particularly in relation to its reliance upon external residential provision to meet the needs of children in its care. The budget has been increased from £31m in 2019/20 to £54m in 2024/25, with a further proposed increase of £3.5m for demand in 2025/26 and £1.5m p.a. for 2026/27 to 2028/29 based upon further expected pressures.
- 10.2 **Demand and cost of Adult Social Care** - Costs are increasing due to increased demographic demand pressures, together with higher care fees to providers to offset their rising costs and capacity constraints due to labour shortages. The Adult Social Care service is also experiencing challenges in recruitment and retention of staff of which pay is a driving factor.
- 10.3 **Special Educational Needs and Disabilities (SEND) Transport** - The budget for the Integrated Transport Unit which provides transport services has been reviewed in detail and rebased during 2024/25 with additional budget being provided in order to address the increasing numbers and complexity of SEND pupils requiring transport. Whilst intensive work has been undertaken to establish more robust demand and cost modelling to support financial planning and budgetary control, there is a need to continue to monitor this area closely.
- 10.4 **Homelessness** - In line with the national issue affecting many local authorities across the country, the Council is experiencing an increase in the number and complexity of homelessness cases and a need for temporary accommodation. This is coupled with an increase in the cost of provision, especially in relation to bed and breakfast accommodation. The Local Housing Allowance (LHA) within Housing Benefit Subsidy is proving to be

insufficient to meet these costs resulting cost pressure to the General Fund budget.

- 10.5 **Waste Disposal Costs** – Inflationary provisions have been built into the budget for waste disposal given that the Council is nearing the end of its existing contractual arrangements for residual waste disposal, and it is necessary to reflect the expected uplift in market prices that is likely to result from replacement provision. This, combined with budget proposals aimed to increase recycling rates and reduce the proportion of residual waste, aims to deliver cost efficiencies in 2025/26 and future years. This is dependent upon changing the behaviours of households across the town to dispose of waste more responsibly and has potential to achieve significant cost savings / cost avoidance if implemented effectively.
- 10.6 **Delivery of Savings** – The budget for 2025/26 is predicated on a total of £11.876m of savings being delivered in 2025/26 (£7.036m of new savings being delivered in addition to £4.840m of savings previously approved in 2024/25). This is in addition to the savings already implemented in 2024/25 totalling £15.302m. Also there are a total of £3.517m of savings planned for 2026/27, and there will be need to identify at least a further £5.170m of ongoing savings by 2028/29 through additional transformation themes to address the remaining budget gap over the MTFP planning period. The requirement to make nearly £36m of ongoing savings over the period from 2024/25 to 2028/29 creates a risk.
- 10.7 **Insured and uninsured risks** – During 2022/23 the Council’s Insurance Actuary undertook a review of the insurance arrangements and as a result the Council set aside £7m for known and future insurance claims that are likely to be settled. Of this, £3.33m was set aside as a provision in 2020/21 Statement of Accounts for claims received but not yet paid. With effect from the 2023/24 budget, an annual contribution of £0.5m is made over future years to address the remaining £3.7m of potential claims that may be received in the longer term. A further actuarial review will take place during 2025/26.
- 10.8 **Internal Borrowing** – The Council adopts a policy of optimising its treasury management activities to utilise internal borrowing from its cash balances where it is prudent to do so. This is expected to be around £17.809m in 2025/26. Much of this relates to revenue and capital reserves held on the balance sheet that are expected to be used over the MTFP period. This and the associated costs of external borrowing are factored into the current capital financing forecast cost of £12.060m for 2025/26.
- 10.9 **Finalisation of prior year Statement of Accounts** – The Council currently has prior years Statements of Accounts that remain subject to the completion of the external audit, with the delay due largely to the impact of the national reset of the local authority audit market by MHCLG. An earmarked reserve of £1m has been set aside to provide for unforeseen adverse audit adjustments that may arise from the conclusion of these legacy audits in future periods.

10.10 **DSG deficits** - Whilst Middlesbrough received £30.650m for DSG High Needs for 2024/25, the Council are forecasting spending an estimated £36.852m expenditure in 2024/25, an in year pressure of £6.202m on High Needs which would increase the Council's overall DSG deficit position to £20.693m at 31 March 2025. The pressure has been driven up by Education and Health Care Plans (EHCPs) increasing over recent years from 2022 to 2024 by over 12.3% (up from 1,804 in 2023 to a current level of 2,026) and the service has faced the full year effect of this increase along with continued increasing numbers in the past 12 months, and also increasing exclusions. The Dedicated Schools Grant (DSG) statutory override which instructs Councils to account for the DSG negative balance in a separate reserve and not to fund it by using its General Fund will continue to 31 March 2026. However, no further information in relation to a Government funding solution or the continuation of the statutory override beyond that date has yet been received and therefore this presents a significant financial risk to the Council in the future. Middlesbrough participates in the Delivering Better Value (DBV) programme that invests £1m over an approximate 18-month period ending 31 March 2025, and a range of management actions are being taken alongside the DBV programme to try to reduce this deficit. Further focus in this area is required during 2025/26.

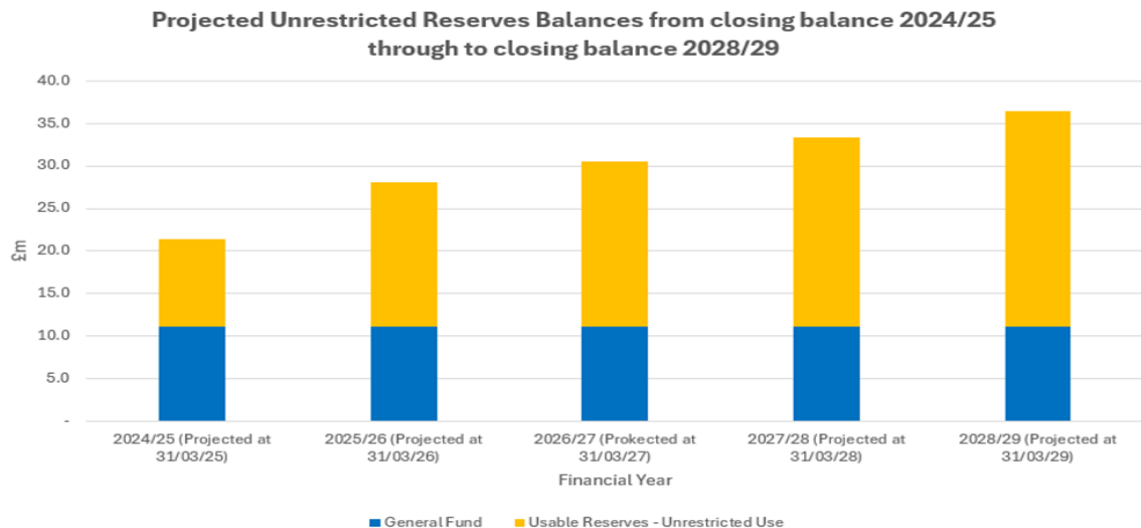
10.11 **Utilisation of Reserves** – The proposed budget for 2025/26 does not place any requirement or reliance upon the use of revenue reserves in order to balance the revenue budget position and this principle will be upheld over the term of the MTFP.

## 11 Adequacy of Reserves

11.1 The level of Council reserves have improved considerably during 2024/25 and now are forecast to stand at £11.1m for General Fund and £10.269m for useable unrestricted reserves on 31 March 2025 (as per Quarter Three budget monitoring report), however there are still at a relatively low position compared to other local authorities. The Council has one of the lowest levels of total reserves as a proportion of its net revenue expenditure when compared to all unitary councils in England as illustrated in Figure 1 of the Reserves Policy in Appendix 4.

11.2 The Council must aim to rebuild its unrestricted revenue reserves over the period of the MTFP as outlined in the Reserves Policy in Appendix 4 of the budget report.

11.3 The Financial Reserves Policy at Appendix 4 sets out the plans to rebuild and maintain the level of reserves over the 2025/26 to 2028/29 period of the MTFP as reflected below to continue the recovery of the Council's financial position and rebuild its financial resilience:



- 11.4 Following a review of the Reserves Policy (Appendix 4), the minimum level of the General Fund Balance, the s151 Officer recommends that the General Fund Balance should be maintained at a minimum level of at least 7% of the Net Revenue Budget over the period of the MTFP to 2028/29. The current level is £11.1m, a level equivalent to 7.75% of the net revenue budget.
- 11.5 Within usable unrestricted revenue reserves, the Financial Resilience Reserve (FRR) will continue to operate as a budget smoothing reserve to meet unanticipated financial pressures and in order to strengthen the Council's financial resilience given the uncertain environment within which the Council is managing its operations and increasing demand for statutory services . The s151 Officer recommendation is that the FRR should be at £10m by the end of 2025/26 and then at £20m by the end of the current MTFP period. This will provide sufficient resilience to support the management of risks in the delivery of the revenue budget over the period. The balance on usable unrestricted reserves at 31 March 2025 is forecast to be £10.269m.
- 11.6 It is essential that Directorates exercise strict management of expenditure within approved budgets in 2025/26 with no overspending, which will detract from achieving the planned rebuilding of reserves.



# Appendix 2

## Medium Term Financial Plan (MTFP)

### Executive Summary

- 1.1. The Council maintains a MTFP which sets out the financial envelope that is available within which the aims of the Council Plan are to be achieved.
- 1.2. The Council's Transformation Programme is an integral part of the MTFP, and necessary not only to deliver change but to reduce the overall cost of service delivery by providing financially sustainable services all within the cost envelope. A further report will be submitted to Executive in April 2025 updating on progress on the Transformation Programme together with the Flexible Use of Capital Receipts Strategy for 2025/26 which will be referred to Council for consideration and approval and incorporation into the Budget and Policy Framework.
- 1.3. The Council is committed to making the changes needed to secure its long-term financial stability whilst maintaining and improving services to residents. This will be achieved by the prudent management of the Council's finances and the strengthening of its financial resilience through enhanced budget monitoring controls, more effective financial forecasting, minimising new borrowing, and the effective management of reserves.
- 1.4. The 2025/26 Draft Budget and Medium Term Financial Plan 2025/26 to 2028/29 report to Executive on 4 December 2024 set out the financial position and challenges facing the Council. This was based upon a number of key assumptions in relation to the wider economic environment and local challenges faced by the Council in meeting the needs of the community.
- 1.5. This report updates the financial planning assumptions following the announcement of the Provisional Local Government Finance Settlement (LGFS) on 18 December 2024. The Final LGFS is unlikely to be announced before this report is published, and therefore the 2025/26 budget and MTFP to 2028/29 will be based upon the Provisional LGFS with any changes being reflected in the budget report to Council on 19 February 2025.
- 1.6. This report highlights an improved financial position for the Council following the Provisional LGFS with additional funding being provided. However, the majority of the additional funding is one-off for 2025/26 only and therefore does not provide any certainty for the medium term. There is therefore a need for the Council to continue to focus on its financial position and continue the momentum in transforming the Council services.
- 1.7. In response to a significant level of single year funding, the Middlesbrough Priorities Fund of £4.367m will be established, using this funding to deliver high impact, one-off projects for the benefit of our communities. The temporary nature of this funding means we are unable to build it into our ongoing revenue budget (details are provided in paragraphs 4.61 to 4.63).

1.8. The other main highlights of the MTFP are as follows, with further details being provided in this Appendix:

- Confirmation of the proposed new budget savings following the budget consultation exercise, which total £7.036m in 2025/26 rising to £8.686m in 2028/29
- Budget growth of £2.521m in 2025/26 rising to £2.918m in 2026/27 for re-investment in services aligned to the Recover, Reset, and Deliver plan.
- Budget provision of £0.311m in 2025/26 and a further £0.100m in 2026/27 to address the removal of previously approved savings in line with the priorities outlined in the Council Plan and after listening to residents' views
- a balanced budget for 2025/26 and 2026/27 and a budget gap of £2.726m in 2027/28 rising to £5.170m by 2028/29
- 2025/26 Net Revenue Budget of £143.362m
- Council Tax increase of 4.99% for 2025/26 comprising 2% ASC Precept and 2.99% Core Council Tax.
- The continued building up of the Council's reserves to recommended levels in order to improve the Council's financial resilience in the future

## Constructing the Medium-Term Financial Plan (MTFP)

- 2.1 The revenue element of the MTFP is set out in the context of:
- a period of reducing inflation, following a 40 year high in 2022 which locked in high prices for many of the Council's suppliers and services.
  - the continuation of a cost of living crisis impacting on citizens;
  - a challenging employment market, with recruitment and retention issues internally within the Council and generally across the wider public sector;
  - continuing increased demand for services, in particular those relating to Adults Social Care and Children's Social Care, Home to School Transport, and Homelessness which is expected to continue over the life of the plan;
  - the need to secure financial recovery by protecting the current level of revenue reserves and rebuilding them to strengthen the Council's financial resilience.
  - continued lack of certainty over future Government funding that impacts adversely upon the Council's ability to carry out any long-term financial planning.
- 2.2 The development of the MTFP has identified a range of financial pressures including inflation on pay (including the planned increase in employers' national insurance contributions), contracts, together with increased service demand across statutory services such as adult social care, children's social care, homelessness, home to school transport and waste disposal (details of drivers behind these pressures were provided in the December 2024 report to Executive). These have been offset by identifying deliverable expenditure reductions and income growth through a range of budget proposals that are programmed to deliver significant cost efficiency and/or demand reduction whilst delivering improved outcomes for citizens, thereby improving value for money
- 2.3 The capital programme is developed alongside the revenue budget and MTFP, and both are intrinsically linked by the Treasury Management Strategy and MRP Policy (contained in a separate report to this Executive). This determines how the Council accounts for the revenue cost of borrowing, but also how it manages the affordability, sustainability and prudence of the Council's capital financing activities within the framework of the overall budget process. The Council's investment in its capital programme is reliant upon borrowing, external grants, contributions and the generation of capital receipts that are realised from the sale of its fixed assets. During the last budget in March 2024, the S151 Officer indicated that borrowing levels were approaching a pre-determined threshold as a % of the net revenue budget that may undermine sustainability and prudence if further borrowing continued to be used.
- 2.4 The Asset Review report to Executive in November 2023 set out the process of fundamentally reviewing and rationalising the Council's asset portfolio to realise a substantial pipeline of capital receipts that would be required to fund its transformation programme, future capital investment and/or repayment of borrowing to reduce the revenue costs of borrowing. Given the Council's relatively low level of financial revenue reserves the successful delivery of capital receipts arising from the delivery of planned asset disposals is critical to funding the

delivery of the Transformation Programme and realising the savings that are due to be delivered over the period of the MTFP in order to maintain the financial sustainability of the Council.

- 2.5 The aim of the MTFP is to achieve a financially balanced and sustainable General Fund revenue budget and Capital Programme that support the delivery of the Council's priorities, meets statutory requirements and delivers value for money services to citizens over the MTFP period.

## **Funding Overview**

- 3.1 The Government allocates grant funding to local authorities in a process called the 'local government finance settlement' (LGFS). These can be multi-year settlements but since 2015 they have been single year settlements, which creates undue risk and uncertainty for local authorities in their medium term business and financial planning.
- 3.2 The 2025/26 Provisional LGFS is again a one year settlement for 2025/26 only, and therefore significant uncertainty remains with regard to the Council's resources for 2026/27 and beyond.
- 3.3 Alongside the 2025/26 Provisional LGFS the Government did however outline their plan for the long delayed 'Fair Funding' review and the reform of Business Rates (which have been delayed for a number of years) which seek to change the way that government funding is allocated to local authorities, and opened a consultation on the [Local authority funding reform objectives and principles](#) which closes on 12 February 2025. This review will take place in 2025 and will be subject to widespread consultation with the local government sector. The Government expect a three-year Settlement to be implemented from 2026/27, combined with a fundamental review of the methodology for distributing government funding to local authorities (Funding Formula). Uncertainty and risk will still therefore exist for the Council and local government generally with regards to funding for 2026/27 onwards.
- 3.4 The current Funding Formula is widely recognised as being not fit for purpose and it is expected that the review will result in a significant redistribution of resources between local authorities with effect from the 2026/27 financial year. It is too soon to assess the impact for Middlesbrough, although the Government has recognised the significant financial challenges for areas like Middlesbrough, which are subject to high levels of multiple deprivation and low Council Tax raising abilities to fund disproportionate costs.
- 3.5 Pending the review in the 2025/26 Provisional LGFS the Government have recognised this and the need to move resources to those areas with greatest need, with the announcement of a new one-off Recovery Grant for 2025/26 worth £5.410m to Middlesbrough along with some other one-off grants. These are for 2025/26 and there is no guarantee that the same level of funding will be provided from 2026/27 onwards.
- 3.6 It is crucially important to note that the 2025/26 LGFS is a one year only settlement and that a Government Spending Review will be announced in the Spring 2025, followed by a three-year Settlement for 2026/27 to 2028/29 which will be significantly tighter for the local government sector based upon published data. The Government's Budget announced on 30 October 2024 indicated a one-off

‘front loading’ of funding in 2025/26 combined with the continuation of the Exceptional Financial Support mechanism for those authorities facing a s114 scenario.

## Local Government Finance Settlement (LGFS) Funding

- 3.7 In the 2025/26 Provisional LGFS published on 18 December 2024 the Government outlined 2025/26 grant funding for local authorities. This was issued prior to the publication of the 2025/26 Draft Budget and MTFP 2025/26 to 2028/29 report to Executive on 4 December 2024.
- 3.8 The 2025/26 Provisional LGFS announcement, alongside other changes since the December 2024 report are reflected in this report. The Final LGFS will not be published until early February 2025 (likely to around 5 February 2025) and will therefore be published after the circulation of this report, and therefore any material changes from the Provisional to Final LGFS will be reflected in the budget report to Council on 19 February 2025.
- 3.9 Settlement Funding is the amount of funding assumed by the Ministry of Housing, Communities and Local Government (MHCLG) to be available to an authority through the estimated Business Rates share and general grant funding.

**Table 1** summarises the total amount of funding assumed by MHCLG to be available to the Council through an estimated Business Rates share and general grant funding (including previous specific grants which have been rolled into it).

**Table 1: Provisional Local Government Finance Settlement 2025/26**

Main Element of Settlement	Provisional Settlement 2025/26 £m
Revenue Support Grant	15.444
Business Rates Baseline	19.341
Business Rates Top Up	30.794
	<b>65.579</b>

- 3.10 The Government has assumed a level of Retained Business Rates for Middlesbrough based on their own projections drawing from the new 2023 Business Rates revaluation. The baseline figure used in the settlement calculations and included in **Table 1** is **£1.134m** higher than the forecast of Retained Business Rates income of **£18.207m** as reported to MHCLG in the NNDR1 return and included in the proposed budget. This MHCLG estimate is based on the original 2013/14 level assumed when the local retained scheme was introduced, uplifted by multiplier inflation and revaluations. It does not take account of local changes in the underlying tax base.
- 3.11 In the absence of any Government exemplifications of the likely impact of any ‘Fair Funding’ policy and Business Rates reforms the future settlement funding, included in the MTFP from 2026/27 onwards, assumes an unchanged underlying system with projected inflationary increases. Where increases are expected for specific grants listed in **Table 2** these have been projected on the best available data, and a summary of the amounts assumed is provided in **Table 12**.

## Core Spending Power

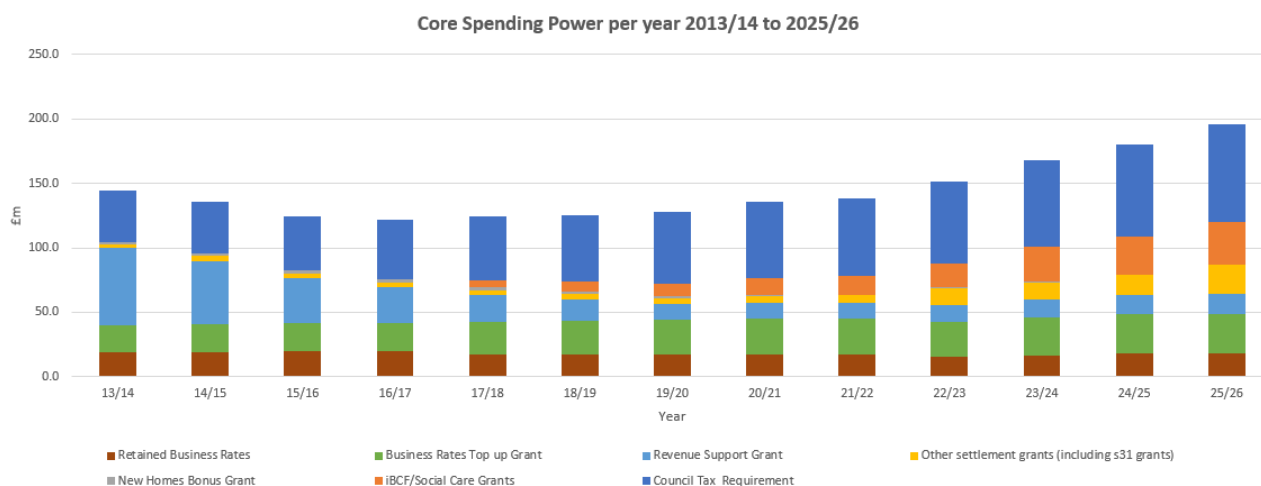
- 3.12 Core Spending Power is the Government calculation used to illustrate the overall impact of local authority funding. This includes the Settlement funding, their assessment of Council Tax income and various specific grants. This measure attempts to assess the total resources over which the Council can exercise discretion on how it can spend its funding.
- 3.13 The Government has published that in their assessment Middlesbrough's overall core spending power for 2025/26 is **£2,957** per dwelling. This represents an assumed annual increase in core spending power of **8.8%** or **£222** per dwelling in 2025/26 as set out in **Table 2**. This is above the England total percentage change in core spending power of 6%.

**Table 2: Core Spending Power (CSP)**

Elements of MHCLG Core Spending Power	MHCLG Estimates	
	Revised 2024/25 £m	Provisional 2025/26 £m
Settlement Funding Assessment	64.756	65.579
Compensations for lower Business Rates multiplier (MHCLG estimate)	9.845	10.341
Council Tax Requirement (MHCLG estimate)	71.400	75.944
Local Authority Better Care Grant	8.646	10.666
New Homes Bonus Grant	0.499	0.031
Social Care Grant	19.202	22.504
ASC Market Sustainability & Improvement Fund	3.316	3.316
ASC Discharge Fund	2.020	-
Services Grant	0.321	-
Domestic Abuse Safe Accommodation Grant	0.411	0.513
Recovery Grant	-	5.410
Childrens Social Care Prevention Grant	-	1.989
Grants rolled in	0.079	-
Funding Guarantee	-	-
<b>Total</b>	<b>180.496</b>	<b>196.293</b>
Increase in CSP		£12.248m
Annual % change in CSP		8.8%
CSP per dwelling (£)	£2,735	£2,957
Increase in CSP by dwelling (£)		£222

- 3.14 The source of local authority funding has altered in recent years with a greater proportion of overall funding coming from Council Tax and less from Revenue Support Grant (RSG). **Figure 1** below shows the Council's Core Spending Power for 2013/14 to 2025/26 with **Table 3** showing the absolute figures used for the chart to provide detail on the individual components. This shows a change in the mix of funding over the years including increasing percentage of overall funding from Council Tax and a reducing percentage from RSG. As shown in **Table 3** below, Middlesbrough Council has suffered a significant reduction in general Government funding in the form of RSG and Business Rates Top Up Grant with a reduction of £35m (43%) from £81.2m received in 2013/14 to £46.2m in 2025/26. This does not take into account inflation. It should be noted that some of this reduction has been offset by growth in service specific grants, such as the Local Authority Better Care Fund, Social Care grant as illustrated in **Figure 1**. Given the mix of government funding has altered substantially over the period, some widely used comparisons that focus upon RSG and Business Rates top up need to be interpreted with great care.

**Figure 1: Core Spending Power per year 2013/14 to 2025/26**



**Table 3: Core Spending Power per year 2013/14 to 2025/26**

Core Spending Power per year													
	13/14	14/15	15/16	16/17	17/18	18/19	19/20	20/21	21/22	22/23	23/24	24/25	25/26
	£m	£m	£m	£m	£m	£m	£m	£m	£m	£m	£m	£m	£m
Council Tax Requirement	40.2	40.0	42.6	46.2	49.1	51.9	55.3	58.7	60.6	63.8	67.3	71.4	75.9
LA Better Care Fund (IBCF) / Social Care Grants	0.0	0.0	0.0	0.0	5.1	7.3	9.7	13.2	14.7	17.7	26.7	29.9	33.2
New Homes Bonus Grant	1.6	1.7	2.1	3.3	3.0	2.3	2.0	1.3	0.2	0.9	1.1	0.5	0.0
Other settlement grants (including s31 grant)	2.5	4.6	3.6	3.3	3.3	4.1	4.6	5.0	6.0	13.6	13.2	15.3	22.7
Revenue Support Grant	60.4	49.1	34.9	27.6	21.1	16.5	12.0	12.2	12.2	12.6	14.2	15.1	15.4
Business Rates Top up Grant	20.8	21.2	21.6	21.8	25.7	26.0	26.9	27.3	27.3	27.3	29.3	30.5	30.8
Retained Business Rates	18.9	19.1	20.0	19.9	16.9	17.4	17.5	17.7	17.6	15.5	16.4	17.8	18.2
<b>Core Spending Power</b>	<b>144.5</b>	<b>135.7</b>	<b>124.8</b>	<b>122.1</b>	<b>124.1</b>	<b>125.5</b>	<b>127.8</b>	<b>135.4</b>	<b>138.6</b>	<b>151.2</b>	<b>168.1</b>	<b>180.5</b>	<b>196.3</b>
<b>% Annual change</b>		<b>-6.1%</b>	<b>-8.0%</b>	<b>-2.1%</b>	<b>1.6%</b>	<b>1.1%</b>	<b>1.8%</b>	<b>6.0%</b>	<b>2.4%</b>	<b>9.1%</b>	<b>11.2%</b>	<b>7.4%</b>	<b>8.8%</b>

Note – above does not factor in inflation

3.15 The Special Interest Group of Municipal Treasurers (SIGOMA) has undertaken some research to understand the ‘real terms’ effect of the Core Spending Power changes from 2010/11 to 2025/26. They have done this by determining a 2010/11 Core Spending Power notional figure which allows direct comparison to reflect the rolling out of grants and changes to the composition of Core Spending Power and by using the GDP deflator produced in the Autumn Statement each year. **Table 3a** below shows that whilst Middlesbrough has had a cash increase in Core Spending Power from 2010/11 to 2025/26 it has actually suffered a £55.4m (22%) cumulative ‘real terms’ cut in Core Spending Power from 2010/11 to 2025/26 based on 2024/25 prices, equating to a ‘real term cut’ of £834.7 per dwelling. This is both more than the national average and the SIGOMA average.

**Table 3a: Core Spending Power Changes 2010/11 to 2025/26 (SIGOMA)**

Local authority	Real terms cuts			Cash terms cuts		
	Cum. Cut 15 years 10/11 to 25/26 at 24/25 prices £m	Percentage real term cut %	£ per dwelling real term cut £ pd	Cash increase/cut 15 years 10/11 to 25/26 £m	Percentage cash term increase/ cut %	Cash Increase/ Cut 10/11 to 25/26 Per dwelling £ pd
England	-12,993.2	-15.9%	(506.1)	12,901.9	23.2%	502.5
<b>Middlesbrough</b>	<b>-55.4</b>	<b>-22.0%</b>	<b>(834.7)</b>	<b>24.4</b>	<b>13.8%</b>	<b>367.3</b>
SIGOMA	-4,318.9	-19.9%	(657.9)	2,559.2	16.9%	389.8

- 3.16 It is important to note that the Government's calculation of Core Spending Power assumes that the local authority increases the Council Tax by the maximum permitted. Therefore, the extent to which the Council has determined Council Tax increases below the maximum permitted, results in a level of funding below the assessed Core Spending Power.

### **Council Tax income**

- 3.17 The Provisional LGFS confirmed that local authorities can increase Council Tax up to a maximum of 3% plus 2% Adult Social Care precept (a total of up to 5%) without the requirement for a referendum for 2025/26. In light of the Council's financial position and the uncertainty over the medium term pending the Spending Review and Funding Reform in the Spring 2025, the s151 Officer has advised the Mayor and Executive to adopt the current assumed maximum permissible Council Tax increase of 4.99% p.a. for 2025/26. The increases in Council Tax being proposed for 2025/26 are 2.99% General Council Tax and 2% Adult Social Care precept and is therefore within the maximum permissible increase and these are detailed in Appendix 7 with a summary of the Middlesbrough element of the Council Tax (excluding parishes, Police and Fire) being shown in **Table 13** in paragraph 4.75.
- 3.18 As detailed above Council Tax income has increased as a proportion of total Council income over the last 11 years as the level of general Government funding in the form of RSG and Business Rates Top Up Grant has reduced. This presents a particular financial challenge for the Council given it has a particularly low Council Tax base with 50.0% of dwellings in Band A, and 17.4% in Band B. This is a higher proportion than the national Band A and B percentage and means that a greater proportion of our residents pay a Band A and B than comparable Councils. Every 1% of Council Tax raises approximately £0.700m of income per year. This means that a higher rate of Council Tax is needed to derive the same income yield compared with many other councils. Any reduction in planned Council Tax will be a permanent loss in future funding.
- 3.19 Details of the number and percentage of dwellings by Council Tax Band in September 2024, a comparison to other local authorities average Band D Council Tax, average Council Tax bill per dwelling for 2024/25, and details of Council Tax increases since 2024/25 were provided in paragraphs 4.51 to 4.56 of the December 2024 Executive report.

### **Retained Business Rates**

- 3.20 With the localisation of Business Rates, it is necessary for each authority to estimate the amount of Business Rates to be collected in 2025/26. The locally retained element of Business Rates is 50%, of which the Council retains **49%** and **1%** is received by Cleveland Fire Authority. The monitoring and estimating of Business Rates are a local responsibility and the financial risk due to the volatility within Business Rates (including outstanding valuation appeals) has an impact on the Council's overall funding.
- 3.21 Business Rates are now based on a new 2023 valuation list with the total rateable value of businesses in Middlesbrough assessed as **£102.434m** at 31 December 2024 (NNDR1 January 2025). There are currently numerous rating appeals lodged with the Government's Valuation Office in respect of rateable values. Not all of



these will be successful either in full or part. The cost of any successful appeals will be met from the monies received, and hence will impact the Council's overall funding. The Council holds an earmarked provision to secure a degree of protection against such appeals which could otherwise cause in-year budget management issues.

### **Business Rates Top-Up Payment**

- 3.22 Under the retained Business Rates system any local authority, whose Business Rates income is less than their initial baseline funding level, as is the case for Middlesbrough, will receive the balance as a 'top-up' grant. The Council will receive **£30.794m** for 2025/26. Other authorities, whose Business Rates income is greater than their initial baseline funding level, pay a 'tariff'. It is the combination of 'tariffs' and 'top-ups' that balances the system nationally.

### **Revenue Support Grant (RSG)**

- 3.23 Most authorities currently continue to receive RSG from the Government in addition to their retained Business Rates. The Council will receive **£15.444m** in 2025/26 representing an increase of 2.1% or £0.322m. This is made up of a CPI inflationary increase of 1.7% based on September 2024 CPI rate, and also £0.079m of grants which have been rolled into the RSG to simplify and de-ringfence the funding and provide local authorities with greater certainty and freedom to deliver their own priorities (Electoral Integrity Programme, Tenant Satisfaction Measures, Transparency Code, and Extended Rights to Home to School Transport).

### **Recovery Grant**

- 3.24 There is a new one-off Recovery Grant, worth £600 million nationally, to target places with greater need and demand for services (the Government have used deprivation as a proxy for this), and less ability to raise income locally. This will start to correct the unfairness of the current system by putting councils in these areas on a more stable footing. The grant lays the foundations for funding reform, ahead of bringing forward more fundamental improvements to the way the Government fund councils, based on an up-to-date assessment of need and resources, from 2026/27. This grant will not be ringfenced, nor are grant conditions imposed on its use.
- 3.25 The Recovery Grant will be distributed using a simple formula, based on the most recent publicly available deprivation, population and taxbase metrics. The grant will support places such as Middlesbrough where, weighted by population, deprivation outweighs Council Tax raising ability. The grant is intended to be highly targeted, meaning that not all authorities will receive an allocation. The government is clear that this grant is not full reform. The formulas in the current system were last updated in 2013/14, some include data from 2001. In this context, the government believes that action must be taken this year. The Government recognise that the metrics in this grant will not be as sophisticated as a fully updated assessment of need, but deprivation is the best available proxy. The Government has also launched alongside the Provisional LGFS an initial consultation [Local authority funding reform objectives and principles](#), which proposes a much fuller and sophisticated assessment of need and resources.
- 3.26 The Council will receive **£5.410m** of Recovery Grant for 2025/26. This is one-off grant for 2025/26 and cannot be assumed ongoing.

## **Local Authority Better Care Fund**

- 3.27 This grant has been created following the consolidation of the two previously existing grants known as the improved Better Care Fund (iBCF) and the ASC Discharge Fund. The grant will be required to be pooled as part of the BCF and will be distributed using the current iBCF methodology. The forthcoming BCF policy framework for 2025/26 will set out further details on how local authorities should work with their local NHS partners and wider public services to plan their integrated use of the BCF. Supporting the recovery of urgent and emergency care services remains a priority, and local areas will be expected to use the grant to reduce delayed hospital discharges, as part of meeting the objectives that will be set out in the framework. The allocation for 2025/26 remains unchanged at **£10.666m**.

## **Social Care Grant**

- 3.28 This grant, which covers both children's and adult's social care, was initially awarded in 2020/21 to upper tier authorities with social care responsibilities. The allocation methodology uses a combination of the Adults Relative Needs Formula (RNF) and an assessment of each Council's ability to raise funds via the social care precept. Once received, authorities have flexibility to apportion this grant between its children's and adult's social care according to local need.
- 3.29 The announced grant for 2025/26 in the Provisional LGFS is **£22.504m** and this reflects a £3.302m increase from that received in 2024/25. This is an increase of £1.407m from the £1.895m increase assumed in the December 2024 Executive report, which was based on information received as part of the Government Budget announcement in October 2024.
- 3.30 Within the MTFP the Social Care Grant has been allocated between the significantly increased children in care pressures seen in recent years, and to adult social care to help fund fee rate increases paid to providers and other cost pressures.

## **ASC Market Sustainability & Improvement Fund (MSIF)**

- 3.31 This grant was introduced in 2023/24 and replaced the previous 'Market Sustainability & Fair Cost of Care Fund' grant. It is for local authorities to improve adult social care market sustainability and drive wider improvements in their areas. The allocation for Middlesbrough in 2025/26 is **£3.316m**, which is unchanged from that received in 2024/25.
- 3.32 The Government expects the funding will enable local authorities to make tangible improvements to adult social care and in particular, to address discharge delays, social care waiting times, low fee rates, workforce pressures, and to promote technological innovation in the sector. It also helps to support the progress local authorities and providers have made to date on fees and cost of care exercises. There will be reporting requirements and grant conditions placed on the MSIF which will be announced at a later date.

## **Children and Families Grant**

- 3.33 The following 6 children's social care programmes previously funded by the Department for Education have been consolidated into a new Children and

Families Grant. The value of the grant to Middlesbrough is **£2.015m** in 2025/26 which is the same as that in 2024/25 with the following amounts for each component:

- Supporting Families (£1.303m);
- Supported Accommodation Reforms - New Burdens to LAs (£0.467m);
- Staying Put (£0.118m);
- Virtual School Heads Extension for previously looked after children (£0.030m);
- Leaving Care Allowance uplift (£0.054m); and
- Personal Advisors (£0.043m).

3.34 This grant will not form part of Core Spending Power in 2025/26. Conditions placed on the Children and Families Grant will be published in full alongside the Final LGFS. The government expects that this grant will support local authorities that are currently spending on preventative services to continue their level of spend.

### **Children's Social Care Prevention Grant**

3.35 The Government is putting £250m nationally of new funding into a new Children's Social Care Prevention Grant. Middlesbrough will receive **£1.989m** in 2025/26. This will be used, alongside funding in the Children and Families Grant to invest in the national rollout of Family Help. Family Help is a preventative, whole-family service. Families experiencing complex challenges will be supported through one multi-agency child protection team, which will provide a single, joined up offer of help and protection.

3.36 The Children's Social Care Prevention Grant will be distributed using a children's needs-based formula, which will allocate funding according to estimated need for children's social care services. Alongside the interim formula, the variation in the cost of delivering services and the ability of local authorities to raise resources locally has also been taken into account to determine the grant allocations.

3.37 Conditions placed on the Children's Social Care Prevention Grant will be published alongside the Final LGFS.

3.38 At the final settlement the Children's Social Care Prevention Grant will be uplifted to £263 million nationally. This will be used to rollout mandatory Family Group Decision Making, with further details to be set out in the Final LGFS.

3.39 The two separate grants for children's social care in 2025/26, the Children's Social Care Prevention Grant and the Children and Families Grant, is a transitional arrangement. In 2026/27, the Government will merge these grants and explore further consolidation in children's services.

3.40 Due to above uncertainty in the level of this grant from 2026/27 onwards this will initially be treated as one-off in 2025/26 and this will be reviewed when further information as to its continuation is received. The funding will be kept separate from other funding and will be utilised in line with the conditions of the grant.

### **Domestic Abuse Safe Accommodation Grant**

3.41 The Government has consolidated the above grant as a new separate line in the settlement. Middlesbrough will receive **£0.513m** in 2025/26, which is an increase of £0.102m from the £0.411m received in 2024/25. This grant is ringfenced.

## **New Homes Bonus (NHB)**

- 3.42 The NHB rewards local authorities for increasing the number of new, occupied and affordable homes. The allocation for Middlesbrough is £0.031m for 2025/26 with no legacy payments as has been the case since 2020/21. This is a reduction from the £0.499m received in 2024/25 but is broadly in line with estimates assumed in earlier versions of the MTFP.
- 3.43 As in previous years, the allocations for 2025/26 will be funded through a top slice of the Revenue Support Grant. This means that approximately £290m nationally of funding is removed from the RSG. This affects authorities like Middlesbrough who have limited ability to increase the number of homes.
- 3.44 In the Provisional LGFS the Government announced its intention that 2025/26 will be the final year of the NHB in its current format and that councils should consider this in their financial planning. The government is consulting on the NHB beyond 2025/26 as part of the [consultation on the principles and objectives of funding reform](#) which has been launched alongside this consultation.

## **Services Grant**

- 3.45 This Services grant which was introduced in 2022/23 for all tiers of local government in recognition of the vital services delivered and the cost pressures being faced has been removed with the funding being utilised in the wider settlement and in particular to fund the Recovery Grant. Middlesbrough's allocation for 2024/25 was £0.293m.

## **Employer National Insurance Contributions (NICs) compensation.**

- 3.46 As mentioned in the December 2024 Executive report the Council will face increased costs from the increase in Employers NIC to 15% from 13.8% and the lowering of the threshold at which Employer's NIC are paid to £5,000 a year. This will have an impact on both staff directly employed by the Council, and Council contracts for supplies and services with private providers, such as adult social care, children's social care and the Council's leisure contract. The Council will also potentially face increased cost of supplies and services across a range of purchased goods and services.
- 3.47 In the MTFP in the December 2024 Executive report the additional cost to the Council was estimated at £1.075m and as no clarity was provided at that point regarding funding for this no funding was included.
- 3.48 In the Provisional LGFS the Government has provided £515m nationally of new funding to support councils with the costs associated with the increase in employer National Insurance Contributions (NICs). The funding is un-ringfenced and can be used to support councils to mitigate the additional costs of employer National Insurance Contributions within direct, commissioned, and externally provided local services. Whilst a methodology note (based on 2023/24 Revenue Outturn data) was provided as part of the Provisional LGFS to help local authorities calculate how much they could expect to receive, no allocations were published, and these will be published at the Final LGFS.
- 3.49 Using the methodology provided and information provided by SIGOMA it has been estimated that the Council will receive funding of £1.300m, however following

further analysis it is now estimated that the total costs of the Employers NIC increase will be £3.125m in 2025/26. This will mean that there will be a gap of £1.825m in funding for the Employers NIC increase, which is an additional pressure of £0.750m on the MTFP from that included in the December report.

### **Significant Specific Grants outside the Settlement**

- 3.50 A number of other grants are received outside of the key settlement figures and are not included in the calculation of Core Spending Power. The basis of distribution varies from grant to grant. This budget has again been constructed on the established basis that if specific grant funding reduces then the associated expenditure and activity will reduce accordingly.

### **Extended Producer Responsibility (EPR)**

- 3.51 Whilst not part of the Provisional LGFS the Government has confirmed separately funding for the Extended Producer Responsibility (EPR). From 2025, some organisations and businesses will have to pay a fee for the packaging they supply to or import into the UK market. This is called Extended Producer Responsibility (EPR) for packaging.
- 3.52 The money collected will go to local authorities (LAs) and it will cover net costs of collecting, managing, recycling and disposing of household packaging waste to enable more efficient and effective waste services.
- 3.53 In the first year (2025/26), local authorities will receive a guaranteed basic payment based on publicly available and existing data, and data about tonnages, operations and unit costs gathered from a representative sample of LAs across the UK. The basic payment is calculated using a model based on certain LA characteristics, national policies and circumstances, amount of waste collected and managed, and the estimated composition of this waste. Whilst there may be some additional responsibilities, such as the revenue costs associated with food waste collection, the funding is un-ringfenced.
- 3.54 From the second year (2026/27) onwards, the basic payment and any adjustments will be based on data submitted by LAs to the Scheme Administrator and is therefore unpredictable.
- 3.55 Middlesbrough will receive at least **£3.367m** in 2025/26. This funding will be part of the new Middlesbrough Priorities Fund for 2025/26 only (detailed in paragraph 4.61 to 4.63), part of which will help to enable more efficient and effective waste services.
- 3.56 At this stage in the absence of any further detailed information no assumption has been in the MTFP of the funding in 2026/27 or future years. This assumption will be updated as when further information is received during 2025/26.

### **Public Health**

- 3.57 Whilst not part of the Provisional LGFS, no details of the Public Health Grant allocations for 2025/26 have been announced to date. Middlesbrough received £18.744m of grant in 2024/25. Public Health Grant must be fully spent on public health activities as per the conditions of the ring-fenced grant.

## Housing Benefit Administration Subsidy Grant

- 3.58 The MTFP assumes the Council will continue to receive 'Housing Benefit Administration Subsidy Grant' in 2025/26 to fund the Council's statutory duty to administer and process Housing Benefit and directly related enquiries. The 2025/26 allocation has not yet been announced and currently the same level of grant as received in 2024/25 of **£0.574m** has been assumed.

## Dedicated Schools Grant (DSG)

- 3.59 Details of the DSG to be received in 2025/26 are provided in **Appendix 8**.
- 3.60 The DSG statutory override which instructs Councils to account for the DSG negative balance in a separate reserve and not to fund it by using its General Fund will continue to 31 March 2026.
- 3.61 At the Autumn Budget, the Government announced an almost £1 billion increase to Special Educational Needs and Disabilities (SEND) and alternative provision funding and stated that it was an important step in realising the government's vision to reform England's SEND provision to improve outcomes and return the system to financial sustainability, and will work closely with parents, teachers and local authorities to take forward this work.
- 3.62 In the Provisional LGFS consultation the Government stated that they recognise the strain that the rising costs of SEND provision are putting on local government, in particular, the impact of the DSG deficits on councils' finances. They also said that they will work with the sector on a way forward, and it intends to set out plans for reforming the SEND system in further detail next year. This will include details of how the government will support local authorities to deal with their historic and accruing deficits and any transition period from the current SEND system to the reformed system and will inform any decision to remove the statutory override. This will be underpinned by the Government's objective to ensure local authorities can deliver high quality services for children and young people with SEND in a financially sustainable way.
- 3.63 Whilst the Government recognises the issue the uncertainty in relation to a Government funding solution or the continuation of the statutory override beyond that date has yet been received still presents a significant financial risk to many local authorities and for Middlesbrough. The current forecast total cumulative deficit of £20.693m at 31 March 2025 (as reported in the Revenue and Capital Budget – Forecast Year-end Outturn position at Quarter Three 2024/25 report to this Executive) is not specifically addressed within this MTFP. The Council is participating in the Delivering Better Value Programme with the Department for Education (DfE) in relation to measures to mitigate future pressures.
- 3.64 Local government is lobbying central government for a long term funding solution to these pressures.

## Medium Term Financial Plan (MTFP)

- 4.1 This section provides an update to the MTFP report presented to December 2024 Executive to reflect latest assumptions, Government announcements and the Provisional Local Government Finance Settlement (LGFS).
- 4.2 The December Executive MTFP report was produced prior to the announcement of the financial settlement and included proposed draft budgets for 2025/26 and 2026/27 which were balanced, with a gap of £2.686m in 2027/28 and rising to a cumulative deficit of £5.150m by 2028/29, assuming all budget savings proposed were approved.
- 4.3 Public consultation commenced on the 5 December 2024 and closed on 8 January 2025. The updated MTFP reflects the Provisional LGFS and updates following the Council's public consultation (detailed in **Appendix 3**).

### 2025/26 Budget Overview and Headlines

- 4.4 The MTFP has been constructed in accordance with all relevant corporate financial protocols, policy-led, risk assessed and reflecting current Council Plan priorities.

The key headlines from the proposed 2025/26 budget are:

- 2025/26 net General Fund revenue budget (budget requirement) of **£143.362m** (see **Annex 5 for the provisional indicative detail of net revenue budget by Directorate - this may be subject to change before approval by Council on 19 February 2025**)
- Council Tax requirement of **£75.783m**
- Council Tax increase of **4.99%** for Middlesbrough Council element which includes basic Council Tax increase of **2.99%** and an additional **2.00%** increase for the Adult Social Care precept.
- Assumed budget provision of **£0.311m** in 2025/26 to address the removal of previously approved savings, and these are now recommended by Executive for approval by Council - details are provided in **paragraph 4.59 and Annex 3**
- Total new 2025/26 budget saving proposals of **£7.036m** rising to **£8.686m** in 2026/27 - details are provided in **Annexes 1 and 2** and these are now recommended by Executive for approval by **Council**.
- These when added to the revised previously approved savings make a total savings to be delivered in 2025/26 of **£11.876m** rising to **£15.393m** in 2028/29.
- Assumed pay inflation of **3.00%** in 2025/26 with an increase of **£2.667m**.
- Assumed contractual inflation of **£1.550m** in 2025/26 – predominately driven by fee rates paid to Adult and Children Social Care providers.
- Assumed additional income of **£0.648m** from a review of Fees and Charges and inflationary uplift of 2%.
- Assumed service pressures of **£13.264m** in 2025/26 – predominately driven by homelessness, home to school transport, waste disposal, and adult social care and children in care demographics, and including the effect of National Living Wage of **£2.351m** in 2025/26 on services commissioned from external adult social care providers.
- Assumed budget growth totaling **£2.521m** for re-investment in services aligned to the Recover, Reset, and Deliver plan, details are provided in **paragraph 4.58 and Annex 4**

- The creation of a Delivery Risk Budget of **£2m** on a one-off basis in 2025/26 only, to provide a risk sum to cover any overspend arising mainly from delayed or failed saving delivery and protect against the risk of unplanned use of reserves given that reserves remain low. The future of this budget on an ongoing basis will be reviewed if funding becomes sufficiently favourable and will be used to provide risk cover of the Council's planned transformation and savings going forward (**paragraph 4.16**)
- The estimated surplus on the Collection Fund for 2024/25 of **£3.135m** will be transferred to a new Savings Delivery Risk Reserve to help to help provide against the risk of delivery of savings and rebuild reserves (**paragraphs 4.49 and 4.72**)
- The creation of a one-off Middlesbrough Priorities Fund of **£4.367m** for 2025/26 only to support initiatives in accordance with the priorities in the Council Plan – further details are provided in **paragraphs 4.61 to 4.63**
- Additional funding of **£3.302m** representing Middlesbrough Council's share of the £880.0m additional funding for Social Care Grant announced in the Provisional LGFS.
- Additional funding of **£1.989m** representing Middlesbrough Council's share of the new Children's Social Care Prevention Grant announced in the Provisional LGFS will be kept separate from other funding and will be utilised in line with the conditions of the grant.
- Additional funding of **£3.367m** representing Middlesbrough Council's share of the new Extended Producer Responsibility (EPR) funding.
- Estimated total costs of the increase in Employers NIC of £3.125m which after accounting for estimated Government funding of £1.300m creates a total net cost of **£1.825m** to be included in 2025/26 budget.
- A **£0.730m** ongoing contribution to the Change Fund Reserve
- A **£1.466m** ongoing contribution to the Financial Resilience Reserve
- An additional one-off contribution of **£1.370m** in 2025/26 only to the Financial Resilience Reserve to continue to rebuild reserves to a sustainable level.
- Propose that any additional funding provided as a result of the final LGFS expected to be published in early February 2025 (around 5 February 2025) will be added to the Middlesbrough Priorities Fund. This will be confirmed in the report to Council on 19 February 2025.

#### **Changes to budget gap since December 2024 report**

- 4.5 The updated MTFP reflects the Provisional LGFS and updates following the Council's public consultation and a further review of the main cost drivers of demand. **Table 4** summarises the movement in the budget gap since the report to Executive in December 2024.



**Table 4: movement in budget gap since December 2024 report**

Item	2025/26 £m	2026/27 £m	2027/28 £m	2028/29 £m	Cumulative £m
<b>MTFP Refresh 2025/26 to 2028/29 Report to Executive 04/12/24</b>					
Original gap before new savings proposals	4.675	1.253	2.786	2.564	11.278
Growth to support transformation	2.361	0.397	(0.100)	(0.100)	2.558
New Savings Proposals	(7.036)	(1.650)	-	-	(8.686)
<b>Original Budget Gap as at December 2024 - after growth to support transformation and new savings proposals added in</b>	<b>-</b>	<b>-</b>	<b>2.686</b>	<b>2.464</b>	<b>5.150</b>
Additional Social Care Grant	(1.407)	-	-	-	(1.407)
New grant - Children's Social Care Prevention (25/26 only)	(1.989)	1.989	-	-	-
New grant - Recovery Grant (25/26 only)	(5.410)	5.410	-	-	-
New grant - Extended Producer Responsibility (25/26 only confirmed to date)	(3.367)	3.367	-	-	-
Government funding for Employers National Insurance contributions increases	(1.300)	-	-	-	(1.300)
Other grant funding changes	0.224	0.467	(0.313)	(0.313)	0.065
Precepts & Levies changes	0.030	0.002	-	-	0.032
Previous year's savings proposals removed	0.311	0.100	-	-	0.411
Additional growth (increase Area Care to 20%)	0.360	-	-	-	0.360
Removal of previous growth bid (Tree Maintenance) / funded as one-off in 25/26	0.300	(0.500)	0.100	0.100	-
Additional Employers National Insurance contribution cost	2.050	-	-	-	2.050
Creation of Middlesbrough Priorities Fund	4.367	(4.367)	-	-	-
Creation of Children's Social Care Prevention Fund	1.989	(1.989)	-	-	-
Collection Fund Surplus 2024/25 used to replenish Reserves (Savings Delivery Risk)	3.135	(3.135)	-	-	-
Contributions to Financial Resilience Reserve changes	1.586	(2.511)	0.250	0.250	(0.425)
Other changes	0.182	1.091	(0.077)	(0.137)	1.059
<b>Net Budget movements</b>	<b>1.061</b>	<b>(0.076)</b>	<b>(0.040)</b>	<b>(0.100)</b>	<b>0.845</b>
Housing Growth changes	(0.012)	(0.012)	(0.012)	(0.013)	(0.049)
Revenue Support Grant changes	(0.065)	(0.065)	(0.067)	(0.068)	(0.265)
Business Rates changes	0.152	0.154	0.157	0.159	0.622
Estimated Collection Fund 2024/25 Surplus changes	(1.135)	-	-	-	(1.135)
<b>Funding movements</b>	<b>(1.061)</b>	<b>0.076</b>	<b>0.080</b>	<b>0.080</b>	<b>(0.825)</b>
<b>GAP / (SURPLUS)</b>	<b>-</b>	<b>-</b>	<b>2.726</b>	<b>2.444</b>	<b>5.170</b>
<b>Movement in gap since December</b>	<b>-</b>	<b>-</b>	<b>0.040</b>	<b>(0.020)</b>	<b>0.020</b>

4.6 **Table 4** illustrates that it has been possible to set a balanced budget for 2025/26. Whilst not applicable for 2025/26 if the Council could not set a legally balanced budget, then there is a requirement for a s114 notice being issued under the provisions of the Local Government Act 1988 Section 114 (3). The s114 process and implications for the Council were detailed in the 2024/25 budget report to Council in March 2024.

4.7 The following provides further detail of the main changes made since the December 2024 Executive report:

- Grant funding has been updated following the Provisional Local Government Finance Settlement, including an **additional £1.407m** Social Care Grant allocation, new one-off grants for 2025/26 only for Extended Producer Responsibility (**£3.367m**), Recovery Grant (**£5.410m**) and the Children's Care Early Prevention Grant (**£1.989m**).
- Budget growth for re-investment in services aligned to the Recover, Reset, and Deliver plan, has been revised, resulting in an increased amount of **£0.160m** in 2025/26 (details provided in **paragraph 4.58** and **Annex 4**)
- Budget growth of **£0.311m in 2025/26** has been provided to address the removal of previously approved savings in 2025/26 in line with the priorities outlined in the Council Plan and after listening to residents' views, and these are now recommended by Executive for approval by Council - details are provided in **Annex 3**
- The creation of a one-off Middlesbrough Priorities Fund of **£4.367m** for 2025/26 only to support initiatives in accordance with the priorities in the Council Plan – further details are provided in **paragraph 4.61 to 4.63**

- Estimated total costs of the increase in Employers NIC of have been revised along with the estimated Government funding following further information received. The total costs of the increase in Employers NIC are now estimated to be £3.125m which after accounting for estimated Government funding of £1.300m creates a total net cost of £1.825m to be included in 2025/26. This is an **increase of £0.750m** from the £1.075m included in the December Executive report.
- Funding assumptions (including Housing Growth assumptions) have been updated following the Provisional LGFS and updated data from the NNDR1 Business Rates government return
- The estimated Collection Fund Surplus from 2024/25 has been revised to £3.135m from £2m and the additional **£1.135m** has been built into the MTFP – this will be used in full to provide some financial resilience by rebuilding reserves, which are still at a low level, by the creation of a new Savings Delivery Risk Reserve
- Increased contribution to the Financial Resilience Reserve of **£1.586m** in 2025/26

4.8 The major components of the revised MTFP are detailed in the following paragraphs and are summarised in **Table 14**.

### Pay Inflation

4.9 Middlesbrough Council is part of the national pay bargaining framework and is bound by national agreements. **Table 5** below summarises the pay and pension items included in the MTFP. These form a significant driver to the increased MTFP gaps.

**Table 5: Pay and pension inflation**

Pay model / pension (incremental increases to existing pay model resources)					
Item	2025/26	2026/27	2027/28	2028/29	Cumulative
	£m	£m	£m	£m	£m
2025/26 Pay award	2.667	1.778	1.778	1.778	8.001
<b>Pay Model</b>	<b>2.667</b>	<b>1.778</b>	<b>1.778</b>	<b>1.778</b>	<b>8.001</b>
Increase in employers pension contributions following actuarial review	0.908	-	-	-	0.908
<b>Pension</b>	<b>0.908</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>0.908</b>
<b>Pay/Pension</b>	<b>3.575</b>	<b>1.778</b>	<b>1.778</b>	<b>1.778</b>	<b>8.909</b>

4.10 Informed by latest inflation forecasts and other information provided by organisations such as the Special Interest Group of Municipal Authorities (SIGOMA) the assumption of the 2025/26 pay award remains at 3% which is estimated to cost **£2.667m p.a.** Assumptions of pay awards for future years in the MTFP have also been kept the same.

4.11 This MTFP therefore assumes pay inflation of:

- 2025/26 **3.0% (£2.667m)**
- 2026/27 **2.0% (£1.778m)**
- 2027/28 **2.0% (£1.778m)**
- 2028/29 **2.0% (£1.778m)**

4.12 Pay inflation budgets will be held corporately until final agreements have been

made at which point updated budgets will be allocated to departmental budgets, this is done to aid in year budget monitoring. Any variations in the final pay award compared to the MTFP assumptions will need to be managed as part of the in-year budget monitoring process.

- 4.13 Employee pension contributions, based on a triennial pension valuation applying from 2023/24, are as included previously. The next triennial pension valuation will apply from 2026/27 onwards and is currently planned to remain static.

### **Non-Pay Inflation**

- 4.14 Contractual inflation has been provided for in the MTFP period, with **£1.550m** being provided for in 2025/26 in relation to specific contracts, mainly around Adult Social Care purchasing budgets and Children's Care external residential and fostering contracts. These will initially be held centrally with budgets being transferred to the relevant service budgets when need has been fully assessed.

### **Other Inflation**

- 4.15 Central Inflation budgets totaling **£0.635m** from 2025/26 has been provided for the effects of risk around potential additional inflation across a wide range of areas due to uncertainty around levels of inflation. This will initially be held centrally. These have been reduced by £0.819m from 2025/26 due to assumptions for energy prices being revised downwards based upon advice from NEPO.

### **Risk Management**

- 4.16 A new Delivery Risk Budget of £2m on a one-off basis in 2025/26 only has been created to provide a risk sum to cover any overspend arising mainly from delayed or failed saving delivery in 2025/26 and protect against the risk of unplanned use of reserves given that reserves remain low. These measures enable the Council to rebuild its reserves to a sustainable level
- 4.17 An ongoing total of **£1.466m from 2025/26, increasing to £1.575m from 2026/27, £2.325m from 2027/28 and £3.075m from 2028/29** has been provided to top up the Financial Resilience Reserve to meet unforeseen financial pressures that cannot ultimately be managed within directorate budgets. It should be noted an additional one off contribution of £1.370m will be made in 2025/26, as detailed in paragraph 4.4. These contributions have been amended from those provided in the December 2024 Executive report due to additional contributions to reserves in 2025/26. These are in addition to the one-off estimated 2024/25 surplus on the Collection Fund of **£3.135m** which has been used to create the Savings Delivery Risk Reserve.
- 4.18 Also contributions of **£0.730m p.a.** are planned to top up the Change Fund Reserve to meet potential future costs of Transformation which cannot be covered by Flexible Use of Capital Receipts.

### **Income Policy and Fees and Charges**

- 4.19 A Fees and Charges Policy was adopted in the 2024/25 MTFP and is proposed to continue over the course of the 2025/26 MTFP (Appendix 5). This recognises a range of different factors in setting a price including legislative requirements and constraints, the cost of delivering a service, benchmarking with other organisations and achieving policy objectives. The Fees and Charges for discretionary services to residents and businesses have been reviewed for 2025/26, and the proposed

prices across the Councils services for 2025/26 is included in Annex 1 of Appendix 5 , and this will be referred for approval as part of the final budget report to Council on 19 February 2025.

- 4.20 Under the Income Policy, the Director of Finance will determine the minimum percentage increase in fees that will apply as part of the annual budget process unless separately addressed in a specific budget proposal. The proposed inflationary increase that will apply for 2025/26 is 2% for 2025/26 and 2% for 2026/27 onwards in line with current inflation forecasts.
- 4.21 Directors should utilise the Fees and Charges Toolkit to regularly review the full cost of discretionary services and to set future discretionary fees and charges.

### **Commercial Income**

- 4.22 The Council receives income from a number of Commercial developments. The previous updates of the MTFP outlined the assumptions made relating to these and these have not been changed at this stage but are being constantly reviewed in light of the effect of the current economic climate in particular on town centre retail. It should be noted that even with these potential reductions, the commercial developments have provided additional income to the Council, in excess of the cost, in previous years and this is expected to continue in the future.
- 4.23 Income the Council receives from commercial developments was amended to reflect the revenue costs arising from lost income less running costs from the sale of assets approved by Executive on 21 November 2023 as part of the Asset Review report. This totalled **£1.527m** in 2024/25 and a further **£0.188m** in 2025/26.

### **Living Wage**

- 4.24 Increases in the National Living Wage will impact upon organisations – principally adult social care providers – who are contracted to carry out functions on behalf of the Council. Currently increases in the National Living Wage do not have an impact on Council employed staff as the current pay rates paid to Council staff are above the current National Living Wage rates.
- 4.25 The Government announced on 29 October 2024 that the National Living Wage (NLW) for 21 year old and over will increase by £0.77 to £12.21 from £11.44 per hour (a 6.7% increase) from 1 April 2025. The amounts that are allocated in the MTFP to cover the increases in cost expected as a result of this have been revised in line with current available information, and an amount of **£2.351m** has been allocated for this within Adult Social Care in 2025/26 and **£7.818m** over the MTFP period.
- 4.26 As with future pay awards there is a high level of uncertainty around this and whether the Government will further change the levels of increase for future years, and therefore this will be reviewed again in the budget report to Full Council in February 2025.
- 4.27 A number of years ago, the Council made a commitment to align to the Living Wage Foundation recommended levels for pay which aim to provide a real living wage based on the cost of living. This will be reviewed on a regular basis in line with the Council's financial position to ensure this is affordable to the Council.

### **Service Demand Pressures**

- 4.28 As reported in the September 2024 and December 2024 reports to the Executive and quarterly reporting, growth provisions have been reviewed over the course of the financial year through budget challenge meetings and associated work to develop more robust demand and cost models. Some of the estimates provided in

the 2024/25 MTFP have been revised in light of 2024/25 financial performance and the assessment of the impact of savings and transformation workstreams upon future growth requirements that were not known when the 2024/25 MTFP was approved.

- 4.29 Table 6 summarises the ongoing Service Demand Pressures (including those mentioned above for Commercial Income in Regeneration and in Adult Social Care for the effect of the National Living Wage increase), and the effect of the increase in Employers' National Insurance contributions and these form a significant driver of cost within the MTFP.

**Table 6: Service Demand Pressures**

Directorate	2025/26 £m	2026/27 £m	2027/28 £m	2028/29 £m	Cumulative £m
<b>Regeneration</b>					
Changes to Commercial income	0.402	-	-	-	0.402
Reduction in energy budgets due to falling prices	(0.957)	(0.343)	-	-	(1.300)
Income reductions from Asset Review	0.188	-	-	-	0.188
Growth for Events	0.200	-	-	-	0.200
	(0.167)	(0.343)	-	-	(0.510)
<b>Environment &amp; Community Services</b>					
Removal of Community Environment Initiatives funding	(0.050)	-	-	-	(0.050)
Waste Disposal	1.500	-	-	-	1.500
Concessionary Fares	(0.320)	-	-	-	(0.320)
Additional Green Waste savings	(0.450)	-	-	-	(0.450)
Growth for Pest Control	0.125	-	-	-	0.125
Growth for Area Care	0.720	-	-	-	0.720
Tree Maintenance	0.500	(0.500)	-	-	-
	2.025	(0.500)	-	-	1.525
<b>Education &amp; Partnerships</b>					
Reduction in growth previously provided - Integrated Transport Unit (ITU)	(1.500)	0.500	-	-	(1.000)
	(1.500)	0.500	-	-	(1.000)
<b>Children's Care</b>					
Demand	3.500	1.500	1.500	1.500	8.000
Growth for Youth Providers Uplift	0.100	-	-	-	0.100
Growth for additional funds for S17	0.253	0.084	-	-	0.337
Effect of National Insurance employers increase on Children's providers	0.500	-	-	-	0.500
	4.353	1.584	1.500	1.500	8.937
<b>Adult Social Care</b>					
Living Wage - external commissioned services	2.351	1.770	1.848	1.848	7.817
Changes to means tested income assumptions	(0.022)	-	-	-	(0.022)
Additional income from Fairer Charging	(0.500)	-	-	-	(0.500)
Effect of National Insurance employers increase on ASC providers	1.495	-	-	-	1.495
Increases in grant expenditure (offset by corresponding increases in grant income)	2.640	-	-	-	2.640
Growth: extra funding to ensure Council meets its obligations	0.239	0.080	-	-	0.319
	6.203	1.850	1.848	1.848	11.749
<b>Public Health</b>					
Effect of National Insurance employers increase on Leisure Services provider (SLM)	0.080	-	-	-	0.080
	0.080	-	-	-	0.080
<b>Legal &amp; Governance</b>					
Staffing	0.214	-	-	-	0.214
Growth for investment in data analysis	0.126	-	-	-	0.126
	0.340	-	-	-	0.340
<b>Finance</b>					
Growth for rebuilding professional capacity & capability in Finance Team	0.485	0.191	-	-	0.676
Growth for investment in Counter Fraud capacity	0.073	0.042	-	-	0.115
	0.558	0.233	-	-	0.791
<b>Central</b>					
Additional National Insurance costs - Council staff	0.800	-	-	-	0.800
Additional National Insurance costs - External staff	0.250	-	-	-	0.250
Council wide - growth for Family resilience funding initiatives	0.200	-	-	-	0.200
Other	0.122	-	-	-	0.122
	1.372	-	-	-	1.372
<b>Service Demand Pressures</b>	<b>13.264</b>	<b>3.324</b>	<b>3.349</b>	<b>3.349</b>	<b>23.286</b>

- 4.30 Details of the spending pressures in the following key areas which are of statutory service provision are provided below:

- Children's Care - this area is continuing to experience increased demand for care and cost increases due to provider rates and complexity of cases and in the updated MTFP an amount of £3.500m has been included for this in 2025/26 and a further £1.500m p.a. for 2026/27 to 2028/29.

- Adult Social Care – as mentioned earlier in addition to the effect of the National Living Wage there are expected to be increased costs from providers due to the increase in Employers National Insurance contributions.
- Integrated Transport Unit (Home to School and Adults Transport) – the growth previously provided as part of the 2024/25 budget setting has been reviewed and reduced in line with updated levels of demand for service, and an amount of £1.500m has been removed from the budget in 2025/26 with £0.500m additional budget being provided from 2026/27 in line with forecast levels of demand. This will continue to be reviewed and any updates will be provided during 2025/26.
- Waste Disposal – as previously reported £1.500m has been provided from 2025/26 due to increases in the price of residual waste disposal under the extension of the current contract until the new Energy from Waste (EfW) Site is complete, which is currently expected in 2029. An assessment of future EfW costs will be made when the procurement and contract negotiation reach an appropriate stage.

4.31 Whilst all Directorates have been required to put forward budget proposals to balance the budget, further fundamental review of service models in the main areas of Children’s and Adult Social Care and Waste will be necessary in order for the Council to achieve a financially sustainable budget position in the medium term.

#### **Technical Adjustment**

4.32 As mentioned in the December 2024 MTFP Updates there is a technical adjustment required to reflect the £4.7m of one-off Exceptional Financial Support (EFS) borrowing used to balance the budget in 2024/25 dropping out in 2025/26.

#### **Dedicated School Grant**

4.33 As detailed in paragraph 3.60 the Dedicated Schools Grant (DSG) is subject to a statutory override by central Government until at least 31 March 2026 which instructs Councils to account for the DSG deficits and resulting negative balance in a separate reserve and not to fund it by using its General Fund resources. MHCLG has signalled in the Provisional LGFS consultation that the position will be reviewed but no details have been provided as yet.

4.34 The deficit on the DSG reserve is forecast to be £20.693m by the end of 2024/25 (as detailed in Table 8 of the Revenue and Capital Budget – Forecast Year-end Outturn position at Quarter Three 2024/25 report to this Executive) and is projected to grow even further by the end of 2025/26 even though the Government has provided additional SEND funding. This is considered to be a potential major risk to the Council’s financial resilience in the medium term unless a Government led solution is achieved. The scale of the negative DSG reserve in the context of the Council’s low levels of reserves is of significant concern and will be recorded as a strategic risk and recognised in the Annual Governance Statement for 2024/25.

4.35 As detailed in the December 2024 Executive report the DSG deficit has potentially resulted in a capital financing cost to the Council. The effect of expenditure being greater than income on this grant has depressed overall cash balances, incurring an opportunity cost of the investment income that could have been earned. It is estimated that the cost related to this is £1.475m over the last three financial years (as detailed in Table 15 of the December 2024 Executive report). Representations are being made to the Government on a national basis by various sector organisations to allow the borrowing costs incurred in the General Fund to be

charged to the DSG, but to date no progress has been made regarding this.

### Capital Financing

- 4.36 The Capital Financing Costs associated with borrowing for the capital programme have been subject to detailed review during the 2024/25 financial year. This has been in light of the latest interest rate forecasts which are making borrowing costs more expensive, changes to service investment requirements, the asset review in November 2023, and for the borrowing costs for EFS in 2024/25 and transformation proposals, as contained in the Appendix 6. The Capital Financing costs currently assumed in the MTFP include additional funding totaling **£2.099m** in 2025/26 with a further **£0.774m** in 2026/27, a further **£0.499m** in 2027/28, and a further **£0.329m** in 2028/29. These allocations include provision for changes to the current forecast of costs which may occur and timing of capital investment. Future years allocations will be reviewed and updated as required in future updates of the MTFP and as programme delivery is reviewed.
- 4.37 A separate report to this Executive provides the Prudential Indicators and Treasury Management Strategy for 2025/26 which is the framework used to self-regulate this investment within the overall context of the revenue budget process. This report should be considered in conjunction with the main elements and assumptions underpinning the medium term financial plan.
- 4.38 The previous s151 Officer issued an affordability threshold that the cost of principal and interest repayments should not exceed 10% of the Net Revenue budget over the period of the MTFP to 2028/29 and that the Council would reach this threshold towards the end of the current decade. This means that the Council will need to seek to fund its capital programme primarily through grants and contributions and capital receipts or restrict borrowing to investments that will deliver ongoing income or cost reductions in its operating costs. The Council must seek to deploy a strategy within the MTFP period to reduce its revenue budget exposure to increasing MRP and external interest costs which are set out below.
- 4.39 The forecast revenue cost of borrowing over the period of the MTFP and beyond is set out in Table 7 below, assuming no further prudential borrowing other than currently planned.

**Table 7: Capital Financing Costs profile – 2024/25 to 2034/35**

<b>Capital Financing Costs profile - 2024/25 to 2034/35</b>						
Financial Year	Principal (MRP) (£M)	Interest (£M)	Income (£M)	Capital Fin Net Cost (£M)	Net Revenue Budget (£M)	% of NRB
<b>2024/25</b>	<b>4.316</b>	<b>8.467</b>	<b>(2.392)</b>	<b>10.527</b>	<b>143.190</b>	<b>7.35%</b>
2025/26	4.704	9.925	(2.569)	12.060	143.362	8.41%
2026/27	5.082	11.099	(2.531)	13.732	144.356	9.51%
2027/28	5.366	11.768	(2.469)	14.685	148.595	9.88%
<b>2028/29</b>	<b>5.935</b>	<b>11.768</b>	<b>(2.319)</b>	<b>15.404</b>	<b>152.947</b>	<b>10.07%</b>
2029/30	6.180	11.768	(2.319)	15.649	152.947	10.23%
2030/31	6.428	11.768	(2.319)	15.897	152.947	10.39%
2031/32	6.679	11.768	(2.319)	16.148	152.947	10.56%
2032/33	6.934	11.768	(2.319)	16.403	152.947	10.72%
2033/34	7.193	11.768	(2.319)	16.662	152.947	10.89%
2034/35	7.475	11.768	(2.319)	16.944	152.947	11.08%

- 4.40 Any further capital investment thereafter should be by grants and contributions or

capital receipts. It should be noted that the capital financing costs increase sharply after 2024/25 given the levels of prudential borrowing being used to finance the programme between 2024/25 and 2026/27. This is due to the current level of asset sales being required to finance the Council proposed transformation plans and not being available for capital investment.

- 4.41 For the financial years 2027/28 and 2028/29 no borrowing is proposed, and all spend put forward has been financed by either grants, contributions or capital receipts. Although these costs have been factored into the MTFP resource allocation, they are now just exceeding the s151 Officer threshold of 10% by the end of 2028/29 (forecast above of 10.07%), however this is not material and also currently the net revenue budgets for 2026/27 onwards are only indicative and are likely to increase.
- 4.42 A further factor to consider on the above table relates to the principal repayment of the historic debt accrued for capital purposes, how this changes over time, and its impact on the revenue budget. This is known as Minimum Revenue Provision (MRP) and is a statutory charge. In 2022/23, the Council under the direction of a previous s151 Officer, changed its MRP policy from a straight line to annuity basis. This reduced the annual MRP charge by £2.3m as principal repayments are lower in earlier years on an annuity basis and this was felt to be better value for money in the current difficult financial environment facing local authorities. However, what this advice did not factor in is that over the life of the debt, principal charges increase as the annuity is based on fixed annual repayments and as interest payments reduce, the relative amount of debt increases over time. An annuity approach therefore is very much akin to the repayment of a mortgage.
- 4.43 Even if the Council stopped investing in long term assets from prudential borrowing beyond the 2026/27 financial year, there would still be an upward incremental drift on the MRP charge from £5.366m (2027/28) to £7.475m (2034/35), which would breach the 10% S151 threshold from 2029/30 onwards. There are two issues to consider in relation to this as detailed in the following paragraphs.
- 4.44 Firstly, it is recommended that the Council consider moving back to a straight-line basis on MRP as soon as this is financially feasible, along with the strategy on funding outlined in 4.38 above. This would mean a base budget adjustment of around £2.5m would be needed from existing resources so would be a significant re-direction of resources from current priorities. It would mean though that a fixed annual charge for MRP that would not change over time would be in place.
- 4.45 Secondly, the additional cost of a straight-line policy would move the Council to well above the 10% threshold advised previously depending on the timing of the decision taken. This additional cost would be an extra 3% on the numbers given in the table above. Although this is a more prudent basis of calculating the MRP charge as this would be a fixed charge over time, unless additional prudential borrowing was taken. It would then be for the s151 Officer to advise Members in relation to the affordability of capital financing costs going forwards and what was a suitable revised % threshold for them to consider.
- 4.46 Further discussions on this area will be part of the approach to building the budget and MTFP for future years.



## Reserves

- 4.47 The s151 Officer recommends that the minimum balance on the General Fund Reserve should be maintained at a level of at least 7% of the Net Revenue budget over the MTFP period to 2028/29. In the 2025/26 proposed budget the level is 7.75% equivalent to £11.1m.
- 4.48 In addition, the s151 Officer recommends the build up of the Financial Resilience Reserve to at least £10m in 2025/26 and £20m by the end of 2028/29 to strengthen the Council's financial resilience. The planned contributions in the MTFP will enable these levels to be achieved.
- 4.49 The estimated surplus on the Collection Fund for 2024/25 of £3.135m will be transferred to new Savings Delivery Risk Reserve to provide for any non-delivery or delay in achieving savings and to help rebuild reserves.
- 4.50 An earmarked Legacy Accounts and Audit Reserve of £1m has also been set aside to provide for unforeseen adverse audit adjustments that may arise from the conclusion of legacy audits in future periods. The intention is that once this reserve is determined to no longer be required the balance will be transferred to the Financial Resilience Reserve.
- 4.51 The Council also holds a Change Fund Reserve for the purpose of meeting the revenue costs of transformation and efficiency programmes, which cannot be funded from Flexible Use of Capital Receipts. The budgeted contribution to the Change Fund Reserve is £0.730m p.a. over the MTFP period.
- 4.52 The Council holds an Insurance Reserve as contingency for insurance claims and losses.
- 4.53 Further information is included within Appendix 1 - s25 Report and Appendix 4 – Financial Reserves Policy.

## Budget savings

- 4.54 Budget proposals totaling £7.036m in 2025/26 rising to £8.686m in 2028/29 were detailed in the report to Executive on 4 December 2024. The savings proposed were categorised in two appendices with the savings in Appendix 2 of the December 2024 report, totaling £0.249m in 2026/27, being deemed to potentially affect service delivery levels and therefore being subject to public consultation.
- 4.55 No changes have been to the budget savings proposed following the budget consultation. The Budget Consultation Feedback 2025/26 is contained in **paragraphs 4.8 to 4.16 of the main report and in Appendix 3.**
- 4.56 The recommended budget savings are summarised by Directorate in **Table 8a** below and detailed in **Annex 1.**

**Table 8a: Summary of proposed budget savings by Directorate**

Analysis of savings by Directorate	2025/26	2026/27	2027/28	2028/29	TOTAL
	£m	£m	£m	£m	£m
Adult Social Care	(0.750)	-	-	-	(0.750)
Children's Services	(1.853)	(0.768)	-	-	(2.621)
Education & Partnerships	(0.359)	-	-	-	(0.359)
Environment & Community Services	(1.013)	0.460	-	-	(0.553)
Regeneration	(0.348)	-	-	-	(0.348)
Finance	(1.170)	0.015	-	-	(1.155)
Legal & Governance	(0.186)	-	-	-	(0.186)
Council Wide	(1.357)	(1.357)	-	-	(2.714)
<b>Total Directorate</b>	<b>(7.036)</b>	<b>(1.650)</b>	<b>-</b>	<b>-</b>	<b>(8.686)</b>

4.57 **Table 8b** analyses the recommend budget savings by type of saving. This shows that in deriving the budget proposals the Mayor and Executive have sought to transform how front-line services are delivered rather than make cuts to services.

**Table 8b: Summary of proposed budget savings by type**

Analysis of savings by type	2025/26	2026/27	2027/28	2028/29	TOTAL
	£m	£m	£m	£m	£m
Income	(0.624)	0.260	-	-	(0.364)
Efficiency	(2.578)	(1.142)	-	-	(3.720)
Service Reduction / Stop	(0.331)	-	-	-	(0.331)
Transformation	(0.900)	-	-	-	(0.900)
Demand Management	(2.603)	(0.768)	-	-	(3.371)
<b>Total</b>	<b>(7.036)</b>	<b>(1.650)</b>	<b>-</b>	<b>-</b>	<b>(8.686)</b>

## Budget Growth

4.58 Budget growth totaling £2.361m was proposed for 2025/26 in Appendix 3 of the December 2024 Executive report for re-investment in services aligned to the Recover, Reset, and Deliver plan. This has been revised to a total of **£2.521m in 2025/26**. This is due to an increase in the budget growth proposed for Area Care (RRD06) where after listening to residents' views it is proposed by Executive that this is increased by a further £0.360m to a total of £0.720m in order to increase expenditure from 10% to 20%. There is also a saving of £0.200m as the funding previously proposed for increased Tree maintenance (RRD04) will now be funded from the new Middlesbrough Priorities Fund in 2025/26 rather than from base budget growth. These are now recommended by Executive for approval by Council. Details are provided in Annex 4.

## Previously Agreed Savings

4.59 Budget provision of **£0.311m in 2025/26 and a further £0.100m in 2026/27** has been made to address the removal of previously approved savings in 2025/26 in line with the priorities outlined in the Council Plan and after listening to residents' views, and these are now recommended for removal by Executive for approval by Council. These are summarised below and detailed in **Annex 3**.

Ref:	Budget Savings Proposal	25/26 £m	26/27 £m	27/28 £m	28/29 £m	TOTAL £m
ECS10	Review of Community Facilities	0.200	0.100	-	-	0.300
ECS04	Replacement Wheeled Bins Charge	0.033	-	-	-	0.033
FIN08	Reduction in the allocation of resource for voluntary and community sector grants from the local authority (remaining 25/26 element)	0.028	-	-	-	0.028
REG06	Reducing the number of staff we need to deliver the Council's marketing and communication activities by implementing new ways of working	0.050	-	-	-	0.050
<b>TOTAL REMOVED 2024/25 SAVINGS FOR DELIVERY IN FUTURE YEARS</b>		<b>0.311</b>	<b>0.100</b>	-	-	<b>0.411</b>

4.60 **Table 9** below and **Annex 3** provides a summary of the income & savings agreed in previous budget rounds that are due to be delivered during 2025/26 in addition to the new savings that are proposed in the 2025/26 budget. This is after removal of some savings which have been replaced by proposed budget growth as referred to in paragraph 4.59. The delivery of these savings will be tracked alongside new savings as part of corporate budget monitoring arrangements.

**Table 9: Savings agreed in 2024/25 Budget report to Council – to be delivered in 2025/26**

Directorate	2024/25 Saving Initiative for delivery in 2025/26	2025/26 £m
Adult Social Care	ASC01 Accommodation & Support Review	0.480
Adult Social Care	ASC12 Transformation of Adult Social Care Services	0.750
Adult Social Care	ASC14 Court of Protection Service Charges	0.053
Children's Care	CC01 Review of all services across Children's Care	0.500
Children's Care	CC03 Improvement of Internal Residential Capacity through the purchase of suitable properties and refurbishment of existing Council properties into residential homes	0.450
Children's Care	CC05 Other savings - Maximising Grants	0.150
Children's Care	CC07 Special Guardianship Order Payment Review	0.300
Environment & Community Services	ECS05 Integrate Environment Services and Supporting Communities functions and create a Neighbourhood Management approach	0.113
Environment & Community Services	ECS06 Increase in education and enforcement around recycling	0.169
Environment & Community Services	ECS08 Resident Parking Permits charge	0.125
Environment & Community Services	ECS12 Charge for Waste Bins on New Developments	0.030
Regeneration	REG01 Reducing the number of staff needed to deliver Regeneration activities by implementing new ways of working	0.129
Regeneration	REG03 Review and implementation of alternative operating models for Captain Cook Birthplace Museum	0.245
Regeneration	REG04 Improve the commercial potential of the Town Hall and Theatre to maximise the potential of the buildings and provide a greater range of performances	0.100
Regeneration	REG05 Use grant funding to cover some of the existing economic growth activities the Council carries out	0.050
Regeneration	REG07 Investing in better coordination of the way the Council provides housing to reduce the overall spend on emergency, temporary and short term accommodation for people	0.220
Finance	FIN01 Collection of Housing Benefit overpayments	0.035
Finance	FIN02 Review of Single Person Discount and Student Exemption for Council Tax	0.066
Finance	FIN03 Collection of Council Tax	0.110
Finance	FIN04 Collection of Council Tax (Charging Orders)	0.504
Finance	FIN05 Collection of Business Rates	0.126
Finance	FIN06 Collection of Council Debt	0.070
Finance	FIN11 Closure of Cashiers at Middlesbrough House	0.020
Legal & Governance Services	LGS06 Legal Services Service Review	0.045
<b>Total</b>		<b>4.840</b>

### Middlesbrough Priorities Fund

- 4.61 In response to a significant level of single year funding, the Middlesbrough Priorities Fund of £4.367m will be established, using this funding to deliver high impact, one-off projects for the benefit of our communities.
- 4.62 The temporary nature of this funding means the Council are unable to build it into the ongoing revenue budget, and as the Council still await the final detail of our funding settlement from Government, the possibility remains that the fund will increase and that elements of it may be announced as being recurrent in which case those elements will be built into ongoing revenue budgets.
- 4.63 A paper outlining the governance of the Middlesbrough Priorities Fund and how the

Council will identify the initiatives to be delivered will be brought forward for decision in April 2025.

## Government Funding

- 4.64 The Council's retained 49% share of Business Rate income, after adjustments for transitional relief and cost of collection, is estimated to be **£ 18.207m** in 2025/26, which is **£1.134m** below our Business Rate Baseline as determined by the Government for the purpose of the settlement.
- 4.65 This retained income carries potential volatility risks for the Council in calculating our share of the yield. The major risks and concerns are the level of successful rating appeals that may be made in the year, the unknown level of bankruptcies and businesses going into administration, the number of empty properties, the number of new properties and the collection rate achievable. The Council is required to make an estimate of the impact of all these, based on limited trend information. The NNDR1 return submitted to be submitted to MHCLG by 31 January 2025 estimated the net rates payable as **£38.952m** after all reliefs, with **£0.372m** assumed for bad debts (1.0%) and **£0.812m for appeals (2.1%)** leaving total collectible rates for 2025/26 as **£37.767m**, which after further adjustments is used in calculating Middlesbrough's share.
- 4.66 The Council in 2025/26 expects to receive **£13.648m** Section 31 grant which compensates councils for the loss of income, suffered as a result of previously announced changes to the Business Rates multiplier. The impact of these grants has been included within the budget refresh figures and details are shown in **Table 10** below.

**Table 10: Section 31 Grants (Business Rates)**

Budget Item	2025/26 £m
Multiplier cap	4.519
Small Business Rates Relief	1.764
Supporting Small Business Scheme	0.158
Retail Hospitality & Leisure Relief	0.855
<b>NNDR1 Return</b>	<b>7.296</b>
Under-indexing of Top-up Grant	6.352
<b>Total</b>	<b>13.648</b>

- 4.67 **Table 11** sets out the overall funding assumed within the budget. Revenue Support Grant, Business Rates Top Up Grant and Retained Business Rates. The increases in 2025/26 are as per the Provisional LGFS and the increase for 2026/27 is broadly based on the latest estimated CPI increase as at September 2025 (which the Government will base the actual increase on), with the increase for later years of the MTFP being less robust and based on an estimated increase.

**Table 11: Funding Summary**

Item	2025/26 £m	2026/27 £m	2027/28 £m	2028/29 £m	Cumulative £m
Retained Business Rates	18.207	18.517	18.831	19.151	74.706
Business Rates Top-up Grant	30.794	31.317	31.850	32.391	126.352
Revenue Support Grant	15.444	15.707	15.974	16.245	63.370
Council Tax	75.782	78.815	81.940	85.160	321.697
Collection Fund Surplus / (Deficit)	3.135	-	-	-	3.135
<b>Total</b>	<b>143.362</b>	<b>144.356</b>	<b>148.595</b>	<b>152.947</b>	<b>589.260</b>

- 4.68 **Table 12** sets out details of all other specific Government funding provided to the Council. These are based on the most up to date reliable information and the impact for 2026/27 onwards have been estimated, but these figures are necessarily less robust than the figures for 2025/26 due to very little information being provided by the Government as to future years funding.

**Table 12: Other specific grant funding**

	2025/26	2026/27	2027/28	2028/29
	£m	Indicative £m	Indicative £m	Indicative £m
Local Authority Better Care Fund	10.666	10.666	10.666	10.666
New Homes Bonus	0.031	-	-	-
Social Care Grant	22.504	22.504	22.504	22.504
Children & Families Grant	2.014	2.014	2.014	2.014
ASC Market Sustainability & Improvement Fund	3.316	3.316	3.316	3.316
Domestic Abuse Safe Accommodation Grant	0.513	0.513	0.513	0.513
Public Health Grant	18.744	18.744	18.744	18.744
Housing Benefit Administration Subsidy Grant ( <i>assumed - still TBC</i> )	0.574	0.574	0.574	0.574
Children's Social Care Prevention Grant	1.989	-	-	-
Extended Producer Responsibility Grant	3.367	-	-	-
Recovery Grant	5.410	-	-	-
S31 Grant for Business Rates Compensation for Reliefs	13.648	13.961	14.274	14.587
	<b>82.777</b>	<b>72.293</b>	<b>72.606</b>	<b>72.919</b>

Not included in the table above are details of the Dedicated Schools Grant (DSG) which the Council receives, which are detailed in Appendix 8.

### Collection Fund

- 4.69 Statutory regulations require councils to account for annual Council Tax / Business Rates income in a manner different to normal accounting arrangements as would apply if using International Financial Reporting Standards (IFRS). This means any difference between the budgeted net Council Tax and Business Rates income and the actual is held on the Council's balance sheet to be distributed in subsequent years.
- 4.70 Councils are required to calculate an estimated position of the Collection Fund in January which is used by the precepting authorities in setting its budget for the forthcoming year.
- 4.71 An annual review is undertaken to assess the estimated level of collection, the likely balance of the funds and to advise the precepting authorities (Fire and Police) of their share of any surplus/deficit. This enables them to take this into account in their own budget calculations.
- 4.72 It is currently estimated that there will be a total surplus on the Collection Fund of **£3.637m** with the Council's share being **£3.135m**. This comprises of a surplus on the Council Tax Collection Fund of **£3.934m** with the Council share of this being **£3.281m**. It is estimated that there will be a deficit on the Business Rates Collection Fund of **£0.297m** with the Council share of this being **£0.146m**. The Council's surplus will be used in full to provide some financial resilience by rebuilding reserves, which are still at a low level, by the creation of a new Savings Delivery Risk Reserve as detailed further in the Reserves Policy 2025/26 at **Appendix 4**.

## Council Tax Requirement for 2025/26

- 4.73 Given the Council's financial position, in the report to Executive in December 2024 the s151 Officer advised the Mayor and Executive to adopt the current assumed maximum permissible Council Tax increase of 4.99% p.a. for 2025/26 in order to reduce the additional budget savings required to be made to balance the budget. This advice also reflects the fact that the Government assumes that local authorities will increase the Council Tax by the maximum permissible in their calculation of the Council's Core Spending Power, which is a measure of how much the Government believes local authorities can raise from Council Tax and that they have available to spend.
- 4.74 It should be noted that each 1% increase in Council Tax produces estimated additional income to the Council of approximately £0.700m per annum.
- 4.75 There is estimated to be an increase in Council Tax income of **£0.780m** in 2025/26 and a similar amount on an ongoing basis due to a predicted increase in the Council's Tax Base resulting from projected Housing Growth over the period. In addition, it is assumed that there will be an increase of a similar amount each year in 2026/27, 2027/28, and 2028/29. Since 2013/14 the Council's Housing Growth Strategy has delivered an increase in the Council Tax Base of 6,343 Band D Equivalent properties, an increase in Middlesbrough Council's Tax Base of **approximately 21%**. The cumulative effect is approximately **£13.2m per annum** and reduces the need to make further annual savings within Council services by this amount.
- 4.76 The Council is required to set a balanced budget for 2025/26. The budget will determine the level of resources to be made available to services and forms part of the determination of the Council Tax to be levied in 2025/26.
- 4.77 If the budget proposed in this report is approved by Council the Budget Requirement for 2025/26 will be **£143.362m** with a Council Tax Requirement of **£75.783m**, equating to a Council Tax (Band D) for non-parish areas (Middlesbrough Council only element) of **£2,074.35** and Band A of **£1,382.90**. This represents a total increase in Council Tax of **4.99%** for 2025/26 comprising of a general increase of 2.99% and an Adult Social Care precept of 2.00%.
- 4.78 The draft statutory Band D Council Tax calculation that will form the basis of the 19 February 2025 Council budget report is detailed at **Appendix 7**.
- 4.79 The proposed tax to be levied for each band for each tax band for Middlesbrough Council element (excluding Fire, Police and Parish precepts) is detailed in **Table 5** of **Appendix 7** and is shown below in **Table 13**:

**Table 13: Proposed Council Tax per Band for Middlesbrough Council element (excluding Fire, Police and Parish precepts) 2025/26**

Effect of assumed 4.99% p.a. total increase in Middlesbrough element of Council Tax for 2025/26				
Band	% of dwellings per band*	2025/26 4.99% increase		
		Council Tax £	Annual Increase £	Weekly Increase £
A	50.0%	1,382.90	65.73	1.26
B	17.4%	1,613.38	76.68	1.47
C	17.4%	1,843.87	87.64	1.69
D	8.4%	2,074.35	98.59	1.90
E	4.2%	2,535.32	120.49	2.32
F	1.6%	2,996.28	142.40	2.74
G	0.9%	3,457.25	164.31	3.16
H	0.1%	4,148.70	197.17	3.79

\* Based on number of dwellings on the Valuations List as at 15/9/24

- 4.80 Nunthorpe Parish Council has set a precept of **£26,871** for 2025/26. The tax to be levied for each for each tax band are set out in **Table 5 of Appendix 7**.
- 4.81 Stainton & Thornton Parish Council has set a precept of **£14,010** for 2025/26. The tax to be levied for each for each tax band are set out in **Table 5 of Appendix 7**.
- 4.82 Cleveland Fire Authority has set a precept for Middlesbrough of **£3,449,103**. The Council Tax levels for 2025/26 are set out in **Table 6 of Appendix 7. (to be confirmed - subject to approval)**
- 4.83 Cleveland Police and Crime Commissioner has set a precept of £11,601,561 and Council Tax levels for 2025/26 are set out in Table 7 of Appendix 7. (to be confirmed - subject to approval)
- 4.84 The proposed total tax to be levied for each band (including Middlesbrough Council, Cleveland Fire Authority, Cleveland Police and Crime Commissioner, and Parishes) is set out in **Table 8 of Appendix 7. (to be confirmed)**
- 4.85 The Executive recognises the financial challenge faced by many households due to the cost of living crisis and provides financial support in the form of reductions to Council Tax for the most financially vulnerable households in addition to grants under the Household Support Fund and its Welfare Strategy.
- 4.86 Whilst the Council takes a very firm and fair approach to collection there are a number of support solutions which are available to assist financially vulnerable households. Through the Council's proposed Council Tax Reduction Scheme 2025/26, which is a separate paper on this agenda and is to be approved by Council at its budget setting meeting on 19 February 2025, a maximum of 90% support is provided. This equates to an overall level of expenditure to support financially vulnerable households of approximately £21.260m per year is provided to 18,248 households across the town. The Council has considered increasing the scheme to 100%, which would mean around 10,000 working age households would have nothing to pay, however this would likely cost the Council around an additional £2.5m to £3m to implement and operate and is not considered affordable at present.
- 4.87 In addition to the Council Tax Reduction Scheme a number of other support solutions exist. The Council has a welfare strategy which is designed to support households who may be struggling financially. The range of support is extensive

and can include such things like maximising benefits, support with any shortfall in rent, as well as help with white goods, furniture, food, and energy referrals. The Council takes a firm but fair and persistent approach to collection of debt including full benefit and welfare checks to ensure that households have access the right level of support to help them meet their Council Tax obligations.

## **Budget summary & Medium-Term Financial Plan assumptions**

5.1 In examining proposals for the 2025/26 budget, the Council considers both the immediate situation and the longer term outlook and assesses the impact of decisions accordingly. Current budgets for 2025/26 through to 2028/29 assumes:

- Council Tax increase of **4.99%** in 2025/26 (**2.99%** general increase and **2.00%** Adult Social Care precept)
- Council Tax increases of **2.99% p.a.** in 2026/27 onwards to only include the general increase. In the absence of Government confirmation of the continuation of the ASC precept beyond 2025/26 when it is due to end, a current assumption has been made to remove the 2% increase with effect from 2026/27.
- 2025/26 Council Tax base of **36,513.9** assuming Council Tax in year collection rate of **98.3%** for 2025/26 as per December 2024 Executive report with assumed future net growth of **£0.780m pa.** Currently similar levels of growth have been assumed for 2026/27 to 2028/29.
- That there will be no increase or decrease to the current levels of RSG and Business Rates Retained and Business Rates Top up Grant in 2026/27 and future years, apart from the application of inflationary increases, which have currently been assumed to be 1.7% for 2026/27 and future years (based on CPI for September 2024). This will be updated during 2025/26.
- It is currently assumed whilst the Council will be compensated for the effect of the increase in Employer's National Insurance contributions, it will not be fully compensated for the effect of the increase and that there will be cost to the Council associated with this of **£1.825m** in 2025/26 and ongoing.
- That energy prices will decrease in line with current forecasts provided by NEPO (North East Purchasing Organisation). These will be updated as further information is received.
- Pay inflation of 3.00% per annum for 2025/26, and 2.00% per annum for 2026/27 onwards.
- Inflationary uplift of 2% for 2025/26 on discretionary fees and charges. A 2% increase has also been assumed for 2026/27 to 2028/29.
- Income the Council receives from commercial developments has been amended to reflect latest information regarding occupancy and leases, and also lost income from the sale of assets approved by Executive on 21 November 2023 as part of the Asset Review report.
- New Homes Bonus Grant is discontinued or rolled into RSG from 2026/27 onwards, given that Government have recognised that the system is flawed.
- Where national increases are known for specific grants, an estimated future projection has been included based best available information.
- That other specific grants will continue at their current level for all future years,



with the exception of the following one-off grants for 2025/26 only - Extended Producer Responsibility (£3.367m), Recovery Grant (£5.410m) and the Children's Care Early Prevention Grant (£1.989m).

- One-off budgets for 2025/26 only, in the form of the Middlesbrough Priorities Fund (£4.367m) and Delivery Risk Budget (£2m), are not continued ongoing beyond 2025/26.
- That the recommend minimum balance on the General Fund Reserve of at least 7% of the Net Revenue budget over the MTFP period to 2028/29, and that the Financial Resilience Reserve is built up to at least £10m in 2025/26 and £20m by the end of 2028/29 to strengthen the Council's financial resilience. The planned contributions in the MTFP will enable these levels to be achieved.
- An affordability limit has been applied to the annual revenue capital financing costs associated with any new capital investment as follows:
  - The total annual cost of repayment of principal and interest on Council borrowing shall not exceed 10% of the Net Revenue Budget over the period of the MTFP to 2028/29.
  - This affordability limit has been factored into the MTFP model

All these budget assumptions will be subject to on-going review in light of changing circumstances.

5.2 **Table 14** shows the updated MTFP for the period 2025/26 to 2028/29 based on the information contained elsewhere in this report.

**Table 14: Refreshed MTFP Summary 2025/26 to 2028/29 (incremental)**

Budget Item	2025/26 £m	2026/27 £m	2027/28 £m	2028/29 £m
<b>Net Budget brought forward</b>	<b>134.865</b>	<b>140.227</b>	<b>144.356</b>	<b>148.595</b>
Pay Inflation	3.575	1.778	1.778	1.778
Contractual inflation	1.550	1.550	1.550	1.550
Other inflation	(0.789)	0.002	-	-
Fees & Charges inflation	(0.648)	(0.648)	(0.648)	(0.648)
<b>Inflation subtotal</b>	<b>3.688</b>	<b>2.682</b>	<b>2.680</b>	<b>2.680</b>
Service Demand pressures	13.264	3.324	3.349	3.349
<b>Service Demand pressures subtotal</b>	<b>13.264</b>	<b>3.324</b>	<b>3.349</b>	<b>3.349</b>
Technical adjustments	13.155	(5.582)	0.499	0.329
Risk Management	4.336	(3.261)	0.750	0.750
Grant Funding adjustments	(17.205)	10.484	(0.313)	(0.313)
Savings - approved in previous years	(5.151)	(1.967)	-	-
Savings - approved in previous years now removed	0.311	0.100	-	-
New savings proposals	(7.036)	(1.650)	-	-
Budgeted contribution to Reserves	3.135	-	-	-
<b>Other adjustments subtotal</b>	<b>(8.455)</b>	<b>(1.877)</b>	<b>0.936</b>	<b>0.767</b>
<b>PROJECTED NET BUDGET</b>	<b>143.362</b>	<b>144.356</b>	<b>151.321</b>	<b>155.391</b>
Council Tax	(75.781)	(78.816)	(81.941)	(85.159)
Business Rates	(49.001)	(49.834)	(50.681)	(51.542)
Estimated Collection Fund Surplus	(3.135)	-	-	-
Revenue Support Grant	(15.444)	(15.707)	(15.974)	(16.245)
<b>Assumed Funding</b>	<b>(143.362)</b>	<b>(144.356)</b>	<b>(148.595)</b>	<b>(152.947)</b>
<b>Incremental Budget Gap + / Surplus ( )</b>	<b>-</b>	<b>-</b>	<b>2.726</b>	<b>2.444</b>
<b>Cumulative Budget Gap + / Surplus ( )</b>	<b>-</b>	<b>-</b>	<b>2.726</b>	<b>2.444</b>

5.3 It can be seen from **Table 14** that whilst 2025/26 and 2026/27 are balanced, budget gaps still remain in 2027/28 and 2028/29 and further savings proposals arising from the Transformation projects currently being undertaken will be required as a

minimum to meet these budget gaps. In practice, the level of further savings to be developed will need to anticipate the risk of further pressures arising from 2026/27 onwards as is the usual experience of the annual budget setting cycle. A summary of progress regarding the Transformation Programme, alongside the Flexible Use of Capital Receipts Strategy for 2025/26 will be subject to a further report to Council and Executive in April 2025.

## Annex

<b>1/1a</b>	Budget Savings proposals that are considered to have minimal, or no effect on front line service delivery levels
<b>2/2a</b>	Budget savings proposals considered to potentially affect front line service delivery levels
<b>3</b>	2024/25 Savings Initiatives for delivery in 2025/26 by Directorate
<b>4/4a</b>	Proposed Budget Reinvestment in Recover, Reset and Deliver
<b>5</b>	Provisional indicative detail of net revenue budget by Directorate (subject to change before approval by Council)

## Appendix 2 MTFP

### Annex 1: Budget Savings proposals that are considered to have minimal, or no effect on front line service delivery levels

These proposals do not have a direct impact on the services for the public and do not therefore require public consultation. Where proposals involve a reduction in staffing, a consultation with Trade Unions and Staff will be required.

#### Adult Social Care

Reference	Categorisation	Budget savings proposal	25/26 (£m)	26/27 (£m)	27/28 (£m)	28/29 (£m)	Total (£m)	Proposed change in Staff over 2025/26 to 2026/27 FTE	Current Vacant Posts FTE
ASC16	Demand Management	<b>Strengths-based practice</b> This initiative is to focus on people's strengths to support their health and wellbeing with a reduced, or no, ongoing care package. It will be used to support service users to remain independent for longer	(0.750)	0.000	0.000	0.000	(0.750)	-	-
			<b>(0.750)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>(0.750)</b>	<b>0.000</b>	<b>0.000</b>

#### Children's Services

Reference	Categorisation	Budget savings proposal	25/26 (£m)	26/27 (£m)	27/28 (£m)	28/29 (£m)	Total (£m)	Proposed change in Staff over 2025/26 to 2026/27 FTE	Current Vacant Posts FTE
CC08	Demand Management	<b>Modernising foster care</b> This project aims to increase local authority foster carers to reduce the number of children in residential and other settings to reduce costs and better meet children's needs.	(0.735)	(0.368)	0.000	0.000	(1.103)	-	-
CC09	Demand Management	<b>Introduce a reunification team</b> This team would reduce the number of children in the Council's care by helping to place more children in the care of family members under a legal process called a Special Guardianship Order.	(0.318)	0.000	0.000	0.000	(0.318)	-	-
CC10	Demand Management	<b>Introduce edge of care team</b> The team would support families who are experiencing difficulties, with the aim of keeping the family together. This will avoid children needing to be taken into care.	(0.800)	(0.400)	0.000	0.000	(1.200)	-	-
			<b>(1.853)</b>	<b>(0.768)</b>	<b>0.000</b>	<b>0.000</b>	<b>(2.621)</b>	<b>0.0</b>	<b>0.0</b>

#### Education and Partnerships

Reference	Categorisation	Budget savings proposal	25/26 (£m)	26/27 (£m)	27/28 (£m)	28/29 (£m)	Total (£m)	Proposed change in Staff over 2025/26 to 2026/27 FTE	Current Vacant Posts FTE
EDC02	Efficiency	<b>Deliver passenger assistance training internally</b> Passenger assistants who support children on home to school transport would be trained by Council staff.	(0.037)	0.000	0.000	0.000	(0.037)	-	-

## Appendix 2 MTFP

### Annex 1: Budget Savings proposals that are considered to have minimal, or no effect on front line service delivery levels

These proposals do not have a direct impact on the services for the public and do not therefore require public consultation. Where proposals involve a reduction in staffing, a consultation with Trade Unions and Staff will be required.

EDC03	Efficiency	<b>Increase transport capacity</b> Increasing the number of vehicles the Council can lease or buy, along with extra staff, would reduce the amount spent on external businesses for home to school transport.	(0.084)	0.000	0.000	0.000	(0.084)	8.0	N/A
EDC04	Efficiency	<b>Management review</b> Up to one management post would be removed from Education and Partnerships following a review of the operational practices.	(0.044)	0.000	0.000	0.000	(0.044)	(1.0)	0.0
EDC06	Income	<b>Increase management fee income</b> The Council will receive more income for services provided on behalf of the Department for Education in relation to home to school transport.	(0.015)	0.000	0.000	0.000	(0.015)	-	-
EDC07	Efficiency	<b>Travel training</b> Providing training and support to enable more students to travel to school independently, reducing the reliance upon Council provision of home to school transport.	(0.102)	0.000	0.000	0.000	(0.102)	-	-
			<b>(0.281)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>(0.281)</b>	<b>7.0</b>	<b>0.0</b>

#### Environment and Communities

Reference	Categorisation	Budget savings proposal	25/26 (£m)	26/27 (£m)	27/28 (£m)	28/29 (£m)	Total (£m)	Proposed change in Staff over 2025/26 to 2026/27 FTE	Current Vacant Posts FTE
ECS13	Efficiency	<b>Management review</b> Up to four Environment and Community Services management posts could be removed following a review of the department's operational practices	(0.282)	0.000	0.000	0.000	(0.282)	(4.0)	0.0
ECS15	Income	<b>Grant funding</b> Funding from the Capital Transport Strategy Grant would be used to cover the costs of management.	(0.060)	0.060	0.000	0.000	0.000	-	-
ECS16	Efficiency	<b>Change in Environment and Community Services staffing</b> Review of Environment and Communities staffing will result in 5 FTE reduction through the removal of vacant posts	(0.100)	0.000	0.000	0.000	(0.100)	(5.0)	(5.0)
ECS17	Efficiency	<b>One off - Use of Capital grant funding</b> One off charging of eligible expenditure to capital on street lighting. There would be no change to levels of street lighting maintenance.	(0.200)	0.200	0.000	0.000	0.000	-	-
ECS18	Income	<b>One off - Maximisation of grants</b> Further use of external grant funding to cover appropriate staffing costs within community safety.	(0.200)	0.200	0.000	0.000	0.000	-	-
			<b>(0.842)</b>	<b>0.460</b>	<b>0.000</b>	<b>0.000</b>	<b>(0.382)</b>	<b>(9.0)</b>	<b>(5.0)</b>

## Appendix 2 MTFP

### Annex 1: Budget Savings proposals that are considered to have minimal, or no effect on front line service delivery levels

These proposals do not have a direct impact on the services for the public and do not therefore require public consultation. Where proposals involve a reduction in staffing, a consultation with Trade Unions and Staff will be required.

#### Regeneration

Reference	Categorisation	Budget savings proposal	25/26 (£m)	26/27 (£m)	27/28 (£m)	28/29 (£m)	Total (£m)	Proposed change in Staff over 2025/26 to 2026/27 FTE	Current Vacant Posts FTE
REG07	Service Reduction / Stop	<b>Staffing review across Regeneration services</b> Up to six Regeneration posts will be removed following a review of the department's operational practice.	(0.198)	0.000	0.000	0.000	(0.198)	(6.0)	(3.0)
REG08	Efficiency	<b>Reduction in energy usage</b> Restrictions on building use, energy efficiency measures and review of the way energy is purchased	(0.150)	0.000	0.000	0.000	(0.150)	-	-
			<b>(0.348)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>(0.348)</b>	<b>(6.0)</b>	<b>(3.0)</b>

#### Finance

Reference	Categorisation	Budget savings proposal	25/26 (£m)	26/27 (£m)	27/28 (£m)	28/29 (£m)	Total (£m)	Proposed change in Staff over 2025/26 to 2026/27 FTE	Current Vacant Posts FTE
FIN12	Transformation	<b>Digitise procurement activity (Council Wide)</b> Organise high volume-low value spending by using a third party to competitively buy goods and services with the use of technology.	(0.200)	0.000	0.000	0.000	(0.200)	-	-
FIN13	Transformation	<b>Procurement Contract Management (Council Wide)</b> Introduce processes, procedures, guidelines and additional resource to strengthen contract management to reduce expenditure on goods, works and services to deliver improved value for money	(0.700)	0.000	0.000	0.000	(0.700)	-	-
FIN14	Efficiency	<b>Cost of finance system</b> Renewal of the contract for the Business World finance system during 2024 has resulted in a lower contract price for the system by rationalising the number and type of licenses.	(0.135)	0.000	0.000	0.000	(0.135)	-	-
FIN15	Service Reduction / Stop	<b>Central stationery reduction</b> The budget for stationery will be reduced by 30% to align with current spending levels.	(0.020)	0.000	0.000	0.000	(0.020)	-	-
FIN16	Efficiency	<b>Accounts payable staffing change</b> A vacant post within the accounts payable finance team will be held temporarily vacant for 2025/26	(0.015)	0.015	0.000	0.000	0.000	-	-
FIN17	Income	<b>Maximisation of grants</b> Increasing the eligible administrative support charges claimed through external grant funding from 8% to 10% will increase the external funding secured to meet the Council's cost of administering grants.	(0.100)	0.000	0.000	0.000	(0.100)	-	-
			<b>(1.170)</b>	<b>0.015</b>	<b>0.000</b>	<b>0.000</b>	<b>(1.155)</b>	<b>0.0</b>	<b>0.0</b>

#### Legal and Governance Services

## Appendix 2 MTFP

### Annex 1: Budget Savings proposals that are considered to have minimal, or no effect on front line service delivery levels

These proposals do not have a direct impact on the services for the public and do not therefore require public consultation. Where proposals involve a reduction in staffing, a consultation with Trade Unions and Staff will be required.

Reference	Categorisation	Budget savings proposal	25/26 (£m)	26/27 (£m)	27/28 (£m)	28/29 (£m)	Total (£m)	Proposed change in Staff over 2025/26 to 2026/27 FTE	Current Vacant Posts FTE
LGS09	Efficiency	<b>Legal Services Resource</b> Review of operations will result in the deletion of a vacant Legal Assistant post.	(0.027)	0.000	0.000	0.000	(0.027)	(0.8)	(1.0)
LGS10	Service Reduction / Stop	<b>Governance, Policy and Information</b> Review of operations will result in the deletion of vacant posts within team	(0.113)	0.000	0.000	0.000	(0.113)	(3.0)	(3.0)
LGS11	Efficiency	<b>Members allowance budget rebasing</b> Rebasing of members allowance budget to reflect the maximum amount that can be claimed in the current governance structure.	(0.046)	0.000	0.000	0.000	(0.046)	-	-
			<b>(0.186)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>(0.186)</b>	<b>(3.8)</b>	<b>(4.0)</b>

#### Council Wide

Reference	Categorisation	Budget savings proposal	25/26 (£m)	26/27 (£m)	27/28 (£m)	28/29 (£m)	Total (£m)	Proposed change in Staff over 2025/26 to 2026/27 FTE	Current Vacant Posts FTE
CRC01-2526	Efficiency	<b>Financial Management of Pay budgets</b> This initiative standardises the budgeting for employee costs across all directorates to recognise underspends that occur naturally due to staff turnover. It also tightens budgetary control arrangements relating to the management of over and underspending to control expenditure within the overall approved budget.	(1.357)	(1.357)	0.000	0.000	(2.714)	-	-
			<b>(1.357)</b>	<b>(1.357)</b>	<b>0.000</b>	<b>0.000</b>	<b>(2.714)</b>	<b>0.0</b>	<b>0.0</b>

<b>SUB-TOTAL</b>			<b>(6.787)</b>	<b>(1.650)</b>	<b>0.000</b>	<b>0.000</b>	<b>(8.437)</b>	<b>(11.8)</b>	<b>(12.0)</b>
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## Appendix 2 MTFP

### Annex 1a: Additional information in regard to Budget Savings proposals that are considered to have minimal, or no effect on front line service delivery levels

These proposals do not have a direct impact on the services for the public and do not therefore require public consultation. Where proposals involve a reduction in staffing, a consultation with Trade Unions and Staff will be required.

#### Adult Social Care

Reference	Categorisation	Budget savings proposal	Additional Information
ASC16	Demand Management	<b>Strengths-based practice</b> This initiative is to focus on people's strengths to support their health and wellbeing with a reduced, or no, ongoing care package. It will be used to support service users to remain independent for longer	This project will promote independence and support social care staff in meeting the assessed needs of individuals through a broader range of support mechanisms with less reliance on expensive commissioned care services. Additionally, the service will increase the use of digital technology to increase choice for service users in how their needs will be met and reduce the cost of care provision.

#### Children's Services

Reference	Categorisation	Budget savings proposal	Additional Information
CC08	Demand Management	<b>Modernising foster care</b> This project aims to increase local authority foster carers to reduce the number of children in residential and other settings to reduce costs and better meet children's needs.	This project will introduce a kinship care team that will provide training and a package of support to foster carers in order to prevent children coming back into care. The project will include a comprehensive marketing strategy to attract new foster carers
CC09	Demand Management	<b>Introduce a reunification team</b> This team would reduce the number of children in the Council's care by helping to place more children in the care of family members under a legal process called a Special Guardianship Order.	This team will be carrying out assessments and a legal process after which children will no longer be in the Council's care and will return home. The department have identified 67 children initially to be assessed and supported with a Special Guardianship Order (discretionary financial support).
CC10	Demand Management	<b>Introduce edge of care team</b> The team would support families who are experiencing difficulties, with the aim of keeping the family together. This will avoid children needing to be taken into care.	This project will introduce an Edge of Care team (strengthening families at home through intensive support to prevent further escalation which may lead to Children needing to come into Care).

#### Education and Partnerships

Reference	Categorisation	Budget savings proposal	Additional Information
EDC02	Efficiency	<b>Deliver passenger assistance training internally</b> Passenger assistants who support children on home to school transport would be trained by Council staff.	Providing training by Council staff to Passenger Assistants allows for improved flexibility and reduced cost for Home to School Transport Services, this will have no direct impact on the community.
EDC03	Efficiency	<b>Increase transport capacity</b> Increasing the number of vehicles the Council can lease or buy, along with extra staff, would reduce the amount spent on external businesses for home to school transport.	Increases in demand and changes in how the private sector market can provide the home to school transport service is limiting the supply chain for various types of vehicles. Increasing the number of vehicles the council can lease or buy will support increases in demand and complex needs within the home to school transport service; adding resilience into the service.
EDC04	Efficiency	<b>Management review</b> Up to one management post would be removed from Education and Partnerships following a review of the operational practices.	Streamlining processes and creating back office efficiencies in the home to school transport team, as a result one vacant management post is to be removed
EDC06	Income	<b>Increase management fee income</b> The Council will receive more income for services provided on behalf of the Department for Education in relation to home to school transport.	Middlesbrough Council will continue to support DfE and by association Middlesbrough Students where necessary. Where this support is of a non-statutory nature the council will be reimbursed in full by DfE in assisting with the delivery of this service.
EDC07	Efficiency	<b>Travel training</b> Providing training and support to enable more students to travel to school independently, reducing the reliance upon Council provision of home to school transport.	In preparation of greater independence and adulthood, the Council will support a greater number of eligible students through its Independent Travel Training Programme to increase their accessibility to education settings, along with wider benefits such as healthier lifestyles, safe and active travel, social activities and employment.

#### Environment and Communities

Reference	Categorisation	Budget savings proposal	Additional Information
ECS13	Efficiency	<b>Management review</b> Up to four Environment and Community Services management posts could be removed following a review of the department's operational practices	A review of operational practices and reorganisation of roles and responsibilities will result in an improved alignment of services and result in approximately four posts to be removed .

## Appendix 2 MTFP

### Annex 1a: Additional information in regard to Budget Savings proposals that are considered to have minimal, or no effect on front line service delivery levels

These proposals do not have a direct impact on the services for the public and do not therefore require public consultation. Where proposals involve a reduction in staffing, a consultation with Trade Unions and Staff will be required.

ECS15	Income	<b>Grant funding</b> Funding from the Capital Transport Strategy Grant would be used to cover the costs of management.	Funding for the Capital Grants awarded to Highway Services have increased allowing for additional costs of project management to be charged.
ECS16	Efficiency	<b>Change in Environment and Community Services staffing</b> Review of Environment and Communities staffing will result in 5 FTE reduction through the removal of vacant posts	A reorganisation of Environment and Community Services capacity to where demand is required will enable efficiencies and result in 5 posts that can be removed
ECS17	Efficiency	<b>One off - Use of Capital grant funding</b> One off charging of eligible expenditure to capital on street lighting. There would be no change to levels of street lighting Maintenance	A one off Capital Grant from MHCLG for Street Lighting will enable eligible expenditure to be charged against this project.

#### Regeneration

Reference	Categorisation	Budget savings proposal	
REG07	Service Reduction / Stop	<b>Staffing review across Regeneration services</b> Up to six Regeneration posts will be removed following a review of the department's operational practice.	A number of reviews will take place within the Regeneration directorate that will have an effect on structures and ways of working. Up to six posts will be removed, which will mainly include vacant roles, but will impact upon two or three employees.
REG08	Efficiency	<b>Reduction in energy usage</b> Restrictions on building use, energy efficiency measures and review of the way energy is purchased	The way the Council manages its energy use will be reviewed to reduce demand. This will involve energy efficiency measures that reduce the usage, energy generation to replace purchased energy, and looking at different ways of buying energy to reduce costs.

#### Finance

Reference	Categorisation	Budget savings proposal	
FIN12	Transformation	<b>Digitise procurement activity (Council Wide)</b> Organise high volume-low value spending by using a third party to competitively buy goods and services with the use of technology.	This proposal aims to improve the administrative efficiency of purchasing a range of goods and services and also reduce the price paid for those goods and services. There is no direct impact upon the level of service provided to the community.
FIN13	Transformation	<b>Procurement Contract Management (Council Wide)</b> Introduce processes, procedures, guidelines and additional resource to strengthen contract management to reduce expenditure on goods, works and services to deliver improved value for money	This proposal aims to improve the Council's contract management arrangements to achieve better value from its contracts for goods, works and services. There is no direct impact upon the level of service provided to the community.
FIN14	Efficiency	<b>Cost of finance system</b> Renewal of the contract for the Business World finance system during 2024 has resulted in a lower contract price for the system by rationalising the number and type of licenses.	The Council has recently concluded a renegotiation of the contractual terms for its finance system which will cost less than the budgetary provision. There is no direct impact upon the level of service provided internally or to services provided to the community.
FIN15	Service Reduction / Stop	<b>Central stationery reduction</b> The budget for stationery will be reduced by 30% to align with current spending levels.	The budget has been reduced to align to expected stationery usage. There is no direct impact upon the level of services to the community.
FIN16	Efficiency	<b>Accounts payable staffing change</b> A vacant post within the accounts payable finance team will be held temporarily vacant for 2025/26	This proposal will have no direct impact on the community.
FIN17	Income	<b>Maximisation of grants</b> Increasing the eligible administrative support charges claimed through external grant funding from 8% to 10% will increase the external funding secured to meet the Council's cost of administering grants.	This proposal increases the external grant contributions towards the cost of existing service provision and has no direct impact on the community.

#### Legal and Governance Services

Reference	Categorisation	Budget savings proposal	
LGS09	Efficiency	<b>Legal Services Resource</b> Review of operations will result in the deletion of a vacant Legal Assistant post.	This is the deletion of a post that has been vacant for a significant period. The work has been absorbed by the other legal assistants and this will continue. The impact will mean that some tasks take longer to complete, however there will be no direct impact upon the level of services to the community
LGS10	Service Reduction / Stop	<b>Governance, Policy and Information</b> Review of operations will result in the deletion of vacant posts within team	No redundancies will occur as a result of the proposal which will see vacant posts following a recent service review, formally removed from the structure.



## Appendix 2 MTFP

### Annex 1a: Additional information in regard to Budget Savings proposals that are considered to have minimal, or no effect on front line service delivery levels

These proposals do not have a direct impact on the services for the public and do not therefore require public consultation. Where proposals involve a reduction in staffing, a consultation with Trade Unions and Staff will be required.

LGS11	Efficiency	<b>Members allowance budget rebasing</b> Rebasing of members allowance budget to reflect the maximum amount that can be claimed in the current governance structure.	The budget has been amended to align to the maximum amount that can be claimed in the current governance structure. There is no direct impact upon the level of services to the community.
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**Council Wide**

Reference	Categorisation	Budget savings proposal	
CRC01-2526	Efficiency	<b>Financial Management of Pay budgets</b> This initiative standardises the budgeting for employee costs across all directorates to recognise underspends that occur naturally due to staff turnover. It also tightens budgetary control arrangements relating to the management of over and underspending to control expenditure within the overall approved budget.	<p>The Council's approach to budgeting for pay currently provides for all posts at the top of the pay grade for each role, irrespective of whether posts are actually vacant or are occupied at a lower point within the grade. In addition there is variation in approach between directorates in relation to the budgetary impact of staff turnover (i.e. a percentage vacancy factor applied to pay budgets to reflect the underspend that will be generated during the period between one postholder leaving the Council's employment and a new employee taking up their role. Some directorates make no provision, whilst others make significant provision for vacancies which restricts the provision of planned service delivery. These disparate practices result in over-budgeting for employee costs at a whole council level which have generated underspends on employee budgets of between 5% and 13% over the period since 2021/22. Such underspends have commonly been informally applied by budget holders to offset overspends on non pay expenditure and/or income shortfalls, rather than being managed in a controlled and systematic manner in accordance with the 'budget virement' (budget transfer) rules set out in financial regulations with the involvement of finance officers. The Council needs to exercise a firmer grip upon its financial management and control and to evidence its spending decisions to demonstrate value for money and control expenditure within the overall budget. The vacancy allowance that will be applied will be:</p> <p>in 2025/26 The higher of:</p> <ul style="list-style-type: none"> <li>- existing vacancy allowance for a directorate or</li> <li>- 2.5% of an adjusted pay budget (taking account of posts that are business continuity critical and funded from grant which would be lost if not applied in year)</li> </ul> <p>A further step up of 2.5% in 2026/27 will be applied.</p> <p>To achieve this:</p> <ul style="list-style-type: none"> <li>- Directors will manage the vacancy allowance at directorate level rather than being held at individual service level to enable a corporate and cross cutting approach to managing the pay budget.</li> <li>- Financial regulations will be further refined and training provided to Directors and their budget holders to ensure compliance with budget virement rules in 2025/26. Through this process, transfers of underspending on pay budgets in order to fund identified need to spend in excess of non-pay budgets will be undertaken in accordance with financial regulations and with active involvement of finance officers. Where The finance team will also work with Directors to review the overall approach to pay budgeting.</li> <li>- Where unmanageable non-pay pressures are identified as a result of these strengthened financial management arrangements, the s151 Officer will exercise their delegation to consider the potential to provide transitional funding from a newly established Delivery Risk Budget subject to the conditions that will be applied to the use of the Risk Budget.</li> </ul> <p>Once this approach is embedded, it will form the foundation from which to move in 2026/27 to a more dynamic approach to budgeting which reflects the actual grade and costs of staff in post and planned on an annual basis</p> <ul style="list-style-type: none"> <li>- no established posts will be deleted as a result of this initiative.</li> </ul>

## Appendix 2 MTFP

### Annex 2: Budget savings proposals considered to potentially affect front line service delivery levels

These proposals will form part of the 2025/26 revenue budget and require public consultation

#### Education and Partnerships

Reference	Categorisation	Budget savings proposal	25/26 (£m)	26/27 (£m)	27/28 (£m)	28/29 (£m)	Total (£m)
EDC05	Income	<b>Recharge Discretionary Home to School transport services</b> Where the council provides discretionary as opposed to statutory home to school transport services, these will be recharged to the relevant schools and/ or health services.	(0.078)	0.000	0.000	0.000	(0.078)
			<b>(0.078)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>(0.078)</b>

Proposed change in Staff over 2025/26 to 2026/27 FTE	Current Vacant Posts FTE
-	-
<b>0.0</b>	<b>0.0</b>

#### Environment and Communities

Reference	Categorisation	Budget savings proposal	25/26 (£m)	26/27 (£m)	27/28 (£m)	28/29 (£m)	Total (£m)
ECS14	Income	<b>Fees and Charges</b> An increase in fees and charges above the 2% increase within the Fees and Charges policy for a number of Environment and Community Services - (See Fees and Charges Schedule)	(0.100)	0.000	0.000	0.000	(0.100)
ECS19	Income	<b>Council Car parking</b> An increase in fees and charges above the 2% increase (average 3.5%) within the Fees and Charges policy for Council Car Parking - (See Fees and Charges Schedule)	(0.060)	0.000	0.000	0.000	(0.060)
ECS20	Income	<b>Fleet services - Increase Charges</b> An increase in fees and charges above the 2% increase within the Fees and Charges policy for MOTs and new promotions to increase volume of business	(0.011)	0.000	0.000	0.000	(0.011)
			<b>(0.171)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>(0.171)</b>

Proposed change in Staff over 2025/26 to 2026/27 FTE	Current Vacant Posts FTE
-	-
-	-
-	-
<b>0.0</b>	<b>0.0</b>

<b>SUB-TOTAL</b>			<b>(0.249)</b>	<b>0.000</b>	<b>0.000</b>	<b>0.000</b>	<b>(0.249)</b>
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<b>0.000</b>	<b>0.000</b>
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## Appendix 2 MTFP

### Annex 2a: Additional information in regard to Budget savings proposals considered to potentially affect front line service delivery levels

These proposals will form part of the 2025/26 revenue budget and require public consultation

#### Education and Partnerships

Reference	Categorisation	Budget savings proposal	
EDC05	Income	<b>Recharge Discretionary Home to School transport services</b> Where the council provides discretionary as opposed to statutory home to school transport services, these will be recharged to the relevant schools and/ or health services.	At present the Council pays for some home to school transport that legally could be charged to special schools and health services. A change would see the Council stop paying these costs. The costs would be covered by a school or health service provider instead. This will not mean a reduction in the number of children transported, it will change how transport for approximately 14 children is paid for.

#### Environment and Communities

Reference	Categorisation	Budget savings proposal	
ECS14	Income	<b>Fees and Charges</b> An increase in fees and charges above the 2% increase within the Fees and Charges policy for a number of Environment and Community Services - (See Fees and Charges Schedule)	The detailed changes are included in Appendix 4 Fees and Charges Schedule, changes do vary significantly across the services provided and average to a 1% increase. The main increases are attributable to Bereavement Services and Highway Management Services.
ECS19	Income	<b>Council Car parking</b> An increase in fees and charges above the 2% increase (average 3.5%) within the Fees and Charges policy for Council Car Parking - (See Fees and Charges Schedule)	There will be a number of increases in car parking charges in Council Car Parks, these will on average equate to a 3.5% increase, as charges will be set to the nearest 10 pence.
ECS20	Income	<b>Fleet services - Increase Charges</b> An increase in fees and charges above the 2% increase within the Fees and Charges policy for MOTs and new promotions to increase volume of business	The price for MOTs undertaken by Fleet Services will increase as per the Fees and Charges Schedule. Alongside this a number of promotions will take place to increase the volume of business

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## Appendix 2 MTFP

### Annex 3: 2024/25 Savings Initiatives for delivery in 2025/26 by Directorate

<b>Adult Social Care</b>						
Ref:	Budget Savings Proposal	25/26 £m	26/27 £m	27/28 £m	28/29 £m	TOTAL £m
ASC01	Accommodation & Support Review	(0.480)	-	-	-	(0.480)
ASC12	Transformation of Adult Social Care Services	(0.750)	(0.750)	-	-	(1.500)
ASC14	Court of Protection Service Charges	(0.053)	-	-	-	(0.053)
<b>Total Adult Social Care</b>		<b>(1.283)</b>	<b>(0.750)</b>	-	-	<b>(2.033)</b>

<b>Children's Care</b>						
Ref:	Budget Savings Proposal	25/26 £m	26/27 £m	27/28 £m	28/29 £m	TOTAL £m
CC01	Review of all services across Children's Care	(0.500)	-	-	-	(0.500)
CC03	Improvement of Internal Residential Capacity through the purchase of suitable properties and refurbishment of existing Council properties into residential homes	(0.450)	(0.615)	-	-	(1.065)
CC05	Other savings - Maximising Grants	(0.150)	(0.100)	-	-	(0.250)
CC07	Special Guardianship Order Payment Review	(0.300)	-	-	-	(0.300)
<b>Total Children's Care</b>		<b>(1.400)</b>	<b>(0.715)</b>	-	-	<b>(2.115)</b>

<b>Environment &amp; Community Services</b>						
Ref:	Budget Savings Proposal	25/26 £m	26/27 £m	27/28 £m	28/29 £m	TOTAL £m
ECS05	Integrate Environment Services and Supporting Communities functions and create a Neighbourhood Management approach	(0.113)	-	-	-	(0.113)
ECS06	Increase in education and enforcement around recycling	(0.169)	(0.020)	-	-	(0.189)
ECS08	Resident Parking Permits charge	(0.125)	-	-	-	(0.125)
ECS12	Charge for Waste Bins on New Developments	(0.030)	-	-	-	(0.030)
<b>Total Environment &amp; Community Services</b>		<b>(0.437)</b>	<b>(0.020)</b>	-	-	<b>(0.457)</b>

<b>Regeneration</b>						
Ref:	Budget Savings Proposal	25/26 £m	26/27 £m	27/28 £m	28/29 £m	TOTAL £m
REG01	Reducing the number of staff needed to deliver Regeneration activities by implementing new ways of working	(0.129)	-	-	-	(0.129)
REG03	Review and implementation of alternative operating models for Captain Cook Birthplace Museum	(0.245)	-	-	-	(0.245)
REG04	Improve the commercial potential of the Town Hall and Theatre to maximise the potential of the buildings and provide a greater range of performances	(0.100)	-	-	-	(0.100)

REG05	Use grant funding to cover some of the existing economic growth activities the Council carries out	(0.050)	-	-	-	(0.050)
REG07	Investing in better coordination of the way the Council provides housing to reduce the overall spend on emergency, temporary and short term accommodation for people	(0.220)	(0.200)	-	-	(0.420)
<b>Total Regeneration</b>		<b>(0.744)</b>	<b>(0.200)</b>	-	-	<b>(0.944)</b>

<b>Finance</b>						
Ref:	Budget Savings Proposal	25/26 £m	26/27 £m	27/28 £m	28/29 £m	TOTAL £m
FIN01	Collection of Housing Benefit overpayments	(0.035)	-	-	-	(0.035)
FIN02	Review of Single Person Discount and Student Exemption for Council Tax	(0.066)	-	-	-	(0.066)
FIN03	Collection of Council Tax	(0.110)	(0.037)	-	-	(0.147)
FIN04	Collection of Council Tax (Charging Orders)	(0.504)	(0.103)	-	-	(0.607)
FIN05	Collection of Business Rates	(0.126)	(0.042)	-	-	(0.168)
FIN06	Collection of Council Debt	(0.070)	-	-	-	(0.070)
FIN11	Closure of Cashiers at Middlesbrough House	(0.020)	-	-	-	(0.020)
<b>Total Finance</b>		<b>(0.931)</b>	<b>(0.182)</b>	-	-	<b>(1.113)</b>

<b>Legal &amp; Governance</b>						
Ref:	Budget Savings Proposal	25/26 £m	26/27 £m	27/28 £m	28/29 £m	TOTAL £m
LGS06	Legal Services Service Review	(0.045)	-	-	-	(0.045)
<b>Total Legal &amp; Governance</b>		<b>(0.045)</b>	-	-	-	<b>(0.045)</b>

<b>TOTAL 2024/25 SAVINGS FOR DELIVERY IN FUTURE YEARS</b>		<b>(4.840)</b>	<b>(1.867)</b>	-	-	<b>(6.707)</b>
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**NOTE**

The above is after the removal of the following previously approved savings which has reduced the previously agreed savings from £5.151m in 2025/26 to £4.840m, and from £1.967m in 2026/27 to £1.867m.

Ref:	Budget Savings Proposal	25/26 £m	26/27 £m	27/28 £m	28/29 £m	TOTAL £m
ECS10	Review of Community Facilities	0.200	0.100	-	-	0.300
ECS04	Replacement Wheeled Bins Charge	0.033	-	-	-	0.033
FIN08	Reduction in the allocation of resource for voluntary and community sector grants from the local authority (remaining 25/26 element)	0.028	-	-	-	0.028
REG06	Reducing the number of staff we need to deliver the Council's marketing and communication activities by implementing new ways	0.050	-	-	-	0.050
<b>TOTAL REMOVED 2024/25 SAVINGS FOR DELIVERY IN FUTURE YEARS</b>		<b>0.311</b>	<b>0.100</b>	-	-	<b>0.411</b>

## Appendix 2 MTFP

### Annex 4: Proposed Budget Reinvestment in Recover, Reset and Deliver

Reference	Directorate	Proposed Budget Reinvestment in Recover, Reset and Deliver	25/26 (£m)	26/27 (£m)	27/28 (£m)	28/29 (£m)	Total (£m)	Proposed Change in Staff over 2025/26 to 2028/29 FTE
RRD01	Adult Social Care	<b>Adult Social Care Resource</b> Investment of additional staffing for a number of services including: - areas experiencing increased complexity and higher demand (homelessness and adult safeguarding) - improvements in practice and data quality for care package allocation	0.239	0.080	0.000	0.000	0.319	7.0
RRD02	Children's Services	<b>Youth Service Providers:</b> An increased investment in Youth Services through youth providers to enable the provision of more sessions and increased engagement of young people.	0.100	0.000	0.000	0.000	0.100	0.0
RRD03	Children's Services	<b>Children's Social Care (S17) Expenditure</b> Investment in resources to deal with increased demand in areas including - Overnight emergency accommodation - Legal and financial support costs	0.253	0.084	0.000	0.000	0.337	0.0
RRD05	Environment and Communities	<b>Pest control:</b> Increasing staffing in Pest control from 1 to 4 to enable more treatment of open spaces and alleyways across the town	0.125	0.000	0.000	0.000	0.125	3.0
RRD06	Environment and Communities	<b>Area care:</b> Increase expenditure by 20% to improve service levels for grass cutting, street cleansing and shrubs and hedgerow maintenance.	0.720	0.000	0.000	0.000	0.720	20.0
RRD07	Regeneration	<b>Events:</b> Investment to support and attract events to the town to increase footfall and engagement.	0.200	0.000	0.000	0.000	0.200	2.0
RRD08	Finance	<b>Finance Improvement</b> Rebuilding the professional capacity and capability within the Finance Team to strengthen resilience and to deliver the improvements required to strengthen the Council's financial management arrangements as reflected in the CIPFA Financial Management review	0.485	0.191	0.000	0.000	0.676	9.0
RRD09	Finance	<b>Counter Fraud Capacity</b> Investment in additional Counter Fraud capacity in order to strengthen the Council's arrangements to protect the Council's financial interests.	0.073	0.042	0.000	0.000	0.115	0.0
RRD10	Legal and Governance Services	<b>Investment in data analysis:</b> Use of new software would help the Council predict and plan for future demand in areas such as social care and homelessness.	0.126	0.000	0.000	0.000	0.126	2.0
RRD11	Council Wide - Finance	<b>Family resilience fund initiative</b> investment will offer a welfare 'health check' in locations across the town to families facing financial struggles or who do not routinely make contact with the council	0.200	0.000	0.000	0.000	0.200	1.0
		<b>TOTAL</b>	<b>2.521</b>	<b>0.397</b>	<b>0.000</b>	<b>0.000</b>	<b>2.918</b>	<b>44.0</b>

## Appendix 2 MTFP

### Annex 4a: Additional Information in regard to Proposed Reinvestment in Recover, Reset and Deliver

Reference	Directorate	Proposed Budget Reinvestment in Recover, Reset and Deliver	Additional Information	Outputs
RRD01	Adult Social Care	<b>Adult Social Care Resource</b> Investment of additional staffing for a number of services including: - areas experiencing increased complexity and higher demand (homelessness and adult safeguarding) - improvements in practice and data quality for care package allocation	Additional Staffing will cover the following roles: Local Authority Designated Officer for adult services; Sensory Support Vision Rehabilitation Officer; Principal Social Worker; ACT Data Analyst; Domiciliary Care Broker, 2 x Housing Solution Officers.	<ul style="list-style-type: none"> <li>- reduction in homelessness caseloads (100 to 70 per officer)</li> <li>- enabling the delivery of Strength based practice</li> <li>- improved data quality for Government returns</li> <li>- continuity of service provision for sensory support and vision rehab</li> </ul>
RRD02	Children's Services	<b>Youth Service Providers:</b> An increased investment in Youth Services through youth providers to enable the provision of more sessions and increased engagement of young people.	The service, working alongside the Early Help and Prevention strategy, will offer support to vulnerable young people and their families. This will support the delivery of the Prevention strategy and also wider council initiative for earlier interventions, potentially reducing the points of contacts within the council and other agencies.	<ul style="list-style-type: none"> <li>- Increased earlier intervention measures with vulnerable young people and their families</li> <li>- Reducing the pressures on high cost Social care services in both Children's and Adults services.</li> </ul>
RRD03	Children's Services	<b>Children's Social Care (S17) Expenditure</b> Investment in resources to deal with increased demand in areas including - Overnight emergency accommodation - Legal and financial support costs	There is a duty on children's services to provide help and support to a child in need, to safeguard the child and promote their welfare. This duty extends to providing help to a family where required. A range of appropriate services may be provided, including financial assistance or housing	<p>An increase across all services provided, these range from:</p> <ul style="list-style-type: none"> <li>- Overnight Emergency Accommodation</li> <li>- Financial and Legal Support</li> <li>- Travel costs</li> <li>- Goods (e.g. Appliances )</li> <li>- Nursery support</li> </ul>
RRD05	Environment and Communities	<b>Pest control:</b> Increasing staffing in Pest control from 1 to 4 to enable more treatment of open spaces and alleyways across the town	The investment will allow for an increase 4 operatives from 1, resulting in services covering both preventative services as well as reactive.	<p>As a result the investment will allow for:</p> <ul style="list-style-type: none"> <li>- Back alleys will be treated weekly.</li> <li>- Open spaces will be treated quarterly.</li> <li>- reactive services will continue where required</li> </ul>
RRD06	Environment and Communities	<b>Area care:</b> Increase expenditure by 20% to improve service levels for grass cutting, street cleansing, shrubs and hedgerow maintenance, and general neighbourhood maintenance.	<ul style="list-style-type: none"> <li>- Increase the number of grass cuts to at least 13 per season with no longer than 10 days between cuts. At present it is 14 days</li> <li>- Increase weed killing from an average of 3 per annum per area to 4 these will be undertaken on foot to increase effectiveness.</li> <li>- Increase in general cleansing across the town by 8 seasonals. At present we have 22. This is a 37% increase.</li> <li>- Increase the shrub and hedgerow maintenance programme by 40%</li> <li>- General neighbourhood litter picking and cleansing , including back alleys</li> </ul>	This investment aims to improve the cleanliness and appearance of public places.
RRD07	Regeneration	<b>Events:</b> Investment to support and attract events to the town to increase footfall and engagement.	Increasing the Council's Events Team from one to three, and creating an operational budget to enable the Council to attract more events to the town and expand the range and scale of those already taking place in key venues such as the town centre and the parks. An increase in events would lead to more visitors, an increase in the money spent locally and improve the town's image.	<ul style="list-style-type: none"> <li>- Increase in events in Town Centre and Parks</li> <li>- Increase in Visitors</li> <li>- Improvement in Town's Image</li> </ul>
RRD08	Finance	<b>Finance Improvement</b> Rebuilding the professional capacity and capability within the Finance Team to strengthen resilience and to deliver the improvements required to strengthen the Council's financial management arrangements as reflected in the CIPFA Financial Management review	<p>The proposal increases the staffing establishment by 9 FTE to invest in:</p> <ul style="list-style-type: none"> <li>- a number of professionally qualified financial planning and technical accountancy roles that are deficient in the current structure.</li> <li>- professionally qualified strategic finance business partnering roles to strengthen the support to service directorates and drive efficiency in use of financial systems and budget holder self service</li> <li>- develop a pipeline of trainee accountants in order to grow and develop internal talent for the future</li> <li>- establish a training budget to support the training and development of accountancy teams to maintain professional standards and enable career progression.</li> </ul> <p>The operating model will be revised and the team will be reshaped in order to focus upon the delivery of efficient and robust financial governance and value for money in Council decision making.</p>	<p>These measures aim to ensure that the Finance service has sufficient resources to:</p> <ul style="list-style-type: none"> <li>- uphold the statutory responsibilities of the s151 Officer ;</li> <li>- address the recommendations made by CIPFA's Financial Management Review to achieve a minimum 3 star independent assessment in 2026</li> <li>- address the weaknesses identified in the MHCLG financial assurance review undertaken in relation to the Council's application for Exceptional Financial Support in 2024/25.</li> </ul>



## Appendix 2 MTFP

### Annex 4a: Additional Information in regard to Proposed Reinvestment in Recover, Reset and Deliver

Reference	Directorate	Proposed Budget Reinvestment in Recover, Reset and Deliver	Additional Information	Outputs
RRD09	Finance	<p><b>Counter Fraud Capacity</b> Investment in additional Counter Fraud capacity in order to strengthen the Council's arrangements to protect the Council's financial interests.</p>	<p>This proposal invests an increase in counter fraud resource from 150 days to 400 days per year by 2026/27. This will enable more proactive counter fraud work to take place and will enable the counter fraud team to respond to requests for fraud investigation more promptly. Counter fraud activity focuses upon protecting the financial interests of the Council and ultimately the tax payer through successful prosecution of perpetrators of fraud and recovery of financial losses incurred by the Council as a result of fraud. The impact of this investment will be reported via Counter Fraud updates to the Audit Committee.</p>	<p>This investment aims to increase the number of successful prosecutions of perpetrators of fraud against the Council and recovery of associated financial losses incurred by the Council as a result of such fraud.</p>
RRD10	Legal and Governance Services	<p><b>Investment in data analysis:</b> Use of new software would help the Council predict and plan for future demand in areas such as social care and homelessness.</p>		<p>This investment aims to improve medium to long term service and financial planning, enabling the Council to be more proactive in designing and service solutions to meet the needs of the community.</p>
RRD11	Council Wide - Finance	<p><b>Family resilience fund initiative</b> investment will offer a welfare 'health check' in locations across the town to families facing financial struggles or who do not routinely make contact with the council</p>	<p>The service through the family (household) resilience fund initiative will be offering a welfare 'health check' in locations across the town such as family hubs, neighbourhoods, schools, community groups and other venues that will help the service target those cohorts much in need such as care leavers with children, households facing financial struggles due to a recent change in their circumstances or those that do not routinely make contact with the service. The service can signpost to other support solutions, provide support through the Household Support Fund or where the criteria is not met but further support would be beneficial the fund will provide a means to give additional aid through such things like baby boxes, vouchers, white goods or repairing, winter clothing etc, with each case assessed on its own merits to ensure a more tailored approach is provided. The service will link in with the multi bank where appropriate and sign post to other means of support in the first instance and where a gap remains the Family resilience fund will be accessed to provide immediate support - whilst the welfare 'health check' is undertaken. This work will involve members of the welfare support team working alongside welfare rights. To administer the additional work - will require one FTE (Grade H). Locations will be decided and communicated through a detailed comms plan and shared organisations. Members will be engaged to help manage the message across the town.</p>	<p>This additional investment aims to supplement, co-ordinate and tailor support available to households in financial difficulty.</p>

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## Appendix 2 Medium Term Financial Plan

### Annex 5 Provisional Indicative Detail of Net Revenue Budget by Directorate

**\*INDICATIVE - SUBJECT TO CHANGE FOR BUDGET REPORT TO COUNCIL 19/02/25 - SOME ALLOCATIONS CURRENTLY SHOWN CENTRALLY (E.G. NATIONAL INSURANCE INCREASES/SUPERANNUATION INCREASES ETC. WILL BE DISTRIBUTED TO DIRECTORATE LEVEL FOR FINAL ALLOCATIONS)\***

	2024/25		2025/26	
	£'Million	£'Million	£'Million	£'Million
<b>Net Service Expenditure</b>				
Regeneration & Culture	2.023		1.375	
Environment & Community Services	20.176		21.091	
Public Health	0.006		0.086	
Education & Partnerships	7.992		6.122	
Children's Care	54.038		55.983	
Adult Social Care	52.075		54.026	
Chief Executive	0.242		0.242	
Legal & Governance Services	10.387		10.796	
Finance	3.121	150.060	1.575	151.296
<b>Levies</b>				
Environment Agency	0.129	0.129	0.129	0.129
<b>Central Provisions &amp; Budgets</b>				
Provisions for Pay & Prices and Contingencies	8.141		18.161	
Social Care Grant Income Held Centrally	(19.202)		(22.504)	
Other Grant Income Held Centrally	0.000		(11.987)	
Services Grant	(0.321)		0.000	
Exceptional Financial Support	(4.700)		0.000	
Change Fund	0.730		0.730	
Net Capital Financing Costs	11.154		13.253	
External Audit	0.382		0.382	
Added Years Pensions	1.216		1.216	
Apprentice Levy	0.274		0.274	
Section 31 NNDR Grant	(13.582)		(13.648)	
Designated Authority Costs	0.040		0.040	
Custodian Properties	0.008	(15.861)	0.008	(14.075)
<b>Net Spending</b>		134.328		137.350
Contribution (from) / to Reserves		8.825		5.971
<b>Net Revenue Budget</b>		143.153		143.322
<b>Parish Precepts</b>				
Nunthorpe		0.025		0.028
Stainton & Thornton		0.012		0.012
<b>Net Revenue Budget (inc. Precepts)</b>		143.190		143.362
<b>Funded by:</b>				
Revenue Support Grant		15.122		15.444
Top up Payment		30.461		30.794
Retained Business Rates		17.844		18.207
Council Tax		71.438		75.781
Estimated Collection Fund Surplus /(Deficit)		8.325		3.135
		143.190		143.362

#### NOTE

Finance Directorate proposed 2025/26 budget includes £0.900m of Council cross cutting Procurement savings and approximately £0.800m of savings linked to the Collection Fund which will involve transfers of budgets within the Council during 2025/26

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## APPENDIX 3 – CONSULTATION IMPACT ASSESSMENTS

### Overall Budget Impact Assessment 2025/26

<b>Subject of assessment:</b>	Middlesbrough Council Budget 2025/26			
<b>Coverage:</b>	Crosscutting			
<b>This is a decision relating to:</b>	<input type="checkbox"/> <b>Strategy</b>	<input type="checkbox"/> <b>Policy</b>	<input checked="" type="checkbox"/> <b>Service</b>	<input type="checkbox"/> <b>Function</b>
	<input type="checkbox"/> <b>Process/procedure</b>	<input type="checkbox"/> <b>Programme</b>	<input type="checkbox"/> <b>Project</b>	<input checked="" type="checkbox"/> <b>Review</b>
	<input checked="" type="checkbox"/> <b>Organisational change</b>	<input checked="" type="checkbox"/> <b>Other (please state) Budget</b>		
<b>It is a:</b>	<b>New approach:</b>	<input type="checkbox"/>	<b>Revision of an existing approach:</b>	<input checked="" type="checkbox"/>
<b>It is driven by:</b>	<b>Legislation:</b>	<input checked="" type="checkbox"/>	<b>Local or corporate requirements:</b>	<input checked="" type="checkbox"/>
<b>Description:</b>	<p><b>Key aims, objectives and activities</b></p> <p>By law the Council has to agree a balanced budget annually. The purpose of this Impact Assessment is to assess the cumulative impact of the 2025/26 budget proposals. The Public Sector Equality Duty (PSED) places a statutory duty on the Council to ensure that it identifies where decisions would impact disproportionately adversely on groups that share a protected characteristic under UK law and then consider those proposals in line with the PSED. The protected characteristics are: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation. To ensure compliance with the PSED the Council has identified what the impact of proposals will be. Where there is a risk that they will have a disproportionate adverse impact, consideration has been given to steps needed to avoid or mitigate that impact. Mitigation will include steps to take account of the different needs of groups and may result in adjustments to meet their needs. Where decisions cannot be fully mitigated or avoided, they must be justified if they are still brought forward, in order to comply with the PSED. This overall IA considers the overall budget process, in particular:</p> <ul style="list-style-type: none"> <li>Those savings identified in the report for consultation with the public because they were considered to potentially affect front line service delivery levels. These initiatives will form part of the 2025/2026 revenue budget and were subject to the impact assessment process and consultation prior to consideration by Full Council as part of the 2025/2026 revenue budget setting process.</li> </ul>			

	<p>The following proposal were identified as requiring public consultation within the overall budget consultation process:</p> <ul style="list-style-type: none"> <li>• ECS14 Fleet Services increase in charges</li> <li>• ECS19 Council Car parking charges increases</li> <li>• ECA20 increases in fees and charges</li> <li>• EDC05 recharging for non-statutory school related transport by the Integrated Transport Unit</li> </ul> <p>A general consultation email address was launched along with a consultation section on the Council’s website, social media promotion and in-person events led by the Mayor. This resulted in 361 responses to the survey, 1 email to the email address, around 25 people attended across three consultation events,</p> <p><b>Statutory drivers (set out exact reference)</b></p> <p>A number of statutory duties, guidance, legislation and regulations are relevant to this proposal which will be considered, these include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Budget setting - Local Government Act 1972</li> <li>• Individual proposals – various as set out in individual Impact Assessments</li> <li>• Impact Assessment process – Equality Act 2010.</li> </ul>
	<p><b>Differences from any previous approach</b></p> <p>The budget sets out a range of changes to services and functions. These are outlined in the main body of the report.</p> <p><b>Key stakeholders and intended beneficiaries (internal and external)</b></p> <p>All residents of Middlesbrough and customers of MBC. Some proposals are more relevant to certain groups than others and this is set out within the individual assessments, which are also appended and the excel table. Some proposals also impact on staff.</p> <p><b>Intended outcomes</b></p> <p>To present a budget to Council that has given full consideration to the impact of proposals and gives proper consideration to the Council’s equality duties.</p>
<b>Live date:</b>	April 2025 onwards
<b>Lifespan:</b>	April 2025 – March 2026
<b>Date of next review:</b>	March 2026

Assessment issue	Impacts identified		Rationale and supporting evidence			
	None	Positive	Negative		Uncertain	
			Justified	Mitigated		
<b>Human Rights</b>						
Engagement with Convention Rights (as set out in section 1, appendix 2 of the Impact Assessment Policy).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None of the proposals impact on human rights. None of the assessments have identified that there could be an adverse impact on human rights as a result of a proposal.
<b>Equality</b>						
Age	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Feedback on the impact assessments completed for the Budget Consultation identified one as being potentially relevant to age protected characteristic.</p> <p>EDC05 – Integrated Transport Unit charging</p> <p>The Impact Assessments attached to the report identified that the following proposal was relevant to the age and disability protected characteristics:</p> <p>‘Remove or recharge non-statutory and discretionary Home to School transport services where the council provides discretionary as opposed to statutory home to school transport services. These will be recharged to the relevant schools and/or health services.’</p> <p>The individual IA found that the impact was mitigated because services will continue to be delivered in line with existing policy and taking into account identified needs of those transported and that its impact on schools and vulnerable children had been considered within the design of the proposal which correctly places responsibility for the costs with the school or health provider who have the responsibility to fund if needed.</p> <p>As well as proposed budget reductions, the 2025/26 proposed budget includes a number of proposals to improve Adult and children’s safeguarding resources to improve outcomes. This will have a positive impact on the age and disability protected characteristics by increasing investment to:</p> <ul style="list-style-type: none"> <li>• Improve practice and data quality for care packages in Adults Social Care</li> <li>• Fund more youth services sessions</li> <li>• Meet demand for overnight emergency accommodation.</li> </ul>

Disability	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Feedback on the impact assessments completed for the Budget Consultation identified two as being potentially relevant to disability protected characteristic.</p> <p>EDC05 – Integrated Transport Unit charging</p> <p>The Impact Assessments attached to the report identified that the following proposal was relevant to the age and disability protected characteristics:</p> <p>‘Remove or recharge non-statutory and discretionary Home to School transport services where the council provides discretionary as opposed to statutory home to school transport services. These will be recharged to the relevant schools and/or health services.’</p> <p>The individual IA found that the impact was mitigated because services will continue to be delivered in line with existing policy and taking into account identified needs of those transported and that its impact on schools and vulnerable children had been considered within the design of the proposal which correctly places responsibility for the costs with the school or health provider who have the responsibility to fund if needed.</p> <p>ECS19 – to review car parking fees to increase fees and charges above the 2% (average 3.5%) within the fees and charges policy for Council Car Parking. The proposed increases are potentially relevant to the disability protected characteristic where individuals with less mobility may need to access car parking. Blue badge provisions would be unaffected by the proposals, therefore there are no concerns that the proposal could disproportionately impact on a group or individuals because they hold one or more protected characteristics and the potential impact is mitigated.</p> <p>As well as proposed budget reductions, the 2025/26 proposed budget includes a number of proposals to improve Adult and children’s safeguarding resources to improve outcomes. This will have a positive impact on the age and disability protected characteristics by increasing investment to:</p> <ul style="list-style-type: none"> <li>• Improve practice and data quality for care packages in Adults Social Care</li> <li>• Fund more youth services sessions</li> <li>• Meet demand for overnight emergency accommodation.</li> </ul>
Race	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



Assessment issue	Impacts identified		Rationale and supporting evidence			
	None	Positive	Negative		Uncertain	
			Justified	Mitigated		
Gender reassignment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Pregnancy / maternity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Race	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Religion or belief	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sex	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Sexual Orientation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Dependants / caring responsibilities**	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Criminal record / offending past**	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Marriage / civil partnership**	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Community cohesion</b>						
Individual communities / neighbourhoods	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None of the proposals are identified as having an impact on community cohesion.

\*\* Indicates this is not included within the single equality duty placed upon public authorities by the Equality Act. See guidance for further details.

Assessment issue	Impacts identified		Rationale and supporting evidence			
	None	Positive	Negative		Uncertain	
			Justified	Mitigated		
Relations between communities / neighbourhoods	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Armed Forces Covenant</b>						
Council delivered healthcare services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None of the proposals are identified as having an impact on this area of the Armed Forces Covenant.
Compulsory Education - admissions; educational attainment and curriculum; child wellbeing; transport; attendance; additional needs support; and Service Pupil Premium funding	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	None of the proposals are identified as having an impact on this area of the Armed Forces Covenant.
Housing, homelessness and disabled facilities grants	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Those leaving the armed forces are prioritised for accommodation with current housing policies. There is one proposal within the budget setting process which is relevant to this protected characteristic which is to increase investment in staffing in homelessness services which will have a positive impact on this group.
<b>Care leavers</b>						
Care experienced people	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The proposed budget reductions do not have any impact on care leavers, the proposed increase does not affect any community in particular. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.</p> <p>The proposal to increase resourcing within the homelessness team will have a positive impact on care experienced people who are more likely to be homeless than their non-care experienced peers..</p>

Further actions		Lead	Deadline
Mitigating actions	Not applicable	Not applicable	Not applicable
Promotion	Promotion of changes where there is an impact on service delivery will be undertaken	Individual IA leads	Various
Monitoring and evaluation	Overall monitoring of the impact will be embedded within performance management arrangements for 2025/26	Chief Executive	May 2025

Assessment completed by:	Ann-Marie Johnstone	Head of Service:	n/a
Date:	22 January 2025	Date:	n/a

## Template for Impact Assessment Level 1: Initial Screening Assessment

<b>Subject of assessment:</b>	EDC05: Remove or recharge Discretionary Home to School transport services.			
<b>Coverage:</b>	Remove or recharge non-statutory and discretionary Home to School transport services where the council provides discretionary as opposed to statutory home to school transport services. These will be recharged to the relevant schools and/ or health services.			
<b>This is a decision relating to:</b>	<input type="checkbox"/> <b>Strategy</b>	<input type="checkbox"/> <b>Policy</b>	<input checked="" type="checkbox"/> <b>Service</b>	<input type="checkbox"/> <b>Function</b>
	<input checked="" type="checkbox"/> <b>Process/procedure</b>	<input type="checkbox"/> <b>Programme</b>	<input type="checkbox"/> <b>Project</b>	<input type="checkbox"/> <b>Review</b>
	<input type="checkbox"/> <b>Organisational change</b>	<input type="checkbox"/> <b>Other (please state)</b>		
<b>It is a:</b>	<b>New approach:</b>	<input type="checkbox"/>	<b>Revision of an existing approach:</b>	<input checked="" type="checkbox"/>
<b>It is driven by:</b>	<b>Legislation:</b>	<input type="checkbox"/>	<b>Local or corporate requirements:</b>	<input checked="" type="checkbox"/>

<b>Description:</b>	<p><b>Key aims, objectives and activities</b></p> <p>To put in place efficiencies for non-statutory services with an aim of recharging the costs of in-house and external suppliers whilst continuing to meet the transport needs of children attending settings who receive discretionary travel assistance.</p> <p><b>Statutory drivers (set out exact reference)</b></p> <p>While there are no statutory drivers in relation to the operational elements of the Integrated Transport Unit which is the subject of this assessment the service does support compliance with statutory duties in relation to home to school transport within the Home to School Travel Assistance Policy 2024/25 (reviewed each academic year) and legislation and other statutory guidance (Education Act 1996), (Travel to School Guidance June 2023). The students whom are currently being transported and funded by Middlesbrough Council are non-eligible for statutory transport.</p> <p><b>Differences from any previous approach</b></p> <p>No changes to policy will be made as part of this proposal. The savings will be achieved by improved efficiencies and recharging the costs for this service to the appropriate education setting or NHS provision.</p> <p><b>Key stakeholders and intended beneficiaries (internal and external as appropriate)</b></p> <p>The key stakeholders are the internal Access to Education Team, SEND and Inclusion and Transport departments within Middlesbrough Council, staff in the service, NHS/Health Professionals and associated support networks and service users and their families.</p> <p><b>Intended outcomes.</b></p> <p>A transport offer that utilises resources more efficiently for statutory transport, taking into account the difficult decisions that Local Authorities have to make to make the best use of the limited resources available to Middlesbrough Council whilst maintaining a legally compliant and safe travel and transport service for children. The recharge made to the education or NHS setting will ensure that these resources are fully utilised for statutory transport and that this non-statutory transport is supported by Integrated Transport Unit but not funded by its budget.</p>
<b>Live date:</b>	1 <sup>st</sup> April 2025 onwards
<b>Lifespan:</b>	Ongoing during Academic Year 2024/25 and 2025/26 – within financial year 2025/26
<b>Date of next review:</b>	The next review will be carried out during January 2025 in preparation for contract reviews for the new financial year 2025/26 starting on 1 <sup>st</sup> April 2025. The service may need to continue up to the end of the current 2024/25 Academic Year. A later review will delay the issue of future tenders if the service is to continue beyond the current tendered route timescales.

Screening questions	Response			Evidence
	No	Yes	Uncertain	
<b>Human Rights</b> Could the decision impact negatively on individual Human Rights as enshrined in UK legislation?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Provisions for assessment in the Education Act 1996, Home to School Travel Policy, School Travel Statutory Guidance 2023 and support plans for adults ensure provisions for protections are in place to ensure the proposal will not impact on the duties performed by the service and will not impact on individual Human Rights as defined in the UK legislation.

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\* Consult the Impact Assessment further guidance appendix for details on the issues covered by each of these broad questions prior to completion.

Screening questions	Response			Evidence
	No	Yes	Uncertain	
<p><b>Equality</b></p> <p>Could the decision result in adverse differential impacts on groups or individuals with characteristics protected in UK equality law? Could the decision impact differently on other commonly disadvantaged groups?*</p>	☒	☐	☐	<p>The Public Sector Equality Duty (PSED) requires that when exercising its functions the Council must have due regard to the need to:-</p> <ul style="list-style-type: none"> <li>• eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;</li> <li>• advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and</li> <li>• foster good relations between persons who share a relevant protected characteristic and persons who do not share it.</li> </ul> <p>In having due regard to the need to advance equality of opportunity, the Council must consider, as part of a single equality duty:</p> <ul style="list-style-type: none"> <li>• removing or minimising disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;</li> <li>• taking steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of people who do not share it; and</li> <li>• encouraging people who share a protected characteristic to participate in public life or in any other activity in which participation is low.</li> </ul> <p>The nature of the service means the proposal is potentially relevant to the age and disability protected characteristics. Reviewing the Integrated Transport Unit Arrangements for Efficiencies in Service will not have an adverse impact on any of the protected characteristics as route planning and services will continue to be delivered in line with existing policy and taking into account identified needs of those transported.</p> <p>Evidence used to inform this assessment includes analysis of the proposal and feedback from the consultation process. 19% (67 people) of respondents disagreed with the proposal, compared to 53% (193 people) in favour. Analysis of the free text did identify some public concerns with the concept and its impact on schools and vulnerable children however these had been considered within the design of the proposal which correctly places responsibility for the costs with the school.</p>

Screening questions	Response			Evidence
	No	Yes	Uncertain	
<b>Community Cohesion</b> Could the decision impact negatively on relationships between different groups, communities of interest or neighbourhoods within the town?*	☒	☐	☐	There is no evidence to indicate that service users and / or the wider community have any concerns about the impact of the proposal on community cohesion.  Evidence used to inform this assessment includes analysis of the proposal and feedback from the consultation process.
<b>Armed Forces</b> Could the decision impact negatively on those who are currently members of the armed forces of former members in the areas of Council delivered healthcare, compulsory education and housing policies?*	☒	☐	☐	Children and Adults who are SEND aged 5-25, adults over the age of 25 not attending an education setting, vulnerable children and adults and others who are temporarily based in the area will have the same protections as those who are eligible for travel support to schools, education setting or adult social care setting. Some applicants are entitled to priority interview or guaranteed interviews, <b>where they meet the essential criteria</b> , including Ex Armed Forces personnel, who have left the Armed Forces within the last 3 years, or are within 12 weeks of leaving (discharge papers must be provided).
<b>Care Leavers</b> Could the decision impact negatively on those who are care experienced?*	☒	☐	☐	Passengers within the service may be care leavers and therefore will continue to have the same protections as other eligible students or adults who are eligible for travel support to schools, education setting or adult social care setting. Some applicants are entitled to priority interview or guaranteed interviews, <b>where they meet the essential criteria</b> , including care leavers up to age 25 who have supplied the contact details of their Personal Advisor or Social Worker are guaranteed an interview providing they have evidenced they can meet the essential criteria (In order to access leaving care support, the applicant must have been in care for at least 13 weeks since they were 14 including some point at their 16 <sup>th</sup> or 17 <sup>th</sup> birthday).
<b>Next steps:</b> ➡ If the answer to all of the above screening questions is No then the process is completed. ➡ If the answer of any of the questions is Yes or Uncertain, then a Level 2 Full Impact Assessment must be completed.				

<b>Assessment completed by:</b>	Ged Faint	<b>Head of Service:</b>	Craig Cowley
<b>Date:</b>	09/1/2025	<b>Date:</b>	09/1/2025



## Template for Impact Assessment Level 1: Initial screening assessment

<b>Subject of assessment:</b>	ECS14 – Fees and charges increases			
<b>Coverage:</b>	Service Specific			
<b>This is a decision relating to:</b>	<input type="checkbox"/> <b>Strategy</b>	<input type="checkbox"/> <b>Policy</b>	<input checked="" type="checkbox"/> <b>Service</b>	<input type="checkbox"/> <b>Function</b>
	<input type="checkbox"/> <b>Process/procedure</b>	<input type="checkbox"/> <b>Programme</b>	<input type="checkbox"/> <b>Project</b>	<input type="checkbox"/> <b>Review</b>
	<input type="checkbox"/> <b>Organisational change</b>	<input type="checkbox"/> <b>Other (please state)</b>		
<b>It is a:</b>	<b>New approach:</b>	<input type="checkbox"/>	<b>Revision of an existing approach:</b>	<input checked="" type="checkbox"/>
<b>It is driven by:</b>	<b>Legislation:</b>	<input type="checkbox"/>	<b>Local or corporate requirements:</b>	<input type="checkbox"/>
<b>Description:</b>	<ul style="list-style-type: none"> <li>• Key aims, objectives and activities – to amend charges as reflected in the fees and charges schedule, changes vary across the services provided and average to a 1% increase. The main increases are attributed to Bereavement Services and Highways Management Services.</li> <li>• Statutory drivers - There are no direct impacts, the Council will continue to deliver its statutory functions that may be relevant to the fees and charges levied. The Council's constitution sets out that fees and charges will be reviewed as part of the annual budget setting process.</li> <li>• Differences from any previous approach – no difference in approach, just an increase in charges</li> <li>• Key stakeholders and intended beneficiaries – members of the public who will use these services which the Council can charge for</li> <li>• Intended outcomes – to raise revenue income to mitigate the need for financial saving and reflect increase in costs of service delivery.</li> </ul>			
<b>Live date:</b>	1 <sup>st</sup> April 2025			
<b>Lifespan:</b>	April 1 <sup>st</sup> 2025 onwards			
<b>Date of next review:</b>	Not applicable			

Screening questions	Response			Evidence
	No	Yes	Uncertain	
<b>Human Rights</b> Could the decision impact negatively on individual Human Rights as enshrined in UK legislation?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The fees and charges proposed increases do not have any impact on the rights of an individual, therefore proposed savings do not adversely affect this. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.
<b>Equality</b> Could the decision result in adverse differential impacts on groups or individuals with characteristics protected in UK equality law? Could the decision impact differently on other commonly disadvantaged groups?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The Equality Act 2010 requires that the impact of recommendations is considered as part of the decision-making process. The Act requires that the Council must have due regard to the need to:</p> <ul style="list-style-type: none"> <li>•Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.</li> <li>•Advance equality of opportunity between people who share a protected characteristic and those who do not.</li> <li>•Foster good relations between people who share a protected characteristic and those who do not.</li> </ul> <p>Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular the need to:</p> <ul style="list-style-type: none"> <li>•remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic</li> <li>•take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;</li> <li>•encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.</li> </ul> <p>The proposed increases do not have any impact on particular groups or individuals, so the proposed increase will not affect any groups or individuals in particular and there are no concerns that the proposal could disproportionately impact on a group or individuals because they hold one or more protected characteristics.</p> <p>Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process. 31% (110 people) of responders disagreed with the proposal, compared to 23% (83 people) in favour. Most respondents (43% - 156 people) had no opinion on the proposal. No concerns were expressed within the consultation that the proposal could disproportionately adversely affect one or more groups with a protected characteristic.</p>
<b>Community cohesion</b> Could the decision impact negatively on relationships between different groups, communities of interest or neighbourhoods within the town?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The proposed increases do not have any impact on particular communities, so the proposed increase does not affect any community in particular. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.

\* Consult the Impact Assessment further guidance for details on the issues covered by each of these broad questions prior to completion.

Screening questions	Response			Evidence
	No	Yes	Uncertain	
<b>Armed Forces</b> Could the decision impact negatively on those who are currently members of the armed forces of former members in the areas of Council delivered healthcare, compulsory education and housing policies?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The proposed increases do not have any impact on members of the armed forces, or former members in the areas of Council delivered healthcare, compulsory education and housing policies so the proposed increase does not affect any community in particular. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.
<b>Care leavers</b> Could the decision impact negatively on those who are care experienced?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The proposed increases do not have any impact on care leavers, the proposed increase does not affect any community in particular. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.
<b>Next steps:</b> ➡ If the answer to all of the above screening questions is No then the process is completed. ➡ If the answer of any of the questions is Yes or Uncertain, then a Level 2 Full Impact Assessment must be completed.				

<b>Assessment completed by:</b>	Geoff Field	<b>Head of Service:</b>	Geoff Field
<b>Date:</b>	09/1/2025	<b>Date:</b>	09/1/2025

## Template for Impact Assessment Level 1: Initial screening assessment

<b>Subject of assessment:</b>	ECS19 – Council Car Parking			
<b>Coverage:</b>	Service Specific			
<b>This is a decision relating to:</b>	<input type="checkbox"/> <b>Strategy</b>	<input type="checkbox"/> <b>Policy</b>	<input checked="" type="checkbox"/> <b>Service</b>	<input type="checkbox"/> <b>Function</b>
	<input type="checkbox"/> <b>Process/procedure</b>	<input type="checkbox"/> <b>Programme</b>	<input type="checkbox"/> <b>Project</b>	<input type="checkbox"/> <b>Review</b>
	<input type="checkbox"/> <b>Organisational change</b>	<input type="checkbox"/> <b>Other (please state)</b>		
<b>It is a:</b>	<b>New approach:</b>	<input type="checkbox"/>	<b>Revision of an existing approach:</b>	<input checked="" type="checkbox"/>
<b>It is driven by:</b>	<b>Legislation:</b>	<input type="checkbox"/>	<b>Local or corporate requirements:</b>	<input type="checkbox"/>
<b>Description:</b>	<ul style="list-style-type: none"> <li>• Key aims, objectives and activities – to increase fees and charges above the 2% (average 3.5%) within the fees and charges policy for Council Car Parking.</li> <li>• Statutory drivers - There are no direct impacts, the Council will continue to deliver its statutory functions that may be relevant to the fees and charges levied. The Council's constitution sets out that fees and charges will be reviewed as part of the annual budget setting process.</li> <li>• Differences from any previous approach – no difference in approach, just an increase in charges</li> <li>• Key stakeholders and intended beneficiaries – members of the public who will use these services which the Council can charge for</li> <li>• Intended outcomes – to raise revenue income to mitigate the need for financial saving and reflect increase in costs of service delivery.</li> </ul>			
<b>Live date:</b>	1 <sup>st</sup> April 2025			
<b>Lifespan:</b>	April 1 <sup>st</sup> 2025 onwards			
<b>Date of next review:</b>	Not applicable			

Screening questions	Response			Evidence
	No	Yes	Uncertain	
<b>Human Rights</b> Could the decision impact negatively on individual Human Rights as enshrined in UK legislation?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The fees and charges proposed increases do not have any impact on the rights of an individual, therefore proposed savings do not adversely affect this. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.
<b>Equality</b> Could the decision result in adverse differential impacts on groups or individuals with characteristics protected in UK equality law? Could the decision impact differently on other commonly disadvantaged groups?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The Equality Act 2010 requires that the impact of recommendations is considered as part of the decision-making process. The Act requires that the Council must have due regard to the need to:</p> <ul style="list-style-type: none"> <li>•Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.</li> <li>•Advance equality of opportunity between people who share a protected characteristic and those who do not.</li> <li>•Foster good relations between people who share a protected characteristic and those who do not.</li> </ul> <p>Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular the need to:</p> <ul style="list-style-type: none"> <li>•remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic</li> <li>•take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;</li> <li>•encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.</li> </ul> <p>The proposed increases are potentially relevant to the disability protected characteristic where individuals with less mobility may need to access car parking. Blue badge provisions would be unaffected by the proposals, therefore there are no concerns that the proposal could disproportionately impact on a group or individuals because they hold one or more protected characteristics.</p> <p>Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process. There were no concerns expressed within the budget consultation that the process could impact adversely on one or more protected characteristics. 52% (188 people) of responders opposed the proposal, compared to 43% (155 people) in favour.</p>
<b>Community cohesion</b> Could the decision impact negatively on relationships between different groups, communities of interest or neighbourhoods within the town?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The proposed increases do not have any impact on particular communities, so the proposed increase does not affect any community in particular. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.

\* Consult the Impact Assessment further guidance for details on the issues covered by each of these broad questions prior to completion.

Screening questions	Response			Evidence
	No	Yes	Uncertain	
<b>Armed Forces</b> Could the decision impact negatively on those who are currently members of the armed forces of former members in the areas of Council delivered healthcare, compulsory education and housing policies?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The proposed increases do not have any impact on members of the armed forces, or former members in the areas of Council delivered healthcare, compulsory education and housing policies so the proposed increase does not affect any community in particular. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.
<b>Care leavers</b> Could the decision impact negatively on those who are care experienced?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The proposed increases do not have any impact on care leavers, the proposed increase does not affect any community in particular. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.
<b>Next steps:</b> ➡ If the answer to all of the above screening questions is No then the process is completed. ➡ If the answer of any of the questions is Yes or Uncertain, then a Level 2 Full Impact Assessment must be completed.				

<b>Assessment completed by:</b>	Geoff Field	<b>Head of Service:</b>	Geoff Field
<b>Date:</b>	09/1/2025	<b>Date:</b>	09/1/2025

## Template for Impact Assessment Level 1: Initial screening assessment

<b>Subject of assessment:</b>	Fleet Services Increase charges			
<b>Coverage:</b>	Service Specific			
<b>This is a decision relating to:</b>	<input type="checkbox"/> <b>Strategy</b>	<input type="checkbox"/> <b>Policy</b>	<input checked="" type="checkbox"/> <b>Service</b>	<input type="checkbox"/> <b>Function</b>
	<input type="checkbox"/> <b>Process/procedure</b>	<input type="checkbox"/> <b>Programme</b>	<input type="checkbox"/> <b>Project</b>	<input type="checkbox"/> <b>Review</b>
	<input type="checkbox"/> <b>Organisational change</b>	<input type="checkbox"/> <b>Other (please state)</b>		
<b>It is a:</b>	<b>New approach:</b>	<input type="checkbox"/>	<b>Revision of an existing approach:</b>	<input checked="" type="checkbox"/>
<b>It is driven by:</b>	<b>Legislation:</b>	<input type="checkbox"/>	<b>Local or corporate requirements:</b>	<input type="checkbox"/>
<b>Description:</b>	<ul style="list-style-type: none"> <li>• Key aims, objectives and activities – to increase to cost of taxi testing fees from £38 to £40, to increase the subsidised cost of MOT's when the taxi test is carried out from £10 to £15, to increase the cost of Class IV MOT's from £37 to £50, to increase the costs of Class V MOT's from £48 to £55, to increase the cost of Class VII MOT's from £37 to £55</li> <li>• Statutory drivers - there are no statutory drivers</li> <li>• Differences from any previous approach – no difference in approach, just an increase in cost</li> <li>• Key stakeholders and intended beneficiaries - taxi trade and members of the public who bring their cars to Fleet Services for MOT's</li> <li>• Intended outcomes – to raise revenue income to mitigate the need for financial savings.</li> </ul>			
<b>Live date:</b>	1 <sup>st</sup> April 2025			
<b>Lifespan:</b>	April 1 <sup>st</sup> 2025 onwards			
<b>Date of next review:</b>	Not applicable			

Screening questions	Response			Evidence
	No	Yes	Uncertain	
<b>Human Rights</b> Could the decision impact negatively on individual Human Rights as enshrined in UK legislation?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The pricing of MOT's and Taxi testing does not have any impact on the rights of an individual, therefore proposed savings do not adversely affect this. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.
<b>Equality</b> Could the decision result in adverse differential impacts on groups or individuals with characteristics protected in UK equality law? Could the decision impact differently on other commonly disadvantaged groups?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The Equality Act 2010 requires that the impact of recommendations is considered as part of the decision-making process. The Act requires that the Council must have due regard to the need to:</p> <ul style="list-style-type: none"> <li>•Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.</li> <li>•Advance equality of opportunity between people who share a protected characteristic and those who do not.</li> <li>•Foster good relations between people who share a protected characteristic and those who do not.</li> </ul> <p>Having due regard to the need to advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it involves having due regard, in particular the need to:</p> <ul style="list-style-type: none"> <li>•remove or minimise disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic</li> <li>•take steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of persons who do not share it;</li> <li>•encourage persons who share a relevant protected characteristic to participate in public life or in any other activity in which participation by such persons is disproportionately low.</li> </ul> <p>The price of MOT and taxi testing does not have any impact on particular groups or individuals, so the proposed increase will not affect any groups or individuals in particular and there are no concerns that the proposal could disproportionately impact on a group or individuals because they hold one or more protected characteristics.</p> <p>Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process. 30% (106 people) of respondents supported the proposal, compared to 18% (63 people) who were opposed. No concerns were identified in the consultation that the proposal could disproportionately adversely impact on one or more of the protected characteristics.</p>

\* Consult the Impact Assessment further guidance for details on the issues covered by each of these broad questions prior to completion.



Screening questions	Response			Evidence
	No	Yes	Uncertain	
<b>Community cohesion</b> Could the decision impact negatively on relationships between different groups, communities of interest or neighbourhoods within the town?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The price of MOT testing and taxi testing does not have any impact on particular communities, so the proposed increase does not affect any community in particular. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.
<b>Armed Forces</b> Could the decision impact negatively on those who are currently members of the armed forces or former members in the areas of Council delivered healthcare, compulsory education and housing policies?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The price of MOT testing and taxi testing does not have any impact on members of the armed forces, or former members in the areas of Council delivered healthcare, compulsory education and housing policies so the proposed increase does not affect any community in particular. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.
<b>Care leavers</b> Could the decision impact negatively on those who are care experienced?*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The price of MOT testing and taxi testing does not have any impact on care leavers, the proposed increase does not affect any community in particular. Evidence used to inform this assessment includes analysis of current service provision and feedback from the consultation process.
<b>Next steps:</b> ➡ If the answer to all of the above screening questions is No then the process is completed. ➡ If the answer of any of the questions is Yes or Uncertain, then a Level 2 Full Impact Assessment must be completed.				

<b>Assessment completed by:</b>	Chris Bates	<b>Head of Service:</b>	Chris Bates
<b>Date:</b>	09/1/2025	<b>Date:</b>	09/1/2025

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## APPENDIX 4

### Reserves Policy 2025/26

#### Middlesbrough Council

#### 1. Background

- 1.1. The Council is required to maintain adequate financial reserves. Reserves are an integral part of sound financial management, they help the Council plan for future spending commitments, balance the budget and manage unpredictable financial pressures.
- 1.2. Sections 32 and 43 of the Local Government Finance Act 1992 require councils to consider the level of reserves when setting a budget requirement. Section 25 of the Local Government Act 2003 requires the Chief Financial Officer (Section 151 Officer) to report formally to Council on the adequacy of proposed reserves when setting the budget and council tax requirement. This is completed at the Council through the Robustness Statement. The accounting treatment for reserves is set out in the Code of Practice on Local Authority Accounting.
- 1.3. CIPFA issued [Local Authority Accounting Panel \(LAAP\) Bulletin No.99](#), Guidance Note on Local Authority Reserves and Balances in July 2014. CIPFA also issued [CIPFA Bulletin 13 Local Authority Reserves and Balances](#) on 28 March 2023. Compliance with the guidance is recommended in CIPFA's Statement on the Role of the Chief Financial Officer in Local Government. In response to the above requirements, this policy sets-out the Council's approach for compliance with the statutory regime and relevant non-statutory guidance for the Council's cash backed usable reserves.
- 1.4. All reserves will be categorised as per the Local Authority Accounting Practice guidance, into groupings.
- 1.5. Within the Statement of Accounts for General Fund Earmarked Reserves, all individual reserves are reported and will include a description of the purpose of the reserve.
- 1.6. Earmarked reserves will be reviewed regularly as part of the in-year monitoring and accounts closure process and annually as part of the budget setting process, to determine whether the original purpose for the creation of the reserve still exists and whether or not the reserves should be released in full or in part or require topping up based on known/expected calls upon them.
- 1.7. Particular attention will be paid in the annual review to those reserves whose balances have not moved over a two-year period, other than the General Fund, for further detail see Section 3 Management and governance.



<p><b>Earmarked Reserves (unusable)</b></p> <p><b>Annex B</b></p>	<p>These arise out of a requirement under legislation and proper accounting practice either to accumulate revaluation gains or as adjustment accounts to comply with statutory accounting requirements. These reserves are not backed by cash resources and therefore cannot be used for any other purpose. Hence, these reserves are not available to fund expenditure. These will generally be excluded from any discussion where the Council talks about its level of reserves.</p>
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1.9 The Chartered Institute of Public Finance and Accountancy (CIPFA) recommend that the following factors should be taken into account when considering the level of reserves and balances:

- Assumptions regarding inflation and interest rates.
- Estimates of the level and timing of capital receipts.
- The capacity to manage in-year demand led pressures.
- Ability to activate contingency plans if planned savings cannot be delivered.
- Risks inherent in any new partnerships.
- Financial standing of the authority (level of borrowing, debt outstanding etc.)
- The authority's record of budget management and ability to manage in year budget pressures.
- Virement and year-end procedures in relation to under and overspends.
- The general financial climate.
- The adequacy of insurance arrangements.

1.10 Each local authority must make its own decisions about the level of reserves it hold, taking into account all of the issues referred to above and the advice of the s151 Officer. The level of the general fund reserve will be a matter of judgement which will take account of the specific risks identified through the various corporate processes. It will also take account of the extent to which specific risks are supported through earmarked reserves.

1.11 The Council earns interest on the investment of its cash balances through its Treasury Management operations. This revenue income supports its general spending plans. By holding cash balances, the Council effectively internalises some of its borrowing, therefore avoiding interest charges on external debt. Balances held in reserves therefore help to reduce on-going revenue expenditure.

## **2 Strategic Context**

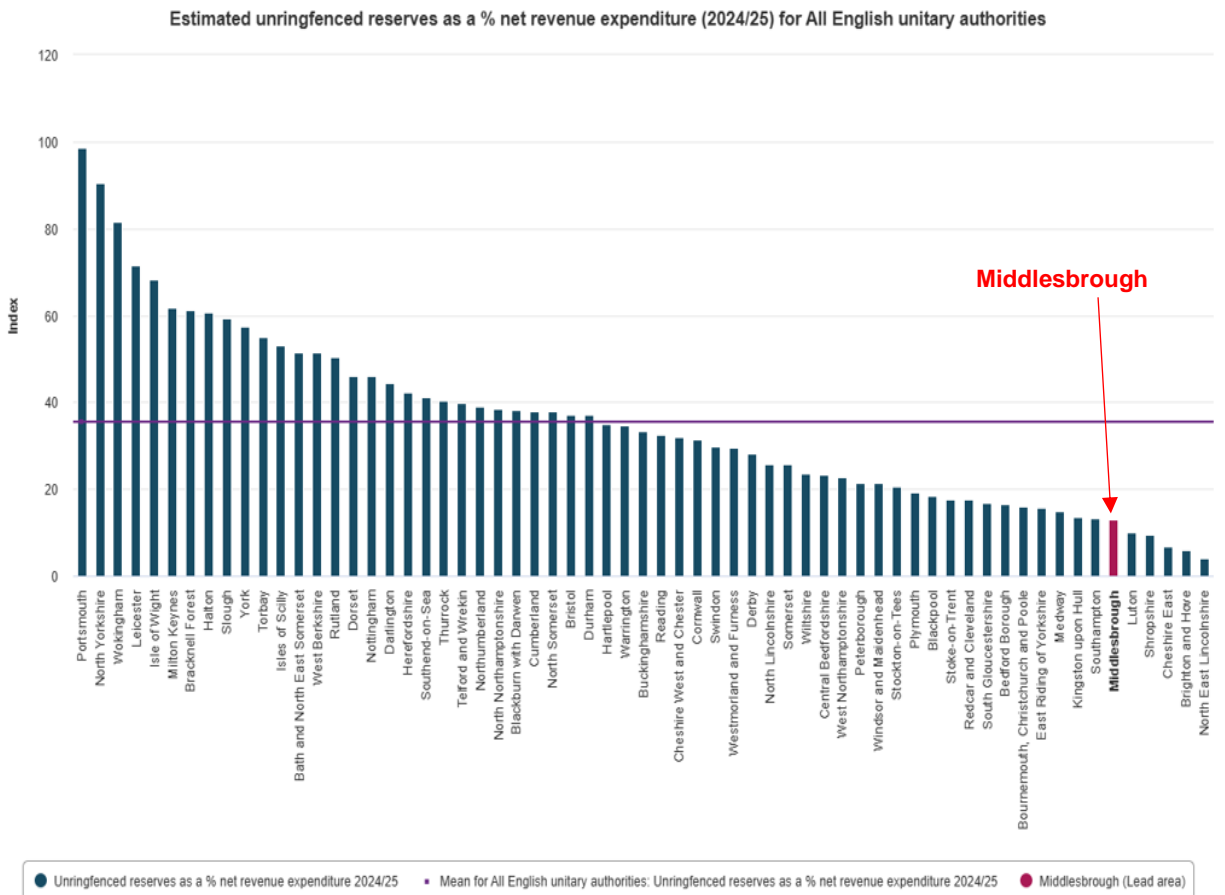
2.1 In previous years the Council has faced a shortfall in funding compared to the level of service demand that it is experiencing. It must review its priorities and redesign and transform its services over the period of the MTFP to deliver cost reduction and efficiency to achieve a budget that is financially sustainable over the medium term.

2.2 As outlined in the 2024/25 Reserves Policy, to achieve financial sustainability, the Council is currently engaging in a range of innovative and transformational

activities in order to reduce future costs of service delivery. Due to the previously critically low level of reserves, which were and therefore insufficient to support innovation and transformation expenditure, the primary source of funding for transformation is utilising of capital receipts from asset sales through the Flexible Use of Capital Receipts (FUoCR) Strategy, in accordance with Government regulations.

- 2.3 The Council has reviewed its asset base and a plan for asset rationalisation was approved by the Executive in November 2023. This has resulted in an Asset Disposal Programme that is managed as part of the Council’s Transformation Programme. Compliance with the Asset Disposal Programme remains fundamental to the Council’s ability to successfully deliver transformation.
- 2.4 Over the term of the MTFP, the Council will need to maintain a minimum General Fund Balance and to build up and maintain an increased level of earmarked revenue reserves in order to improve its financial resilience. Based on 2024/25 budget figures, the Council has one of the lowest levels of unringfenced reserves as a proportion of net revenue expenditure compared to all unitary councils as illustrated below in Figure 1.

**Figure 1**



Source:  
Local Government Association

Note: this graph is drawn from Government returns data based on budgets at the start of the 2024/25 financial year, so should be used as a guide as balances will have changed since then

### **3 Management and governance**

- 3.1 New reserves may be created at any time and approved by the Executive upon recommendation by the s151 Officer.
- 3.2 For each earmarked reserve held there will be a clear protocol setting out:
- The reason for/purpose of the reserve
  - How and when the reserve can be used
  - A profile over which the reserve is intended to be utilised showing expected contributions to and from the reserve, with an end date for its existence.
- 3.3 The s151 Officer shall approve the draw down of reserves provided that they are for the purpose for which the reserve has been established. The use of reserves will be reported as part of the quarterly budget monitoring report to the Executive.
- 3.4 The s151 Officer will review the use of reserves in accordance with the planned profile periodically through the financial year and as a minimum at accounts closure and budget setting. Protocols will be updated as appropriate.
- 3.5 All protocols will have an end date and at that point any balance will be transferred to the general reserve. If there is a genuine reason for slippage, then the protocol will be updated and submitted through Financial Planning for agreement by the S151 Officer or referred to the Executive as appropriate.
- 3.6 Ongoing recurring costs should not be funded from reserves unless part of a smoothing reserve and approved as part of the MTFP. The short-term use of reserves may be agreed to provide time to plan for a sustainable funding solution in the following financial year. Decisions on the use of reserves may be delayed until financial year-end and will be dependent on the overall financial position of the Council rather than the position of just one service area or directorate.
- 3.7 Council will consider a report from the s151 Officer on the adequacy of the level of reserves as part of the annual budget-setting process.
- 3.8 The Council will review and update the Reserves Strategy and Policy annually as part of the budget setting process.

### **4. Level of General Fund Balance Usable Reserves**

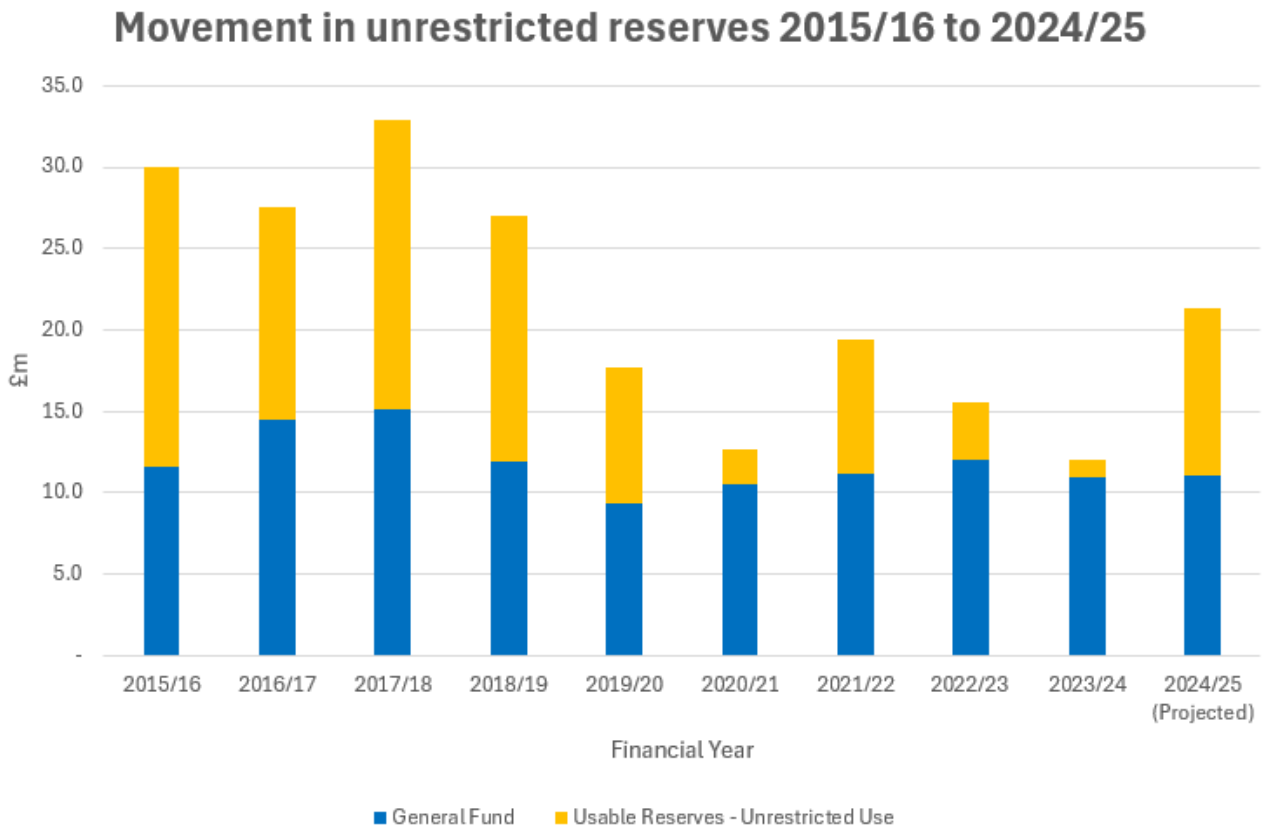
- 4.1 In previous years, the level of the total value of the Council's unrestricted usable reserves and General Fund Balance had declined as shown in Figure 2 below which weakened the Council's financial resilience in terms of its ability to be able to respond to unforeseen cost pressures and left the Council in a financially fragile position. During 2024/25 rebuilding of these reserves has commenced, as detailed in the 2024/25 Reserves Policy, the 2023/24 Collection Fund surplus, realised in

2024/25, has been applied to rebuild the General Fund Balance and earmarked unrestricted usable reserves to rebuild financial resilience as follows:

	Contribution to Reserve £m
General Fund Reserve	0.114
Financial Resilience Reserve	6.211
Legacy Accounts Reserve	1.000
Change Fund Reserve	1.000
	<b>8.325</b>

4.2 Based upon the forecast outturn at Quarter Three the forecast balance at 31 March 2025 on the unrestricted usable reserves is £10.269m and on the General Fund Balance is £11.100m.

**Figure 2**



**General Fund Balance**

4.3 The level of the General Fund Balance is a matter for the Council to determine having had regard to the advice of the s151 Officer. The General Fund balance, coupled with a sufficient level of usable reserves, is necessary to manage risk and uncertainty around future government funding and increasing demand and cost of adults and children’s services and SEND transport for which the Council has statutory duties that must be met.



- 4.4 For 2024/25, the General Fund has been replenished to £11.1m, a level equivalent to 7.75% of the net revenue budget. The s151 Officer recommends that the General Fund Balance should be maintained at a minimum level of at least 7% of the Net Revenue Budget over the period of the MTFP to 2028/29 as follows:

	Forecast Contribution to General Fund	Forecast General Fund Balance	Forecast Net Revenue Budget	General Fund Reserve as % of Net Revenue Budget
	£m	£m	£m	%
2024/25*	0	11.100	143.190	7.75
2025/26	0	11.100	143.362	7.74
2026/27	0	11.100	144.356	7.69
2027/28	0	11.100	148.595	7.47
2028/29	0	11.100	152.947	7.26

*\*2024/25 - £10.986m General Fund balance as at 31/03/24 was increased at the start of the year with £0.114m from the 23/24 Collection Fund Surplus*

### Financial Resilience Reserve (FRR)

- 4.5 In the 2024/25 Reserves Policy, the previous s151 Officer recommended that in addition to the General Fund Reserve, a Financial Resilience Reserve (FRR) be rebuilt and maintained in order to strengthen the Council's financial resilience. This Reserve has now been established, and its purpose is to manage the volatility of actual income and expenditure against budget estimates without calling upon the General Fund Balance given the uncertain environment within which the Council is managing its operations and increasing demand for statutory services. The s151 Officer recommendation is that the FRR should be at £10m by the end of 2025/26 and then at £20m by the end of the current MTFP period. The budgeted contributions to the FRR over the period are summarised below. At this stage, no drawdowns have been assumed, and it should be noted that any drawdown from the FRR in year will be required to be budgeted to replenish the FRR in the following financial year. Any underspend at final outturn will be transferred into the Council's FRR unless otherwise recommended by the s151 Officer.

	Forecast Contribution to Reserve	Forecast Contribution from Reserve	Forecast Financial Resilience Reserve Balance at end of year	Forecast Cumulative balance
	£m	£m	£m	£m
2024/25*	6.717	-	6.717	6.717
2025/26	3.836	-	3.836	10.553
2026/27	1.575	-	1.575	12.128
2027/28	5.460	-	5.460	17.588
2028/29	3.075	-	3.075	20.663

*\*2024/25 - £6.211m contribution to establish the Reserve was made at the start of the year from the 23/24 Collection Fund Surplus*

## Change Fund Reserve

- 4.6 The Council holds a Change Fund Reserve for the purpose of meeting the revenue costs of transformation and efficiency programmes, including meeting redundancy costs. However, the Council is now engaged in its Transformation Programme, expected to run until 2028/29, the main source of funding for which is Flexible Use of Capital Receipts (FUoCR) rather than Change Fund. As such, there are not expected to be any calls on the Change Fund in the next two financial years whilst the wider transformation progresses. The use of Change Fund is projected from 2028/29 when the Flexible Capital Receipts funded transformation programme is due to complete.

	Forecast Contribution to Reserve £m	Forecast Contribution from Reserve £m	Forecast Change Fund Balance at end of year £m	Forecast Cumulative balance £m
2024/25*	2.766	(0.300)	2.466	2.466
2025/26	0.730	-	0.730	3.196
2026/27	0.730	-	0.730	3.926
2027/28	0.730	-	0.730	4.656
2028/29	0.730	(0.730)	-	4.656

*\*2024/25 - Includes £1.036m b/fwd from 2023/24, and £1.000m additional contribution the start of the year from the 23/24 Collection Fund Surplus*

## Savings Delivery Risk

- 4.7 The scale of the Council's Transformation Programme and associated budget savings presents a significant challenge for which appropriate Transformation and Programme Management Governance arrangements are in place. Utilising the 2024/25 Collection Fund Surplus estimated to be £3.135m, which will be realised in 2025/26, prudent financial provision has been made in earmarked revenue reserves to offset the risk of slippage / non delivery and provide resilience in the event that savings are not realised at the required pace during 2025/26 and future years.

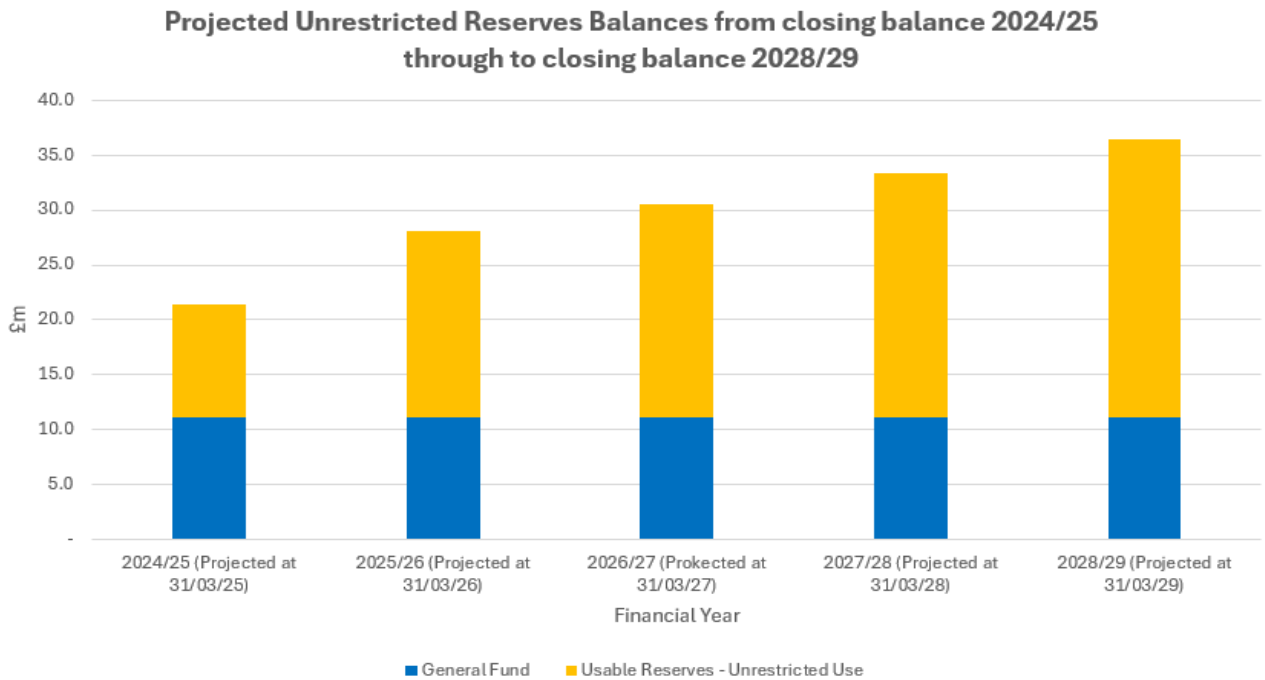
## Legacy Accounts and Audit Reserve

- 4.8 The Council currently has prior years Statements of Account that remain subject to the completion of the external audit, with the delay due largely to the impact of the national reset of the local authority audit market by MHCLG. As detailed in the 2024/25 Reserves Policy, an earmarked reserve of £1m was set aside to provide for unforeseen adverse audit adjustments that may arise in future periods from the conclusion of the clearing of the backlog legacy audits. Whilst these audits have now concluded, the Council's External Auditor has changed from Ernst Young to Mazars, and so for prudence this reserve has been left in place to cover any further adjustments which may be required arising from this change, in relation to changes in audit opinion relating to legacy accounts. Should this reserve not be required, it will be transferred to the Financial Resilience Reserve by the end of 2025/26.

## 5. Summary of forecast revenue reserves

- 5.1 As a result of these actions and a review of the Reserves Policy, the minimum level of the General Fund Balance will be set at a minimum of 7% of the Net Revenue Budget over the MTFP period to 2028/29. In the 2025/26 proposed budget the level is 7.75% equivalent to £11.1m.
- 5.2 The Council must continue to rebuild its unrestricted revenue reserves over the period of the MTFP. The balance on earmarked unrestricted usable reserves at 1 April 2025 is expected to be £10.269m.
- 5.3 Within unrestricted usable revenue reserves, the Financial Resilience Reserve (FRR) is required to be built up and maintained to at least £10m in 2025/26 and £20m by the end of 2028/29 to strengthen the Council’s financial resilience and to provide sufficient resilience to support the management of risks in the delivery of the revenue budget over the current MTFP period. Figure 3 shows the projected unrestricted usable reserves through to the end of 2028/29 after planned contributions, however this will depend on any unplanned drawdowns of reserves.

**Figure 3**



- 5.4 The detail of the forecast balances on reserves as at 31/03/25 is included in the Revenue and Capital Budget Forecast Year-End Outturn position at Quarter Three 2024/25 to this Executive.

## Annex A – General Fund & Earmarked Reserves

The Council holds a number of usable reserves, and these are listed below.

Reserve	Description
General Fund Balance	<p>This Fund is the statutory fund into which all the receipts of the Council are required to be paid in, and out of which all liabilities of the Council are to be met, except to the extent that statutory rules might provide otherwise.</p> <p>This is a minimum balance which is a contingency to cushion the impact of unexpected events or emergencies. This is the fund of last resort. This reserve ultimately smooths the financial impact of unexpected events, major incidents and unforeseen risks.</p>
Capital Receipts Reserve	This reserve holds amounts received from the disposal of assets and is only available to fund future capital projects.
Capital Grants and Contributions Unapplied Reserves	These reserves hold amounts from Capital Grants and Contributions that have been recognised in the Comprehensive Income and Expenditure Statement in line with the accounting code of practice, but for which the associated capital expenditure has not yet been incurred.

### Earmarked Reserves

Reserve	Description
Schools Balances	This reserve holds the accumulated balances and the differences between the school budget and actual expenditure incurred in the year for all the Middlesbrough Council schools. In accordance with Government regulations and the Council's scheme of delegation for schools, these funds are carried forward and specifically earmarked for use by schools in future years.
Public Health	The Public Health Grant received by the Council is ring-fenced for use on public health services only. This reserve is for any amounts of grant not spent in year due to timing differences in service delivery.
Insurance Fund	The internal Insurance Fund was set up to cover all the Council's insurable risks. Only a limited amount of external insurance cover is provided for catastrophe or special risk incidents. The nature of the risks covered by the insurance reserve include fidelity guarantee, personal accident, employers' liability, fire, motor, marine, engineers, public liability and money losses.

Better Care Fund	<p>The Better Care Fund (BCF) has been established by the Government to provide funds to local areas to support the introduction of a fully integrated health and social care system. It is a requirement of the BCF that the Clinical Commissioning Group (CCG) and the Council establish a pooled fund for this purpose.</p> <p>Section 75 of the National Health Service Act 2006 gives powers to local authorities and CCGs to establish and maintain pooled funds to support the outcomes of the BCF.</p> <p>The Council has entered into a pooled budget arrangement with NHS Tees Valley Clinical Commissioning Group for the provision of health and social care services to meet the needs of the population of Middlesbrough. The services being commissioned or provided by the Council or Tees Valley Clinical Commissioning Group (TVCCG) depend upon the needs of the service recipient. The Council and TVCCG have an ongoing section 75 agreement in place for funding these services and this is reviewed annually. The Council is the host for this pooled budget and each partner's contribution is set out in the Better Care Fund section 75 agreement.</p> <p>This reserve is to hold balances from the pooled budget.</p>
Revenue Grants Unapplied	In situations where there are no grant conditions or that conditions have already been met and expenditure has not yet taken place, any unspent grants/contributions are transferred to the Revenue Grants Unapplied at year-end. These have been recognised as income in prior years in the Comprehensive Income & Expenditure Statement.
Marton Library Section 106	This reserve is held for the purpose set out in the Section 106 agreement.
Housing Rental Sinking Fund	This reserve is for the replacement of major capital expenditure, e.g., replacement windows and boilers, for properties owned by the Council and rented out.
Financial Resilience Reserve	The purpose of the Reserve is to meet unforeseen financial pressures that cannot ultimately be managed within directorate budgets.
Change Fund	The reserve has been set up to pay for the one-off costs associated with implementing change within services including the funding of invest to save projects, early retirements / voluntary redundancies and altering the way services are commissioned.
Car Parking Reserve	This reserve was created from other reserves to cover potential pressures relating to car parking income arising in future years due to the on-going impact of Covid.
Elections Costs	This reserve covers the cost of elections which occur every four years, The reserve is built up with a contribution from the elections budget each year, and then drawn down in the fourth year when local elections take place.
Legacy Accounts Reserve	This reserve has been created to cover potential outstanding legacy audit adjustments required to the accounts once outstanding audits for previous financial years have been completed.

Savings Delivery Risk Reserve	This reserve has been created from the 2024/25 Collection Fund Surplus to offset the risk of slippage / non delivery of budgeted savings.
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## Annex B – Unusable Reserves

Unusable Reserves are those reserves held by the Council that cannot be utilised to provide services. This includes reserves that hold unrealised gains and losses and adjustment accounts which deal with situations where income and expenditure are recognised statutorily against the General Fund balance on a different basis from that expected by accounting standards as adopted by the Code. Unusable reserves cannot be used to fund expenditure e.g., cannot fund revenue spend on services or capital spend on projects.

Reserve	Description
Revaluation Reserve	The Revaluation Reserve contains the accumulated net gains made by the Council arising from increases in the value of its Property, Plant and Equipment. The reserve only contains revaluation gains accumulated since 1 April 2007, the date when the Revaluation Reserve was constituted. Accumulated gains and losses accumulated before that date are consolidated into the Capital Adjustment Account. Amounts contained within this reserve will only become available to provide services (or limit resources in the case of losses) once the gains/losses are realised as the assets are disposed of.
Capital Adjustment Account	<p>The Capital Adjustment Account absorbs the timing differences arising from the different arrangements for accounting for the consumption of non-current assets and for financing the acquisition, construction or enhancement of those assets under statutory provisions. The Account is debited with the cost of acquisition, construction and enhancement as depreciation, impairment losses and amortisation are charged to the Comprehensive Income and Expenditure Statement (with reconciling postings from the Revaluation Reserve to convert fair value figures to a historical cost basis). The account is credited with amounts set aside by the Council as finance for the costs of acquisition, construction, and enhancement.</p> <p>The Account also contains accumulated gains and losses on Investment Property and gains recognised on donated assets as well as revaluation gains accumulated on Property, Plant and Equipment before 1st April 2007, the date that the Revaluation Reserve was created to hold such gains.</p>
Deferred Capital Receipts	Deferred Capital Receipts are amounts that are to be received in instalments over an agreed period of time. They arise from mortgages on the sale of Council Houses, or repayment terms from other asset sales. These can only be used for financing new capital expenditure when the actual receipt is received. When the deferred cash settlement eventually takes place, amounts are transferred to the Capital Receipts Reserve.

Financial Instrument Adjustment Account	This Account is held in accordance with the Code of Practice to write down over time the premiums paid on early debt repayment in order to spread the burden on Council Tax. This is a technical adjustment and has no impact on the overall financial position of the Council.
Pension Reserve	This reserve is used to reconcile the payments made for the year to various statutory pension schemes and the net change in the Council's recognised liability under IAS19 – Employee Benefits, for the same period.
Collection Fund Adjustment Account	The Collection Fund Adjustment Account holds the differences arising from the recognition of council tax and business rates income, in the Comprehensive Income and Expenditure Statement as it falls due from council tax payers and business rate payers compared with the statutory arrangements for paying across amounts to the General Fund from the Collection Fund.
Accumulating Compensated Absences Adjustment Account	The Accumulated Compensated Absences Adjustment Account reflects the value of compensated absences (employees time off with pay for holidays) earned but not taken in the year.
Dedicated Schools Grant Adjustment Account	From November 2020 The Local Authorities (Capital Finance and Accounting) Regulations (the 2003 Regulations) established new accounting practices in relation to the treatment of local authorities' schools budget deficits such that where a local authority has a deficit on its schools budget relating to its accounts for financial years from 1st April 2020, it must not charge the amount of that deficit to a revenue account. The local authority must record any such deficit in a separate account established solely for the purpose of recording deficits relating to its school's budget. The CIPFA local authority accounting code has determined this as the 'Dedicated Schools Grant Adjustment Account'. The new accounting practice has the effect of separating schools budget deficits from its General Fund revenue budget.

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## Appendix 5

### Fees and Charges Policy

#### 1. Introduction

1.1 The Fees and Charges policy forms part of the development of the Medium Term Financial Plan (MTFP) for Middlesbrough, which aims to both deliver a balanced budget and support the delivery of the key priorities in the Council Plan, which are:

- A Successful and Ambitious Town: Maximising economic growth, employment, and prosperity, in an inclusive and environmentally sustainable way.
- A Healthy Place: Helping our residents to live longer and healthier lives, improving life chances and opportunities to thrive.
- Safe and Resilient Communities: Creating a safer environment where residents can live more independent lives.
- Delivering Best Value: Changing how we operate, to deliver affordable and cost-effective outcomes for residents and businesses.

1.2 The Council's approach to fees and charges represents a key plank of the Council's MTFP. The Fees and Charges Policy provides a framework to enable the Council to provide the optimal balance to income, policy objectives and risk. It is also a significant source of income that supports the delivery of the services. If the Council were to reduce or stop charges for services it would not have the resources to continue providing the services it currently offers.

1.3 This Policy sets out key components of the approach to setting, reviewing, governing and communicating fees and charges for the Council going forward:

- A framework for setting prices, using the key considerations of legislation, policy and competition as the principal drivers (section 2)
- The legislative environment that local authorities operate within (section 3)
- Methodology for understanding the costs associated with service delivery (section 4)
- Approaches and Policy objective to the Application of the Charging Policy (section 5)
- Governance approach to approval of fees and charges, implementation of the policy and a commitment to publish a schedule of fees and charges annually (section 6)

- 1.4 This policy applies to all services that the Council charges a Fee or Charge for, with a core focus on discretionary services to residents and businesses. The principles of the Fees and Charges policy should be applied to services operating in a commercial environment such as rental income (including renting assets to the community and voluntary sector), however for many of these instances it would be inappropriate to include them in the Schedule of Fees and Charges.
- 1.5 The scope excludes Council Tax rates, discounts and premiums, Business Rates and Housing Benefits.
- 1.6 The Fees and Charges policy has a number of interdependencies with other strategies and plans within the Council, including the Council Plan.

## 2. **Establishing a Framework and Principles for Price Setting**

- 2.1 The Council is a complex organisation operating a number of services in a number of different contexts and therefore it is not appropriate to take a 'one-size fits all' approach. Broadly there are four 'quadrants' that Council services operate in which influence an individual services charging strategy, these are defined by the following two axis:
  - The **degree of legislation** impacting on the service area (for example many planning fees are set by central government, whereas the only regulation set around charges for Taxi Licensing relate to limiting charges to full cost recovery)
  - The **degree of competition** in the environment they are operating within (for example the Council is the statutory planning authority and therefore a developer wanting to build new homes in Middlesbrough has no choice but to engage with the Council, whereas there are other car parking options that are available to Middlesbrough citizens).
- 2.2 The primary objective(s) of fees and charges based upon the factors above is shown in diagram 1 below:

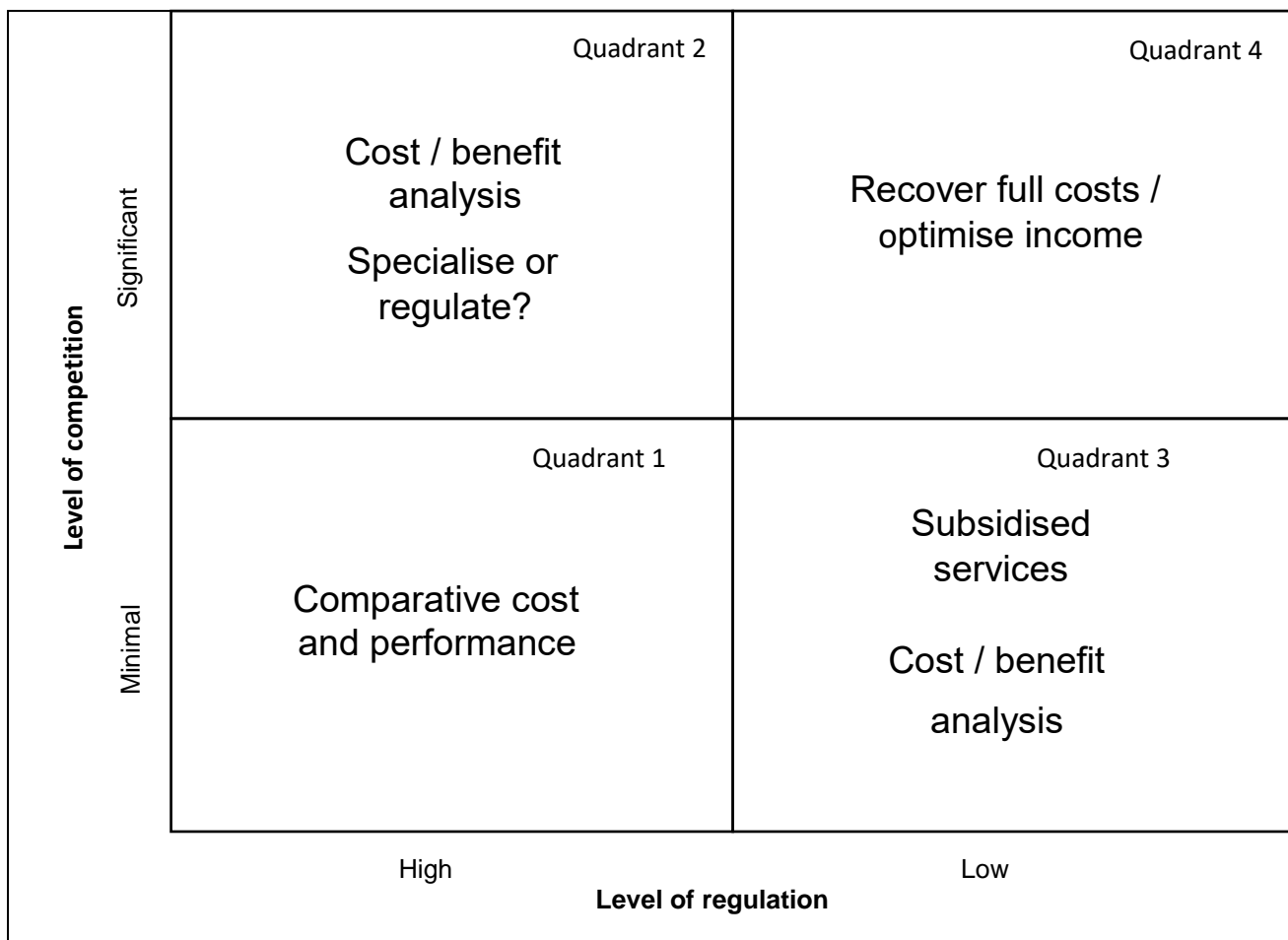


Diagram 1: Primary objectives of fees & charges based upon the key factors of competition and regulation

2.3 In terms of setting prices for any service, the first measure must always be statute that impacts on those services, such as Adult Social Care or Parking Enforcement. This may limit what can be charged for or set fees / prices nationally, or limit prices to cost recovery (which may be limited to direct costs of providing a service or a wider set of costs to include oversight and wider support costs of the Council).

2.4 **Quadrant 1** - Areas with high legislation and low (or no) competition are often services only the Council can provide (such as planning permission, or registration of births, deaths or marriages). In these circumstances, prices are often either set by legislation or limited to cost recovery. The Council should assess their performance in these circumstances by benchmarking cost, price and performance against other similar public bodies providing those services to ensure the services and any associated costs or fees are providing Value for Money.

2.5 **Quadrant 2** - For areas with high competition, but others providing similar services locally (for example Social Care services such as Home Care); the Council may wish to provide services where there are specialised or niche areas not covered by the market or to provide capacity to step in if there was a

market failure (such as a major supplier withdrawing from the market / ceasing to trade). In these circumstances the Council should assess the wider social benefits of its involvement in the market, alongside assessing the risk and impact of any market failures.

- 2.6 **Quadrant 3** - For areas where regulation is low, but there is limited local competition, it is likely that services are being provided at a subsidy by the Council (as it is likely there would be competition if profit could be made). For these services there are likely to be wider social benefits to providing a service. Trying to fully cost recover would reduce the usage and therefore negatively impact on these wider benefits. For example,

In such circumstances, the Council needs to weigh the relative wider public benefits of provision, against its overall budget and policy objectives to determine the appropriate level of subsidy.

It should be noted that there could be circumstances where the Council has unintentionally subsidised a service which has no specific policy objective and offered a price that has led to there being little or no competition. In this instance the Council should seek to understand the total cost of service delivery and set a pricing approach that seeks to recover those costs.

- 2.7 **Quadrant 4** - Broadly speaking, if there is limited regulation of a service, and considerable local competition, then the Council should be seeking to recover its full costs in provision in this area as a minimum. These services generally include business to business type services (such as contract parking), where other organisations would step in if the Council did not provide a service.

### **3. The Legislative Environment that the Council operates in**

- 3.1 As highlighted in section 2 the primary consideration is the legislation relevant to the Council and that specific service. There are a large number of legal powers that impact on the Councils ability to charge for particular services and a number of pieces of legislation that are relevant to the entire Council, an overview of which are provided below. Therefore, the following pieces of legislation should be considered:

- Localism Act 2011: General power of competence available to local authorities to do “anything that individuals generally do”
- Local Government Act 1972, s. 111 : A local authority shall have power to do anything (whether or not involving the expenditure , borrowing or lending of money or the acquisition or disposal of any property or rights ) which is calculated to facilitate, or is conducive or incidental to , the discharge of any of their functions.
- Local Government Act 2003, s.93 : Power to charge for discretionary services . “ A relevant authority may charge a person for providing a

service to him if ( a ) the authority is authorised, but not required, by an enactment to provide the service to him , and ( b ) he has agreed to its provision.”

- Local Authorities (Goods and Services) Act 1970 re. supply of goods and services by local authorities and ability of parties to enter into an agreement to include terms as to payment.

3.2 There are a large number of statutes which enable or oblige the local authority to offer specific services e.g. Environmental Protection Act 1990 re. the collection of trade waste. Whilst certain of the Council’s charges are set by statute, a local authority is able, in many instances, to determine what to charge service users for the service provided.

#### **4. Full Cost Calculation and Recovery**

4.1 Many of the Council’s fees and charges are legally limited to the recovery of the cost of delivering the service. Depending on the legislation specific to the service area, this is often much wider than the direct cost of service delivery (e.g. running a coaching session may only directly involve in one hour of one person’s time, but there will be time spent planning for the session and a small share of the holiday's that the coach receives), but includes other items such as:

- Direct Overheads – such as management time within the service area associated with the delivery of the service
- Corporate Overheads – a fair proportion of the corporate costs that are not directly within the service, including central costs like Finance, IT or HR, senior management costs, building and premises costs (e.g. rent or maintenance) and also costs associated with the running of the Council (e.g. running a democratic system)
- Unproductive time, for example the cost of providing staff development or training or average sick time
- Service investment costs, such as contribution to continued service improvements or capital investments

4.2 The aim of the Fees and Charges Policy is to ‘right size’ the prices for services – i.e. set a price that achieves the optimal balance of financial return, risk and achieving policy objectives. Where it is found that services are being provided at a price below the optimal level then consideration needs to be given to the likely impact of significant changes in prices. In some cases, moving to the optimal pricing point in ‘one jump’ would be unpalatable, therefore a move towards this pricing point should be considered in an incremental manner over several years.

- 4.3 There are however some services where legislation limits the costs that can be recovered, however even in this instance it is important to understand the full cost of service delivery and the amount that is not recovered through the charge.
- 4.4 Therefore, regardless of the legislation about what can be charged, it is important to understand this total cost of each service, so that the Council can make an estimate of the real cost of providing this service and the degree to which services are being subsidised.
- 4.5 There may be instances where the Council has entered into long term contracts for services, but the cost of delivering the services increases significantly during the life of the contract, in this case the Council should explore opportunities for contract renegotiation.

## **5. Collection of Charges**

- 5.1 Wherever practical and legal the Council will levy the charge and collect the income before the service is delivered, which will reduce the likelihood of customers incurring debts which are costly for the Council to collect. For example, if a customer wishes to subscribe to the Councils Green Waste collection scheme the charge will be levied in advance, payment made and after that point the Council will begin collecting the Green Waste.
- 5.2 The Council will seek to encourage the most efficient form of charge collection available and, in some cases, may offer differential pricing for different payment methods (e.g. a reduced charge is offered for customers paying by Direct Debit – recognising the reduced cost to the Council of this mechanism of payment).

## **6. Approaches and Policy objective to the Application of the Charging Policy**

- 6.1 The Council may have a range of policy objectives for the delivery of a particular service, which will impact on the pricing decision the Council makes and therefore it is important to establish a framework for why a particular approach should be taken.
- 6.2 The default position is the recovery of full cost of service delivery and any deviation from this position requires approval via the relevant Executive Director and will be highlighted as part of the “Schedule of Fees and Charges”. An objective of the policy is to ensure that the Council only subsidises the delivery of non-mandatory services where there is an explicit policy decision to do so. Where charges are set by statute no additional approval is required.
- 6.3 The table below provides an overview of different pricing approaches and the policy rationale for a particular approach:

Type	Objective	Likely Quadrant
<b>Beyond full cost recovery:</b> where legislation explicitly permits	The primary policy objective for the council providing the service with the objective of maximising income and legislation explicitly permits the Council to recover beyond full cost; or  The council wishes to disincentivise a certain type of behaviour and is using price as a tool to achieve this	4
<b>Full cost recovery :</b> This is the preferred position and discretionary services are anticipated to fall into this category unless otherwise agreed	The council wishes to make the service generally available, but there is no policy rationale for providing a subsidy from general taxation.	4
<b>Full cost recovery with concessionary discounts</b>	The council wishes to make the service generally available and is prepared to subsidise the service to ensure disadvantaged groups have access to the service.	3 or 4
<b>Subsidised</b>	The council believes there are policy / public benefits from usage and therefore provides a subsidy from general taxation however users of the service are expected to make some contribution to the cost.	2 or 3
<b>Nominal</b>	The council wishes the service to be fully available but sets a charge to discourage frivolous use.	2
<b>Free</b>	The council's policy is to make the service fully available and "free at the point of delivery". The service is funded from general taxation.	
<b>Statutory Charges</b>	Set in line with legal obligations and national government charging policy.	1

## 7. Governance, Review & Implementation

- 7.1 Executive and Full Council will have full visibility and oversight of price setting for fees and charges. Notwithstanding this, it should be noted that there may be individual service reasons for price changes in year – these will be managed through the appropriate governance process and in line with the appropriate level of delegated authority for decision making. The Council will publish, as part of the annual budget setting report the Fees and Charges Policy alongside a schedule of all proposed fees and charges (with the exceptions highlighted below). To support visibility of policy and risk considerations the Schedule of Fees and Charges from 2025/26 will commence in referencing the specific legislation relevant to a service area and key policy considerations. This approach reflects the councils drive towards delivering against its corporate priorities, delivering value for money and ensuring it is learning from best practice from other Councils.
- 7.2 It should be noted that for various reasons (e.g. service operates in a commercial market with variable pricing, significant review or restructure of service is underway that materially impacts on its pricing approach) there are some fees and charges in some service areas that there may be some fees and charges that it is not appropriate to include in this report.
- 7.3 Licensing Committee – It should be noted that there are a number of charges that are under the jurisdiction of the Licensing Committee, which has a separate governance process. The principles and objectives of this price setting approach will apply to these services, however the governance, price setting and publication of those fees and charges will remain within the remit of the specific Committee.
- 7.4 Changes to prices must reflect legislation and this may include formal consultation and consideration of responses prior to implementation (for example changes to Car Parking fees requires formal communication at relevant assets 21 days in advance of any changes).
- 7.5 Where the proposals attached in “Schedule of Fees and Charges” in **Annex 1** are approved they are deemed to be valid from 1 April, unless otherwise stated. It should be noted there are some areas where there is a statutory time frame before a change in price can be implemented once a decision is made.
- 7.6 To enable services to operate with agility in commercial environments Heads of Service have delegated authority to reduce prices in year or offer ‘bulk discounts’, provided they consult with the relevant Service Director and the section 151 officer and they can evidence that it would be financially disadvantageous to the Council if it were not to do so.



- 7.7 The management of performance of fees and charges will take place as part of the normal financial performance and budget management process Heads of Services will be responsible for recommending any changes to optimise performance. As part of the budget setting process all fees and charges will be reviewed and an 'ongoing' challenge approach adopted, which will be overseen by the Head of Financial Planning & Support (Deputy Section 151 Officer).
- 7.8 The Section 151 Officer will ensure the Policy is reviewed on an annual basis to ensure it remains fit for purpose and may need to be reviewed by exception if there is a significant change in government policy impacting on the Council's ability to charge. As part of the Councils annual review the default position will be to increase charges by the prevailing rate of inflation as indicated through the MTFP planning assumptions used by the Council.
- 7.9 Reasonable notice should be given to service users before any decisions to amend or introduce new fees and charges are implemented.

**Annex**

<b>1</b>	Fees and Charges Schedule 2025/26
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## Appendix 6

### Capital Programme 2025/26 to 2028/29 and Capital Strategy for 2025/26

#### 1. Executive Summary

- 1.1. Capital expenditure relates to spending on longer-term assets and infrastructure (such as property, equipment, vehicles, roads etc.). The Council's Capital Programme is therefore an important element of the Council's overall financial planning arrangements as appropriate investment can enable the transformation of service delivery and improve the quality of services to the local community. The schemes included in the Capital Programme need to be appropriate in meeting the Council's objectives, be affordable and represent value for money.
- 1.2. The Council must consider how capital expenditure is paid for and what the long-term financial implications are of undertaking this investment. The Council is permitted to borrow funds to finance the Capital Programme under the Local Government Act 2003. It needs to consider the impact on the revenue budget in relation to repayment of borrowing proposed, how it funds the repayment of this debt and the period over which it is repaid.
- 1.3. The Council operates a strict approach to considering and prioritising schemes for inclusion in the Capital Programme set against available resources including a technical review process, as set out in the Capital Strategy.
- 1.4. A review of the Council's Capital Programme has taken place in January 2025 and prior to setting the budget. This has involved the addition of new schemes and extending schemes deemed as Business as Usual in order to ensure the Capital Programme provides essential expenditure required to support the delivery of the Council's objectives and priorities.
- 1.5. This report sets the proposed Capital Programme for 2025/26 of **£74.798m**, with a total of **£170.290m** for the period 2025/26 to 2028/29, together with the financing statement as summarised in **Table 1**.
- 1.6. The Council's Capital Financing Requirement (CFR) is the underlying need to borrow in relation to historical borrowing plus future planned borrowing to fund the Council's capital investment in assets. This is expected to increase to **£310.197m** by 2025/26. Further details can be found in the Prudential Indicators and Treasury Management Strategy 2025/26 report elsewhere on this agenda. A summary of the prudential indicators which regulate the Council's capital financing activities - CFR, borrowing limits and planned borrowing, together with the revenue cost of borrowing is summarised in **Table 5**. This is an integral part of setting a balanced revenue budget and Medium Term Financial Plan (MTFP) for the Council.
- 1.7. The Capital Programme detailed in **Annex 1**, whilst affordable, must be managed strictly within budget in order to manage the revenue costs of servicing the historic external debt from previous financing decisions and future plans that are to be funded by borrowing.

- 1.8. The Capital Programme has been prioritised as follows:
- Meeting statutory duties for example health and safety requirements
  - In progress schemes that cannot be stopped
  - Funding transformation that will deliver ongoing revenue expenditure savings on the basis of invest to save, for which an appropriate rate of return will be determined within the transformation programme.
  - Partially externally funded schemes that require Council to match resources where there is a robust business case that meets Council Plan objectives and is approved in accordance with constitutional delegations.
  - Repayment of borrowing to reduce revenue capital financing costs.
- 1.9. The governance arrangements for managing and monitoring the delivery of the programme to plan and to budget were strengthened during 2024/25. Future budget planning rounds will be subject to improved programme governance to ensure that new projects align to the priorities of the Council plan and available resources to ensure value for money and affordability.

## **2. Introduction**

- 2.1. The Council Plan for Middlesbrough acknowledges that a sustainable Capital Programme, and the strategy and controls to shape and manage it, is a critical contributor to the future ambitions, overall service delivery, and financial position of the Council going forwards.
- 2.2. The Capital Strategy assists in the Council meeting its '*Recover, Rest and Deliver*' approach by ensuring:
- Capital investment is strictly prioritised and meets the Council's objectives within a set funding limits from within its revenue budget and MTFP.
  - Investment meets the CIPFA criteria of being prudent, sustainable, affordable and value for money.
  - The Council is appropriately responding to the statutory recommendations raised by its external auditor.
  - The Capital Programme does not include any schemes that are not permitted under the HM Treasury's definition of commercial activity and using external debt to solely generate ongoing revenue income.
  - Capital projects are delivered within budget and in a timely manner and meet the objectives of their business cases.
  - Members and Senior Officers have a common understanding of the financial context the Council is operating in and the capital principles underpinning capital decisions within the Council.

## **3. Capital Programme 2025/26 to 2028/29**

- 3.1. **Table 1** summarises the proposed Capital Programme by Directorate and an upper financial limit within which Transformation and redundancy costs will need to be delivered (£26.7m from 2024/25 to 2028/29). It also shows the level of capital receipts over the MTFP period. A further report will be submitted to Executive in April 2025 updating on progress on the Transformation Programme together with the Flexible Use of Capital Receipts Strategy for 2025/26 which will be referred to Council for consideration and approval and incorporation into the Budget and Policy Framework.



3.3. The Capital Programme for 2025/26 to 2028/29 includes new Council funded schemes and additions to schemes that are within the current approved Capital Programme. **Table 2** represents the new Council funded schemes added to the Capital Programme and additional funding to currently approved schemes where required, with further details of the new schemes being provided in paragraphs 3.4 to 3.15. The table excludes schemes which are deemed to be Business as Usual which are shown in **Table 3** below.

**Table 2: New Council Funded Schemes and additional funding to currently approved schemes 2025/26 To 2028/29**

New Council Funded Schemes & Additional Council Funding To Current Schemes						
Directorate	Scheme	2025/26 £m	2026/27 £m	2027/28 £m	2028/29 £m	Total £m
Regeneration	Cemetery Provision	1.051	0.877	0.360	0.100	2.388
Regeneration	Asset Management Block Budget	1.345	0.566	0.300	0.300	2.511
Regeneration	East Middlesbrough Community Hub	0.000	0.500	-	-	0.500
Regeneration	Nunthorpe Community Centre	0.000	0.500	-	-	0.500
Environment & Community Services	Bridges and Structures	-	-	2.650	4.798	7.448
Environment & Community Services	Carriageway Resurfacing Programme	0.187	0.687	-	-	0.874
Environment & Community Services	Footway Repairs Programme	0.100	0.500	-	-	0.600
Environment & Community Services	Regulatory Services ICT System	0.566	0.256	-	-	0.822
Public Health	Middlesbrough Sports Village Full Size 3G Pitch Repair	0.507	-	-	-	0.507
Public Health	Neptune Leisure Centre Boiler Replacement & Building Management System Upgrade	0.172	-	-	-	0.172
Public Health	Live Well West Building Works	0.100	-	-	-	0.100
Adult Social Care	Chronically Sick & Disabled Persons Act - Home Adaptations	0.250	0.325	0.390	0.460	1.425
<b>Total New Council Funded Schemes &amp; Additional Council Funding To Current Schemes</b>		<b>4.278</b>	<b>4.211</b>	<b>3.700</b>	<b>5.658</b>	<b>17.847</b>

3.4. **Cemetery Provision - £2.388m**

The current available space for burial plots is expected to be utilised within a year. The funding is therefore required to ensure the continued provision of burial plots through the expansion of Thorntree cemetery, creating an additional 2,310 plots. The requested funding includes an allocation for feasibility works at Acklam cemetery to understand if expansion there is possible.

3.5. **Asset Management Block Budget - £2.511m**

The Asset Management Block Budget has been provided £1.200m annually as part of Business as Usual allocations for a number of years. Due to inflationary cost increases and necessary essential works, the 2025/26 and 2026/27 allocations have been significantly brought forward to fund essential expenditure in 2024/25 and previous years, leaving the current allocation dangerously depleted. The additional funding will bring the annual budget up to £1.500m p.a., including the replenishment of the 2025/26 and 2026/27 allocations.

3.6. ***East Middlesbrough Community Hub - £0.500m***

For various reasons there have been time delays since the original scheme budgets were agreed for the East Middlesbrough Community Hub. Construction costs have increased significantly during that period, meaning that the Community Centre cannot now be delivered within the approved budget. The Council has received the contractor tenders for the creation of the hub, and the costs submitted are considerably higher than the total funding available for the scheme, with an additional £1.000m being required after a value engineering exercise is undertaken. Middlesbrough Football Club Foundation are expected to fund 50% of this but this leaves the Council required to increase its own allocation by £0.500m to complete the scheme to the desired standard.

3.7. ***Nunthorpe Community Centre - £0.500m***

The Nunthorpe Community Centre scheme has also experienced delays, which mean that the currently approved budget will not be sufficient to complete construction of the Centre. The additional £0.500m will ensure that there are enough available funds to complete the scheme.

3.8. ***Bridges and Structures - £7.448m***

A four year programme has been developed and costed to prioritise critical works to the Council's network of bridges and structures, resulting in the need for the Council to add a further £7.448m to the pre-existing allocation. The additional funds bring the total allocation for the Bridges and Structures scheme to £12.628m during the course of the MTFP.

3.9. ***Carriageway Resurfacing Programme - £0.874m***

The funds have been added to the Capital Programme to undertake high priority carriageway resurfacing works. These funds are in addition to previously approved Capital Programme funding of £5.150m Local Transport Plan – Highways Maintenance grant funded scheme and £1.626m of the Council funded Highways Infrastructure scheme, both of which can be spent on carriageway resurfacing, depending on priorities.

3.10. ***Footway Repairs Programme - £0.600m***

The funds have been allocated to the Capital Programme to undertake essential footway repairs. As per the Carriageway Resurfacing Programme, the allocation can be complimented by utilising pre-existing funds within the Local Transport Plan – Highways Maintenance and Highways Infrastructure schemes, depending upon priorities.

3.11. ***Regulatory Services ICT System - £0.822m***

The funds are required to replace the current regulatory service ICT system, which would have required updating at a cost. The replacement system is both cheaper than the current system and has greater functionality.



3.12. ***Middlesbrough Sports Village Full Size 3G Pitch Repair - £0.507m***

The pitch is in need of significant repairs. Under the terms of the leisure provision contract agreed between the Council and its leisure services delivery partner, SLM, it is the Council's responsibility to fund such repairs.

3.13. ***Neptune Centre Boiler Replacement & Building Management System Upgrade - £0.172m***

The replacement of the boiler with a modern efficient version, combined with additional controls through a Building Management System, will bring a significant reduction in gas usage at the Centre, resulting in expected annual savings of £0.041m. This saving will be a benefit to the Council through contractual negotiations with SLM. The additional funding can therefore be considered as a return on investment scheme.

3.14. ***Live Well West Building Works - £0.100m***

The funds will enable reconfiguration works within the internal area, which will increase the consultation room space and consequently increase the number of service users who can be seen within the building.

3.15. ***Chronically Sick & Disabled Persons Act – Home Adaptations - £1.425m***

The Council receives an annual Disabled Facilities capital grant from the Ministry of Housing, Communities & Local Government (MHCLG). However, one of the conditions of the grant is that no more than £0.030m can be spent on adaptations to a single property. The additional Council funding can be used to top up this value where required to ensure that the necessary adaptations required are undertaken to ensure people can continue to live within their own homes. The funds will be added to the £0.610m provided annually as Business as Usual.

3.16. In addition to the above, **£7.913m** of Council resources have been added to the Capital Programme in each of the financial years 2027/28 and 2028/29 to extend schemes deemed Business as Usual. This continues allocations to these schemes as in previous years, and is required as the Capital Programme has been extended to cover the MTFP period to 2028/29. **Table 3** below shows the relevant schemes and the amount of funding provided.

**Table 3: Council funding provided to schemes deemed Business as Usual 2027/28 and 2028/29**

Council Funding Provided to Schemes Deemed Business as Usual				
Directorate	Scheme	2027/28 £m	2028/29 £m	Total £m
Regeneration	Capitalisation Of Major Schemes Salaries	0.530	0.530	1.060
Regeneration	Capitalisation of Planning Services Surveys	0.040	0.040	0.080
Regeneration	Derisking Sites	0.500	0.500	1.000
Regeneration	Property Services Building Investment	0.340	0.340	0.680
Regeneration	Property Asset Investment Programme	1.200	1.200	2.400
Regeneration	Members Small Schemes	0.060	0.060	0.120
Environment & Community Services	Purchase of New Vehicles	1.200	1.200	2.400
Environment & Community Services	Capitalisation of Wheeled Bin Replacement	0.100	0.100	0.200
Environment & Community Services	Capitalisation of Street Furniture / Dog Fouling & Litter Bins	0.055	0.055	0.110
Environment & Community Services	Capitalisation of Highways Maintenance	0.575	0.575	1.150
Environment & Community Services	Street Lighting-Maintenance	0.468	0.468	0.936
Adult Social Care	Chronically Sick & Disabled Persons Act - All schemes	0.610	0.610	1.220
Adult Social Care	Capitalisation of Staying Put Salaries	0.050	0.050	0.100
Legal & Governance Services	ICT Essential Refresh & Licensing	2.185	2.185	4.370
<b>Total Council Funding Provided to Schemes Deemed Business as Usual</b>		<b>7.913</b>	<b>7.913</b>	<b>15.826</b>

- 3.17. The Capital Programme was reviewed and revised during the first half of 2024/25 and again in Quarter Three of 2024/25. The review was particularly focussed on ensuring that scheme funding was profiled correctly within the financial years. This resulted in significant re-profiling of funds to future years, particularly from 2024/25 to 2025/26 and 2026/27. Full details of this were provided in the Revenue and Capital Budget – Forecast Year end Outturn position as at Quarter Three 2024/25,
- 3.18. The forecast budgets for 2025/26 and 2026/27 contained in Appendix 10 of the Quarter Three 2024/25 report have been reviewed as part of this revised Capital Programme. Further reprofiling of expenditure has now taken place from 2026/27 to 2027/28 and 2028/29 now that the Capital Programme has been extended to 2028/29, and this along with the addition of new schemes (Table 2) and extensions to existing Business as Usual schemes (Table 3) has formed the basis of the revised Capital Programme for 2025/26 to 2028/29
- 3.19. **Table 4** shows how the budgets for 2025/26 to 2028/29 have changed since the Quarter Three 2024/25 report.

**Table 4: Movement of Capital Programme from that reported at Quarter 3 2024/25 to proposed revised Capital Programme**

	Forecast Expenditure				
	2025/26	2026/27	2027/28	2028/29	TOTAL
	£m	£m	£m	£m	£m
Budget as per Quarter 3 2024/25 budget monitoring report	70.520	66.097	-	-	136.617
					-
New Council Funded Schemes and additional funding to currently approved schemes 2025/26 To 2028/29 (Table 2)	4.278	4.211	3.700	5.658	17.847
Council funding provided to schemes deemed Business as Usual 2027/28 and 2028/29 (Table 3)	-	-	7.913	7.913	15.826
Further reprofiling of expenditure	-	(7.300)	6.250	1.050	-
<b>Revised budget for proposed revised Capital Programme</b>	<b>74.798</b>	<b>63.008</b>	<b>17.863</b>	<b>14.621</b>	<b>170.290</b>

3.20. In total the proposed Capital Programme sets out investment of **£170.290m** from 2025/26 to 2028/29, in support of delivering the Council's objectives and priorities.

#### **4. Financing approach for the Capital Programme**

- 4.1. All capital expenditure has to be financed, from either external sources (government grants and other contributions), the Council's own resources (revenue budget, reserves or capital receipts) or debt (borrowing or leasing).
- 4.2. In terms of affordability, receiving capital funding from a partner organisation in the form of a contribution or from central government via an approved grant is always the Council's preferred route of financing. There is no initial cost of the capital investment, with only the ongoing revenue consequences to consider.
- 4.3. When the Council puts its own funding into a capital project, there is an opportunity cost of this investment. If it sells a capital asset to generate a receipt, it releases the asset and possibly revenue income that is generated. If it uses prudential borrowing, there is an ongoing revenue costs of principal and interest of between 8% - 10% per annum over the estimates useful life of the asset being financed. The final option of funding from the revenue budget has not been used in recent years due to the pressures on the revenue budget position and the low level of revenue reserves currently. The Council would therefore prioritise its own financing resource as capital receipts first, prudential borrowing last. Direct revenue financing is not recommended within the period of this MTFP.
- 4.4. In addition, there would be restrictions on the level of capital receipts in any financial year, based on the availability of buyers for specific assets, the need to demonstrate best value on any sale and the legal processes required for any sale. The amount of prudential borrowing will be restricted by the impact on the revenue budget of servicing the debt costs of principal (minimum revenue provision) and interest (on any loans drawn down to finance the asset).

- 4.5. The Council must ensure that any approach to financing the Capital Programme is affordable, sustainable, and prudent in line with the requirements of the CIPFA Prudential Code on Capital Finance. It does this by setting and monitoring a set of prudential indicators each year. These are key metrics for the Director of Finance and for elected members when setting a budget for each financial year and when considering any changes that may occur during the financial year.
- 4.6. More details on this can be seen with reference to the Council's Prudential Indicators and Treasury Management Strategy 2025/26 as included elsewhere on this agenda. Some key Prudential Indicator values on the current position of the Council are shown in **Table 5** below for reference purpose.
- 4.7. It should be noted that whilst Middlesbrough's debt related indicators are increasing over the medium term, it is not an outlier in terms of its levels of debt when compared against all the other English unitary authorities.

*Table 5: Prudential Indicators*

<b><u>Prudential Indicator</u></b>	<b>2025/26 (£m)</b>	<b>2026/27 (£m)</b>	<b>2027/28 (£m)</b>	<b>2028/29 (£m)</b>
<b>Capital Financing Requirement (underlying need to borrow)</b>	<b>310.197</b>	<b>333.295</b>	<b>327.929</b>	<b>321.994</b>
External Borrowing	292.388	320.568	320.568	315.568
Internal Borrowing	17.809	12.727	7.361	6.426
<b>Authorised limit for External Debt</b>	<b>331.000</b>	<b>354.000</b>	<b>348.000</b>	<b>342.000</b>
Annual Capital Financing Cost	12.060	13.732	14.685	15.404
% of Net Revenue Budget on debt costs	8.4%	9.5%	9.7%	9.9%

## **5. Flexible use of capital receipts strategy**

- 5.1. Local authorities are ordinarily only able to utilise capital receipts from the sale of fixed assets for specific purposes. This precludes the financing of revenue expenditure under s15(1) of the Local Government Act 2003.
- 5.2. In 2016/17, the Department of Levelling up Housing and Communities implemented a time limited relaxation to the regulations under the Local Government Act 2003 Sections 16(2)(b) and 20. This allows capital receipts to be used to finance revenue expenditure in specific circumstances and subject to certain conditions.
- 5.3. The current statutory direction applies to financial years from 1 April 2022 up to and including 31 March 2025. However the Government announced as part of the [Local government finance policy statement 2025 to 2026](#) that they would extend the flexible use of capital receipts to 31 March 2030. The Government will also remove

the restriction with respect to redundancy costs, imposed from April 2022, that limits the use of the flexibility to statutory redundancy costs only. This will support authorities in taking forward transformation and invest-to-save projects. A new statutory direction should be issued shortly.

- 5.4. Eligible expenditure under the regulations relates to revenue expenditure which:
  - is designed to generate ongoing expenditure savings, income generation, and/or more efficient delivery of services, and/or
  - transforms service delivery to reduce costs/ reduce demand; and/or
  - improves the quality-of-service delivery in future years.
- 5.5. The annual Flexible Use of Capital Receipts (FUoCR) Strategy is required to be approved by Full Council as part and is part of the budget and policy framework. For 2025/26, the Strategy is under development alongside a review of the Transformation Programme and will be presented to Council for consideration and approval in April 2025.
- 5.6. The expenditure required to deliver the Transformation Programme will be a combination of revenue and capital expenditure. The FUoCR Strategy will set out any plans for eligible revenue expenditure to be incurred during the financial year to be funded by capital receipts in accordance with statutory regulations. The Council is not permitted to apply flexible capital receipts to fund expenditure more than the sum set out in the approved Strategy. A copy of the FUoCR Strategy, once approved by Council is required to be shared with DLUHC to enable review and oversight (but not approval).
- 5.7. As detailed previously the Council is undertaking a major transformation programme from 2024/25 to move the Council to a lower cost base for the future. It is anticipated that the amount of transformation expenditure will be up to £5.0m in 2025/26 (including ICT), with an estimate for redundancy costs of up to £1.750m in 2025/26, and a contingency budget of £0.750m. This will mean that the estimated value of the FUOCR will be £7.5m in 2025/26, and once finalised this will be presented for consideration and approval by Council in April 2025 as referenced above.
- 5.8. The transformation expenditure can only be financed by capital receipts given the low level of revenue reserves held by the Council. The FUoCR strategy therefore provides the funding solution for the revenue costs of transformation work to be funded from capital receipts generated from the current review of assets as approved by the Executive in November 2023

## **6. Risk & Governance**

- 6.1. The proposed four year Capital Programme will require the Council to use a higher proportion of available resources but without recourse to any more borrowing than is necessary to meet existing commitments. Investment of this nature will result in the Council being exposed to additional inherent risks as follows:

- economic risks on capital projects such as rising inflation and extended leading times for orders.
- the impact of increases in construction costs.
- major schemes have a long pay-back period, which will require the use of reserves in the early years to fund short term deficits in business plans.
- Any unforeseen events occur which effect the overall cost or delivery times for specific schemes.

6.2. The management of risk on projects within the Capital Programme is managed by individual service directors as part of their own risk processes but is overseen by the Leadership Management Team as part of its corporate governance responsibilities.

6.3. The governance arrangements for managing and monitoring the delivery of the programme to plan and to budget were strengthened during 2024/25 as detailed in the [Capital Programme Governance Improvement](#) report to Executive on 13 November 2024. This involved the creation of a Strategic and Corporate Capital Programme Board framework consisting of elected members and senior officers to oversee and support the delivery of the Capital Programme as part of its governance improvement. This will take the lead role for the organisation on both programme planning, scheme delivery and financing.

6.4. Future budget planning rounds will be subject to improved programme governance through the above to ensure that new projects align to the priorities of the Council plan and available resources to ensure value for money and affordability.

## Annex

1	Proposed Revised Capital Programme 2025/26 to 2028/29
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# Appendix 6 - Annex 1 : Updated Investment Strategy 2025/26 to 2028/29

Denotes increases in the Capital Programme for schemes, including Business As Usual

Denotes new schemes added to the Capital Programme

Denotes re-profiling of funds following 2024/25 Quarter 3 Budget report

	Forecast Expenditure					Council Funding £m
	2025/26 £m	2026/27 £m	2027/28 £m	2028/29 £m	TOTAL £m	
<b>Regeneration</b>						
Town Centre Related Projects	0.090	-	-	-	0.090	0.090
Middlehaven Related Projects	0.226	-	-	-	0.226	0.226
Housing Growth	1.489	12.246	-	-	13.735	4.697
BOHO X	0.270	-	-	-	0.270	0.058
Indigenous Growth Fund - Captain Cook Square	0.500	2.650	-	-	3.150	-
Towns Fund	8.021	3.000	-	-	11.021	-
Towns Fund - Nunthorpe Community Centre	0.415	1.000	-	-	1.415	0.600
Towns Fund - East Middlesbrough Community Hub	2.818	1.000	-	-	3.818	1.700
Acquisition of Town Centre Properties	-	1.000	-	-	1.000	1.000
Levelling Up Partnership	6.619	2.141	-	-	8.760	-
New Civic Centre Campus	-	0.237	-	-	0.237	0.237
Middlesbrough Development Company	1.046	1.100	-	-	2.146	2.014
Capitalisation Of Major Schemes Salaries	0.530	0.530	0.530	0.530	2.120	2.120
Capitalisation of Planning Services Surveys	0.076	0.040	0.040	0.040	0.196	0.196
Affordable Housing Via Section 106	-	1.495	-	-	1.495	0.302
Highways Infrastructure Development Section 106	-	0.722	-	-	0.722	0.142
Levelling Up Fund - South Middlesbrough Accessibility	4.485	-	-	-	4.485	-
Derisking Sites	0.200	0.925	0.500	0.500	2.125	2.125
Property Services Building Investment	0.340	0.340	0.340	0.340	1.360	1.360
Property Asset Investment Programme	2.045	2.816	1.500	1.500	7.861	7.861
Town Hall Roof	-	2.956	-	-	2.956	2.956
Municipal Buildings Refurbishment	0.145	1.014	-	-	1.159	1.159
Resolution House	-	0.492	-	-	0.492	0.492
Cleveland Centre	0.919	-	-	-	0.919	0.919
Cemetery Provision	1.051	0.877	0.360	0.100	2.388	2.388
Members Small Schemes	0.060	0.210	0.060	0.060	0.390	0.390
Stewart Park Section 106	0.032	-	-	-	0.032	-
Investment In Parks	0.011	-	-	-	0.011	0.011
Cultural Development Fund - Enhancements to Central Library & Partner Organisations	1.328	-	-	-	1.328	-
<b>Total Regeneration</b>	<b>32.716</b>	<b>36.791</b>	<b>3.330</b>	<b>3.070</b>	<b>75.907</b>	<b>33.043</b>

	Forecast Expenditure					Council Funding £m
	2025/26 £m	2026/27 £m	2027/28 £m	2028/29 £m	TOTAL £m	
<b>Environment &amp; Community Services</b>						

Purchase of New Vehicles	3.538	1.200	1.200	1.200	7.138	7.138
Capitalisation of Wheeled Bin Replacement	0.100	0.100	0.100	0.100	0.400	0.400
Capitalisation of Street Furniture / Dog Fouling & Litter Bins	0.055	0.055	0.055	0.055	0.220	0.220
Capitalisation of Highways Maintenance	0.575	0.575	0.575	0.575	2.300	2.300
Local Transport Plan -Highways Maintenance	2.811	2.339	-	-	5.150	-
Local Transport Plan - Incentive Funding	1.395	1.065	-	-	2.460	-
Street Lighting-Maintenance	0.468	0.568	0.468	0.468	1.972	1.972
Bridges & Structures (non Local Transport Plan)	2.550	2.630	2.650	4.798	12.628	12.628
Newport Bridge	1.171	0.500	-	-	1.671	1.671
Henry Street	0.038	-	-	-	0.038	-
Traffic Signals -TeesValley Combined Authority	0.010	-	-	-	0.010	-
Highways Infrastructure	1.626	-	-	-	1.626	1.626
Carriageway Resurfacing Programme	0.187	0.687	-	-	0.874	0.874
Footway Repairs Programme	0.100	0.500	-	-	0.600	0.600
Urban Traffic Management Control 2	0.233	-	-	-	0.233	-
Traffic Signals Non Rees Valley Combined Authority	0.480	-	-	-	0.480	0.480
Traffic Signals Obsolescence Grant	1.500	-	-	-	1.500	-
Fusion	0.319	-	-	-	0.319	-
Food Waste Collection	1.076	-	-	-	1.076	-
Street Lighting Column Replacement	0.137	0.463	-	-	0.600	0.600
Linthorpe Rd Cycleway	0.414	-	-	-	0.414	-
Levelling Up Partnership - Neighbourhood Safety	0.786	-	-	-	0.786	-
Parks Playzones	0.063	-	-	-	0.063	-
Regulatory Services ICT Sytem	0.566	0.256	-	-	0.822	0.822
<b>Total Environment &amp; Community Services</b>	<b>20.198</b>	<b>10.938</b>	<b>5.048</b>	<b>7.196</b>	<b>43.380</b>	<b>31.331</b>

	Forecast Expenditure					Council Funding
	2025/26	2026/27	2027/28	2028/29	TOTAL	
	£m	£m	£m	£m	£m	£m
<b>Public Health</b>						
Middlesbrough Sports Village Full Size 3G Pitch Repair	0.507	-	-	-	0.507	0.507
Neptune Leisure Centre Boiler Replacement & Building Management System Upgrade	0.172	-	-	-	0.172	0.172
Live Well West Building Works	0.100	-	-	-	0.100	0.100
<b>Total Public Health</b>	<b>0.779</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>0.779</b>	<b>0.779</b>

	Forecast Expenditure					Council Funding
	2025/26	2026/27	2027/28	2028/29	TOTAL	
	£m	£m	£m	£m	£m	£m
<b>Education &amp; Partnerships</b>						
Block Budget - Family Hubs	0.005	-	-	-	0.005	-
Block Budget - Devolved Formula Capital (DFC) - All Schools	0.224	-	-	-	0.224	-
Block Budget - School Condition Allocation (SCA)	0.453	-	-	-	0.453	-
Block Budget - Basic Need	2.665	-	-	-	2.665	-
Block Budget - High Needs Provsion Capital Allocation (HNCPA)	1.468	-	-	-	1.468	-



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Block Budget - Early Years 2 years old entitlement	0.001	-	-	-	0.001
Section 106 - Lowgill	0.035	-	-	-	0.035
Contingency Funding Reserve	0.105	-	-	-	0.105
Building Condition Improvements - Primary School	0.238	-	-	-	0.238
Building Condition Improvements - Special Schools	0.005	-	-	-	0.005
School Led Capital Schemes - All Maintained Schools	0.015	-	-	-	0.015
Sufficiency Schemes - Primary	0.250	0.250	-	-	0.500
Sufficiency Schemes - Secondary	1.308	0.746	-	-	2.054
Sufficiency Schemes - SEND and Alternative Education	0.781	-	-	-	0.781
<b>Total Education &amp; Partnerships</b>	<b>7.553</b>	<b>0.996</b>	-	-	<b>8.549</b>

-
-
-
-
-
-
-
-
0.646
-
-
<b>0.646</b>

	Forecast Expenditure				
	2025/26	2026/27	2027/28	2028/29	TOTAL
	£m	£m	£m	£m	£m
<b>Children's Care</b>					
Children's Services Financial Improvement Plan	0.550	3.253	-	-	3.803
<b>Total Children's Care</b>	<b>0.550</b>	<b>3.253</b>	-	-	<b>3.803</b>

<b>Council Funding</b>
<b>£m</b>
3.803
<b>3.803</b>

	Forecast Expenditure				
	2025/26	2026/27	2027/28	2028/29	TOTAL
	£m	£m	£m	£m	£m
<b>Adult Social Care</b>					
Chronically Sick & Disabled Persons Act - All schemes	0.860	0.935	1.000	1.070	3.865
Disabled Facilities Grant - All schemes	2.720	0.684	-	-	3.404
Capitalisation of Staying Put Salaries	0.050	0.050	0.050	0.050	0.200
Home Loans Partnership (Formerly 5 Lamps)	0.071	-	-	-	0.071
<b>Total Adult Social Care</b>	<b>3.701</b>	<b>1.669</b>	<b>1.050</b>	<b>1.120</b>	<b>7.540</b>

<b>Council Funding</b>
<b>£m</b>
3.865
-
0.200
-
<b>4.065</b>

	Forecast Expenditure				
	2025/26	2026/27	2027/28	2028/29	TOTAL
	£m	£m	£m	£m	£m
<b>Legal &amp; Governance Services</b>					
ICT Essential Refresh & Licensing	1.610	2.185	2.185	2.185	8.165
HR Pay	-	0.037	-	-	0.037
<b>Total Legal &amp; Governance Services</b>	<b>1.610</b>	<b>2.222</b>	<b>2.185</b>	<b>2.185</b>	<b>8.202</b>

<b>Council Funding</b>
<b>£m</b>
8.165
0.037
<b>8.202</b>

	Forecast Expenditure				
	2025/26	2026/27	2027/28	2028/29	TOTAL
	£m	£m	£m	£m	£m
<b>Finance</b>					
Former Partnership Investment (ICT Infrastructure Revenues & Benefits)	0.025	0.239	-	-	0.264

<b>Council Funding</b>
<b>£m</b>
0.264

Business World Upgrade	0.016	-	-	-	0.016
Capitalisation of Property Finance Lease Arrangements	0.150	0.150	-	-	0.300
<b>Total Finance</b>	<b>0.191</b>	<b>0.389</b>	-	-	<b>0.580</b>

0.016
0.300
-
<b>0.580</b>

	Forecast Expenditure				
	2025/26	2026/27	2027/28	2028/29	TOTAL
	£m	£m	£m	£m	£m
<b>Transformation Programme</b>					
Transformation	2.500	2.500	2.000	0.750	7.750
Subject Matter Expertise	1.000	1.000	1.000	-	3.000
Redundancy	1.750	1.000	1.000	-	3.750
ICT	1.500	1.500	1.500	-	4.500
Contingency	0.750	0.750	0.750	0.300	2.550
<b>Total Transformation</b>	<b>7.500</b>	<b>6.750</b>	<b>6.250</b>	<b>1.050</b>	<b>21.550</b>

<b>Council Funding</b>
<b>£m</b>
7.750
3.000
3.750
4.500
2.550
<b>21.550</b>

	Forecast Expenditure				
	2025/26	2026/27	2027/28	2028/29	TOTAL
	£m	£m	£m	£m	£m
<b>ALL DIRECTORATES</b>					
<b>Total ALL DIRECTORATES</b>	<b>74.798</b>	<b>63.008</b>	<b>17.863</b>	<b>14.621</b>	<b>170.290</b>

<b>Council Funding</b>
<b>£m</b>
<b>103.999</b>

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	Forecast Expenditure				
	2025/26	2026/27	2027/28	2028/29	TOTAL
	£m	£m	£m	£m	£m
<b>FUNDED BY:</b>					
Borrowing	17.085	28.180	-	-	45.265
Capital Receipts	6.000	6.000	11.613	13.571	37.184
Flexible Use of Capital Receipts	7.500	6.750	6.250	1.050	21.550
Grants	43.230	15.558	-	-	58.788
Contributions	0.983	6.520	-	-	7.503
<b>Total FUNDING</b>	<b>74.798</b>	<b>63.008</b>	<b>17.863</b>	<b>14.621</b>	<b>170.290</b>

<b>Council Funding</b>
<b>£m</b>
45.265
37.184
21.550
-
-
<b>103.999</b>

External Funding
£m
-
-
9.038
0.212
3.150
11.021
0.815
2.118
-
8.760
-
0.132
-
-
1.193
0.980
4.485
-
-
-
-
-
-
-
-
-
0.032
-
1.328
-
<b>42.864</b>

External Funding
£m

-
-
-
-
5.150
2.460
-
-
-
0.038
0.010
-
-
-
0.233
-
1.500
0.319
1.076
-
0.414
0.286
0.063
4.52
12.049

<b>External Funding</b>
<b>£m</b>
-
-
-
-
-

<b>External Funding</b>
<b>£m</b>
0.005
0.224
0.453
2.665
1.468

0.001
0.035
0.105
0.238
0.005
0.015
0.500
1.408
0.781
<b>7.903</b>

<b>External Funding</b>
<b>£m</b>
-
-

<b>External Funding</b>
<b>£m</b>
-
3.404
-
0.071
<b>3.475</b>

<b>External Funding</b>
<b>£m</b>
-
-
-

<b>External Funding</b>
<b>£m</b>
-

-
-
-

<b>External Funding</b>
<b>£m</b>
-
-
-
-
-
-
-

<b>External Funding</b>
<b>£m</b>
<b>66.291</b>

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<b>External Funding</b>
<b>£m</b>
-
-
-
58.788
7.503
66.291

## Appendix 7

### Council Tax Setting 2025/26 (Indicative)

**THE FOLLOWING MAY BE SUBJECT TO AMENDMENT FOLLOWING THE ANNOUNCEMENT OF THE FINAL LOCAL GOVERNMENT FINANCE SETTLEMENT AND CONFIRMATION OF PRECEPTS**

1.1 The legislation governing the setting of Council Tax is contained in Sections 30 to 38 of the Local Government Finance Act 1992. Section 31B(1) requires a billing authority to calculate the basic amount of its Council Tax, which in Middlesbrough Council's case is that applicable to Band D dwellings in its area.

1.2 The calculation is made in accordance with a formula  $R/T$  where

**R** is the amount calculated by the Middlesbrough Council as its Council Tax requirement for 2025/26, calculated in accordance with section 31A(4) of the Act. This has been calculated as **£ 75,783,139**.

**T** is the amount calculated by Middlesbrough Council as its Council Tax Base for 2025/26. On 4 December 2024 the Executive calculated the amount of **36,513.9** as its Council Tax Base for the year 2025/26 in accordance with Local Authorities (Calculation of Council Tax Base) (England) Regulations 2012.

1.3 Application of the formula  $R/T$  thus gives a basic amount of Council Tax of **£2,075.46** for a Band D property in accordance with Section 31B(1) of the Act as shown in **Table 1** below:

**Table 1 – Calculation of Basic Council Tax 2025/26**

	£	£
Net Budget Requirement		143,362,347
Less:		
Revenue Support Grant	15,443,658	
Business Rates Top up Payment	30,793,551	
Retained Business Rates	18,206,819	
		64,444,028
		78,918,319
Estimated Collection Fund Surplus 2024/25		(3,135,180)
Council Tax Requirement	R	75,783,139
Taxbase	T	36,513.9
<b>Basic Council Tax</b>	<b>(R) / (T)</b>	<b>2,075.46</b>

The basic amount is now relevant only for statistical purposes, but must still be calculated by law. It represents the average tax paid across the Council area, including parish precepts.

- 1.4 The calculation of the actual Council Tax (Band D) for parish and non-parish areas (Middlesbrough Council only element excluding Cleveland Police and Crime Commissioner and Cleveland Fire Authority precepts) is as follows:

**a. Table 2 – Actual Council Tax (Band D) - Areas other than Nunthorpe and Stainton & Thornton Parishes – 4.99% increase:-**

	£	£
Basic Amount as above:		2,075.46
Less : Parish Precepts	40,881	
Divided by Tax Base	36,513.9	
Equals		1.11
<b>Band D Tax</b>		<b>2,074.35</b>

**b. Table 3 – Actual Council Tax (Band D) – Nunthorpe Parish:-**

	£	£
Add: Parish Precept	26,871	
Divided by Tax Base	2,447.3	
Equals		10.98
<b>Band D Tax</b>		<b>2,085.33</b>

**c. Table 4 - Actual Council Tax (Band D) Stainton & Thornton Parish:-**

	£	£
Add: Parish Precept	14,010	
Divided by Tax Base	1,504.8	
Equals		9.31
<b>Band D Tax</b>		<b>2,083.66</b>

- 1.5 The calculation of the actual Council Tax for each valuation band for the Middlesbrough Council only element (excluding Cleveland Police and Crime Commissioner and Cleveland Fire Authority precepts) is shown in **Table 5** below :

**Table 5 - Middlesbrough Council Tax bands 2025/26 (excluding Police & Fire Precepts)**

Middlesbrough Council Tax bands excluding Police & Fire Precepts				
Band	Proportion	Areas without Parishes £	Nunthorpe £	Stainton & Thornton £
A	6/9	1,382.90	1,390.22	1,389.11
B	7/9	1,613.38	1,621.92	1,620.62
C	8/9	1,843.87	1,765.55	1,852.14
D	1	2,074.35	2,085.33	2,083.66
E	11/9	2,535.32	2,427.63	2,546.70
F	13/9	2,996.28	3,012.14	3,009.73
G	15/9	3,457.25	3,310.40	3,472.77
H	18/9	4,148.70	3,972.48	4,167.32



- 1.6 Cleveland Fire Authority has set a precept for Middlesbrough of **£3,449,103** and a £5 (5.59%) increase in Band D Council Tax. Council Tax levels for 2025/26 are set out in **Table 6** below *(to be confirmed - subject to approval)*

**Table 6 – Cleveland Fire Authority Council Tax 2025/26**

Cleveland Fire Authority	
Band	Tax £
A	62.97
B	73.47
C	83.96
D	94.46
E	115.45
F	136.44
G	157.43
H	188.92

- 1.7 Cleveland Police and Crime Commissioner has set a precept of **£11,601,561** and a 4.61% increase in Band D Council Tax. Council Tax levels for 2025/26 are set out in **Table 7** below *(to be confirmed - subject to approval)*

**Table 7 – Cleveland Police & Crime Commissioner Council Tax 2025/26**

Cleveland Police & Crime Commissioner	
Band	Tax £
A	211.82
B	247.12
C	282.43
D	317.73
E	388.34
F	458.94
G	529.55
H	635.46

- 1.8 The total tax to be levied for each band (including Middlesbrough Council, Cleveland Fire Authority, Cleveland Police and Crime Commissioner, and Parishes) is set out in **Table 8**.

**Table 8 - Middlesbrough Council Tax bands 2025/26 including Police & Fire Precepts (to be confirmed)**

<b>Middlesbrough Council Tax bands including Police &amp; Fire Precepts</b>			
<b>Band</b>	<b>Areas without Parishes £</b>	<b>Nunthorpe £</b>	<b>Stainton &amp; Thornton £</b>
A	1,657.69	1,586.29	1,663.90
B	1,842.51	1,942.52	1,849.75
C	2,210.25	2,131.94	2,218.53
D	2,486.54	2,497.52	2,495.85
E	2,895.39	2,931.42	2,906.77
F	3,591.67	3,607.53	3,605.11
G	4,144.23	3,997.38	4,159.75
H	4,973.08	4,796.86	4,991.70

## Appendix 8

### Schools Budget 2025/26

#### Introduction

- 1.1 In conjunction with the National Funding Formula (NFF) the Dedicated Schools Grant (DSG) funding is allocated over four blocks and the indicative Dedicated Schools Grant for 2025/26 totals £207.169m after deductions for national non-domestic rates and direct funding of high needs by Education & Skills Funding Agency (ESFA).
- 1.2 This budget has 4 elements - budgets delegated to individual schools (Schools Block), support to high needs pupils (High Needs Block), provision for early years expenditure (Early Years Block), and support for central services (Central Services Block).

#### Funding Allocations

- 1.3 The following table provides a summary of the amounts to be received in 2025/26 and a comparison to that received in 2024/25. It should be noted though that the above amounts are subject to change during the year as the Schools Block includes amounts which are passported directly to academies (known as recoupment), and certain elements of the High Needs Block are paid directly to providers. No assumption has currently been made of any increases in DSG for 2026/27 and 2027/28.

**Table 1 - Dedicated Schools Grant (DSG) after deductions 2025/26**

DSG Block	2024/25 £m	2025/26 £m	Increase £m	Increase %
Schools Block	139.892	150.103	10.211	7.3
Central School Services Block	1.061	1.136	0.075	7.1
High Needs Block	30.650	33.283	2.633	8.6
Early Years Block	17.557	22.647	5.090	29.0
<b>TOTAL DSG AFTER DEDUCTIONS</b>	<b>189.160</b>	<b>207.169</b>	<b>18.009</b>	<b>9.5</b>

#### 1.4 Schools Block

2025/26 DSG Schools Block allocation, after business rate deduction, is an increase of £10.211m (7.3%) compared with 2024/25. However, it should be noted that the Teachers' Pay Additional Grant (TPAG), the Teachers' Pension employer contribution rate (TPECG) and the Core Schools Budget grant (CSBG) have been rolled into the above allocations for 2025/26, having previously been separate grant allocations outside of the DSG.

DSG Schools block funding is allocated based on the National Funding Formula (NFF), which is based on the October 24 census:

**Table 2 – Pupil Numbers**

	October 2024 census numbers	October 2023 census numbers	Difference
Primary	13,515	13,728	(213)
Secondary	8,805	8,868	(63)
<b>Total</b>	<b>22,320</b>	<b>22,596</b>	<b>(276)</b>

Funding for Schools budgets comprises:

- a) Dedicated Schools Grant (DSG) - this is the main funding stream allocated to schools by the LA.
- b) Pupil Premium Grant – this is distributed by the Council to maintained schools only. The allocation is set out by the (ESFA) with academies receiving this funding directly.

The minimum funding guarantee (MFG) is in place at -0.50% ensuring schools management forum desire to fund, as best possible within allocation, the primary school settings as they are experiencing reducing school roll numbers along with one significant secondary reduction. The formulation of the budget is also aligned with government guidance and the necessary approvals required from Schools Management Forum (SMF), which are public documents. SMF approved modelled option 4 on 15 January 2025. The Schools Budgets has been submitted for Middlesbrough schools on 22 January 2025 within the required deadline along with political ratification.

The standard approach followed by the Local Authority in setting the Schools Budget is to set budgets by block which mirror the DSG income received. However, for 2025/26 the Local Authority is responding to an improved offer for schools, aligned within the High Needs Block and requested transfer from the Schools Block.

Schools Block transfer of 0.5% to High Needs Block of (£0.750m), was approved by SMF on 15 January 2025.

DSG allocation is updated throughout the year as pupil numbers are confirmed. During this process any unallocated balance is put to DSG Reserve, reported in the council balance sheet as “DSG unusable Reserves”. This is not currently a council liability. Any surplus in schools block, identified as Growth funding and agreed by SMF, is used to support the following year(s) place planning and sufficiency across Middlesbrough schools.

### 1.5 **Central School Services Block (CSSB)**

The CSSB is made up of two categories, historic and ongoing commitments with funding totalling £1.136m for 2025/26 for Middlesbrough. This includes Teachers’ Pension Employer Contribution (TPECG) funding for centrally employed teachers.

The grant has reduced the historic element by 20% when compared to 2024/25 by £24,379. The DfE have indicated that this element will reduce by 20% year on year and will be nil once the hard funding formula is implemented. Due to this overall, there is a £75,466 increase from 2024/25.

The services funded can be found in the SMF DSG CSSB report 2025/26 of 15 January 2025.

### 1.6 **High Needs Block**

For 2025/26 Middlesbrough’s indicative allocation is £33.283m. The indicative allocations are based on the latest mid-2024 ONS population estimate for Middlesbrough. The High Needs Block allocation for 2025/26 is finalised during 2025/26 taking into account the Spring 2025 pupil numbers and any other deductions and recoupment. Middlesbrough are signed up to the Delivering Better Value (DBV) programme that invests £1m over an approximate 18-month period ending 31 March 2025 with any extension period only due to timing of grant and delivery of the programme.

Currently after deductions and recoupment the Council will receive DSG of £63.655m in 2024/25. The forecast expenditure is £70.055m, a forecast year-end over-spend of £6.400m within 2024/25 as shown in **Table 3**.

**Table 3 - Dedicated Schools Grant (DSG) after recoupment and deductions 2024/25**

	2024/25 Income Forecast	2024/25 Expenditure Forecast	2024/25 Forecast Year-end Overspend	Balance as at 31/03/2024	Forecast Cumulative DSG Deficit as at 31/03/2025
	£m	£m	£m	£m	£m
Early years	17.557	17.797	0.240	(0.467)	(0.227)
Schools Block	14.387	14.324	(0.063)	(0.298)	(0.361)
High Needs	30.650	36.852	6.202	15.079	21.281
Central school services block	1.061	1.082	0.021	(0.021)	0.000
<b>TOTAL</b>	<b>63.655</b>	<b>70.055</b>	<b>6.400</b>	<b>14.293</b>	<b>20.693</b>

As shown in **Table 3** above there was a £14.293m total cumulative deficit on the DSG grant at the end of 2023/24, which included £15.079m attributed to the High Needs Block. The DSG deficit is predicted to increase during 2024/25 and it is currently forecast that there will be a total cumulative DSG deficit of £20.693m on 31 March 2025, including £21.281m relating to the High Needs Block.

The pressure has been driven up by Education and Health Care Plans (EHCPs) increasing from 2023 to 2024 by over 12.3% (up from 1804 to 2026) and the service has faced the full year effect of this increase along with continued increasing numbers in the past 12 months and increasing exclusions.

As part of the Delivering Better Value (DBV) work, it was identified that there would be a pressure in the current year. However, additional risks were highlighted as part of the DBV programme; specifically, that this may not be achieved without significant change regarding inclusion in mainstream schools. Inclusion within mainstream has remained a challenge, which has resulted in continued increased demand for specialist provision. These are over commissioned places which has resulted in financial pressure to provide place funding. Alongside this, there has also been an increase in rates from specialist providers across the board and significant increased pressure from rising permanent exclusions.

A range of management actions are being taken alongside the DBV programme these include initiatives such as:

- Work with health colleagues to identify health contributions where relevant
- On-going reviews of Education, Health and Care (EHC) assessments
- Training for staff and school staff to support children remaining in mainstream settings,
- Reintegration of Excluded pupils to mainstream where possible,
- Governance of High Needs budget

- Service review and modelling
- Review of Top-ups in line with Improvement Plan
- Reduce Exclusions
- Consider notional SEND budget and how this is used,
- Linking school inspection in with SEND and Alternative Provision Improvement plan,
- Review school reserves and examination of potential of implementing a policy (subject to SMF) for taking excess reserves back into High Needs where relevant and appropriate.

The Dedicated Schools Grant (DSG) is subject to a statutory override by central Government which instructs Councils to account for the DSG deficits and resulting negative balance in a separate reserve and not to fund it by using its General Fund resources. This was planned to end on 31 March 2023, however the Government extended the arrangement to at least 31 March 2026. This is a potential major risk to the Council's financial resilience in the long term if the Government remove the statutory override before the deficit position is resolved – the current balance is £20.693m which would be required to be met from the General Fund resources. The position that Government takes on this national issue which presents significant financial risks for many local authorities, will be closely followed and updates will be provided as appropriate.

## 1.7 Early Years Block

The funding split of the indicative £22.647m for Early Years in 2025/26 is shown in **Table 4** below:

**Table 4 – Indicative Early Years Block Funding 2025/26**

Description	2025/26 (Provisional) £
3 & 4 Year Old Universal Entitlement	7,778,093.00
3 & 4 Year Old Additional 15 hours	2,542,022.00
2 Year Old Families Receiving additional support	3,407,532.00
2 Year Old Working Parent Entitlement	3,274,283.00
Under 2s Entitlement	4,875,996.00
Early Years Pupil Premium (EYPP)	364,230.00
2 Year old Pupil Premium	214,320.00
Under 2s Pupil Premium	19,289.00
Disabled Access Fund (DAF)	171,654.00
Maintained Nursery Supplementary Funding	0.00
<b>TOTAL</b>	<b>22,647,419.00</b>

*Note: This is a provisional allocation (based on January 2024 pupil numbers)*

The required SMF noting of rates and the approval of Special Education Needs (SEN) and pass through rate for the Council was agreed on 15 January 2025.

<b>MIDDLESBROUGH COUNCIL</b>	
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<b>Report of:</b>	Director of Finance & Transformation (S151 Officer)
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<b>Relevant Executive Member:</b>	Executive Member for Finance
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<b>Submitted to:</b>	Executive
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<b>Date:</b>	5 February 2025
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<b>Title:</b>	Prudential Indicators and Treasury Management Strategy Report - 2025/26
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<b>Report for:</b>	Decision
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<b>Status:</b>	Public
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<b>Council Plan Priority:</b>	All
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<b>Key decision:</b>	Yes
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<b>Why:</b>	Decision(s) will incur expenditure or savings above £250,000
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<b>Subject to call in?</b>	No
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<b>Why:</b>	Part of the statutory budget setting process
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<b>Executive summary</b>
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The Council is required to approve annually a Treasury Management Strategy and a set of Prudential Indicators, which self-regulate the level of capital financing activities of the Council and the affordability of the capital programme. These need to be set on an annual basis to comply with the Local Government Act 2003 and the Chartered Institute of Public Finance and Accountancy (CIPFA) Codes of Practice on Capital Finance and Treasury Management.

The Treasury Management Strategy is important from both a financial and governance perspective as it sets the framework within which the council manages its borrowing and

investments, how it delivers these services, and how it controls the risks attached to any decisions made. It also sets out the parameters and criteria that govern the day-to-day cashflow management activity and how these impact on the medium to long term financial planning. These include achieving value for money from any borrowing undertaken, managing risk, and protecting any resources that have been invested.

The Prudential Indicators are an integral part of the CIPFA Capital Finance Code and demonstrate whether the capital programme is affordable, sustainable, and prudent. They include the level of capital expenditure over the next four years, how this has been financed, the maximum level of external debt and the cost to the revenue budget.

The Minimum Revenue Provision (MRP) policy governs how the Council plans to account for the repayment of loan principal in relation to its borrowing activities and has a fundamental impact upon the annual revenue cost of borrowing and over the long term. The current MRP policy is based on a 2% annuity model in line with many other local authorities. The Council took this decision during the 2022/23 financial year to review the MRP policy, the effect of which is to achieve improved affordability on an annual basis over the short to medium term, although there are higher revenue charges in 25 – 50 years’ time.

The Council’s underlying need to borrow is measured by the Capital Financing Requirement which is forecast to be £310.197m during 2025/26 rising to £333.295m by the end of 2026/27 and decreasing slightly thereafter. This results in the revenue cost of borrowing as shown below.

	<b>2023/24 actual</b>	<b>2024/25 forecast</b>	<b>2025/26 forecast</b>	<b>2026/27 forecast</b>	<b>2027/28 forecast</b>	<b>2028/29 forecast</b>
Financing costs (£m)	9.376	11.154	<b>12.060</b>	13.732	14.685	15.404
Net Revenue Budget (£m)	126.354	143.190	<b>143.362</b>	144.356	148.595	152.947
Proportion of net revenue budget (%)	7.4%	7.8%	<b>8.4%</b>	9.5%	9.9%	10.1%

Whilst the Council is not an outlier in terms of its level of total debt (see the graph below), it is reaching its limit of revenue affordability on borrowing to fund its future capital investment. It will need to prioritise its capital investment decisions over the medium and longer term and secure its financing through third party funds such as



contributions and grants and capital receipts from the sale of assets to minimise future borrowing.

**Total debt as percentage of core spending power**

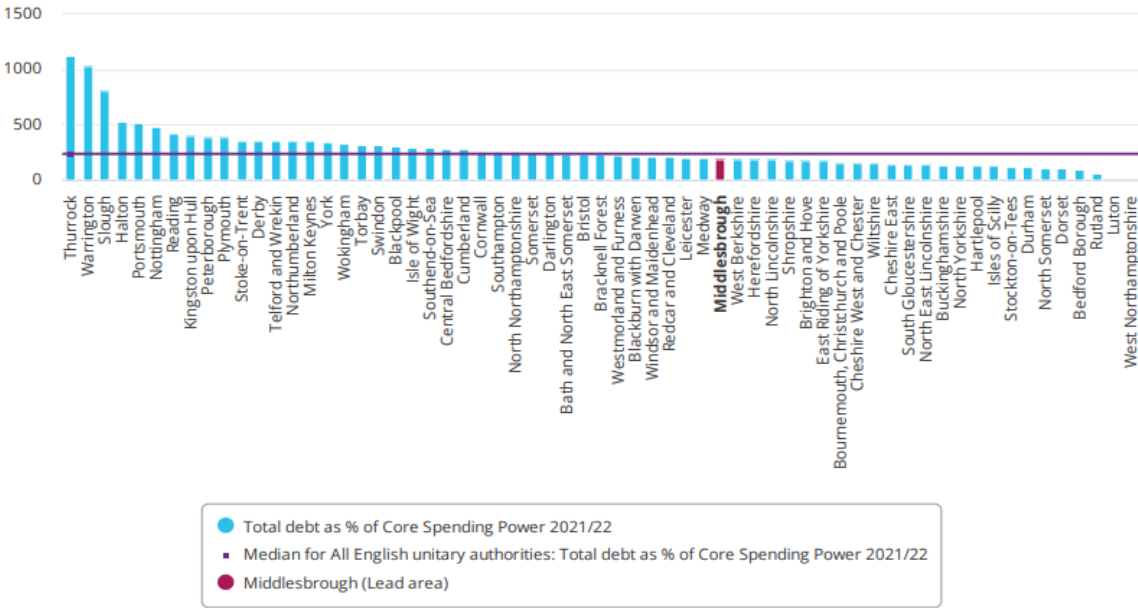
'Total debt' is Capital Financing Requirement, a measure of capital indebtedness that the council has built up over many years of capital financing decisions, but based on a methodology. (It is perhaps more accurate to describe this as the amount of capital expenditure that has not yet been funded by capital receipts, capital grants or revenue contributions and which therefore will need to be funded in future years. As such is some kind of measure of capital indebtedness, but arguably not a perfect one.

Core Spending Power is a measure of the funding the government makes available to councils for service delivery but it excludes several important elements that may be contributing to the servicing of debt including schools grants, investment income, service income and housing rents.

In 2021/22, the total debt as a percentage of Core Spending Power for Middlesbrough was 190.1%, which was below the All English unitary authorities median percentage of 229.4%.

Note the metric on total debt as a percentage of core spending power used by Oflog uses different financial years for the denominator and numerator, whereas LG Inform uses the same financial year so the numbers will differ slightly.

**Total debt as % of Core Spending Power (2021/22) for All English unitary authorities**



Source: Calculated by LG Inform, N/A, Total debt as % of Core Spending Power, Data updated: 22 Nov 2023

**1. Purpose**

This report outlines the Council’s prudential indicators for the financial years 2025/26 – 2028/29 and sets the framework and approves the limits within which the treasury management operations for this period will work. It fulfils key legislative and guidance requirements as follows:

- (a) The setting of the prudential indicators setting out the expected capital activities and treasury management prudential indicators (included as treasury indicators) in line with the Chartered Institute of Public Finance and Accountancy (CIPFA) Treasury Management Code of Practice.

- (b) The Treasury Management Strategy statement which sets out how the Council's treasury function will support capital decisions taken above, day to day treasury management activities on service delivery and any limitations on these, via the treasury prudential indicators.
- (c) The approval of the Council's Minimum Revenue Provision (MRP) Policy, which sets out how the Council will pay for historic capital debt for the financial year.
- (d) The Authorised Limit for External Debt for the financial year. This is the maximum amount of borrowing that the Council can enter into, with any amount above this limit being deemed illegal.
- (e) The Annual Investment Strategy which sets out the Council's criteria for choosing the investment counterparties and limiting exposures to the risk of loss.

The information contained in the report regarding the Council's capital expenditure plans, treasury management and prudential borrowing activities, indicate that they are:

- Within the statutory framework and consistent with the relevant codes of practice.
- Prudent, affordable, and sustainable from the perspective of the S151 Officer.
- An integral part of the Council's Revenue and Capital Medium Term Financial Plans.

## 2. Recommendations

That the Executive is requested **to approve that the following are forwarded to Council for approval** as set out below.

- The Prudential Indicators and Limits for 2025/26 to 2028/29 relating to capital expenditure and treasury management activity set out in tables 1 to 10 of Appendix 1.
- The Treasury Management Strategy for 2025/26, which includes the Annual Investment Strategy for that financial year.
- The Minimum Revenue Provision (MRP) Policy for the 2025/26 financial year.
- An Authorised Limit for External Debt of £331 million for the 2025/26 financial year.

## 3. Rationale for the recommended decision(s)

The recommendations above will fulfil the following for the local authority:

- a) To comply with the Prudential Code for Capital Finance in Local Authorities and the Department for Levelling Up, Housing & Communities (DLUHC) guidance on investments.
- b) To comply with the Treasury Management Code of Practice for Local Authorities.

- c) To comply with the requirements of the Local Government Act 2003 Part 1.
- d) To approve a financial governance framework within which officers will operate when making both borrowing and investment decisions and entering financial transactions.

#### 4. **Background and relevant information**

- 5. The PI & TMS report for the Council for 2025/26 covers the following areas:
  - How the capital programme for the MTFP period is financed.
  - The relevant prudential Indicators to monitor the performance, revenue budget affordability and sustainability of the capital expenditure being proposed in line with the requirements of the prudential code.
  - Treasury Management arrangements in place for investing surplus funds and borrowing to fund capital expenditure financed by prudential borrowing.
  - The types of investments the Council makes as part of managing its cash balances – the Annual Investment Strategy.
  - Knowledge and skills of staff involved in the Treasury Management process.
  - Minimum Revenue Provision policy – This determines how much the Council accounts for in terms of the revenue costs of historical capital debt. These costs have been incurred in relation to historical and future capital investment in its asset base to support the operational delivery of services.
- 6. Capital Expenditure relates to how the Council plans to invest in long-term assets and infrastructure (such as property, equipment, vehicles, roads etc.). The Council must consider how this expenditure is paid for and what the long-term financial implications are of undertaking this investment. The Council is also permitted to borrow funds to finance the capital programme under the Local Government Act 2003. It needs to consider the impact on the revenue budget of the level of borrowing being proposed, how it funds the repayment of this debt and the period over which this debt is repaid.
- 7. The Council must ensure the capital programme and its plans to borrow to finance it are prudent and affordable. Where elements of this are funded by borrowing (either externally or internally), the Council must set aside budgetary allocations in the general fund revenue budget to meet the cost of this debt. These budgets include the interest payable to lenders on external borrowing and the setting aside of funds to repay the principal element of debt (known as the Minimum Revenue Provision).

#### Prudential Indicators and Capital Investment Plans

- 8. The Council demonstrates the concepts of affordability, sustainability, and prudence on its investment plans by setting a range of Prudential and Treasury Management indicators. These are set out in Appendix 1 and are key metrics to the Director of Finance and Council when setting the budget plans each year.

9. Any variance from these indicators during a year indicates either a higher level of indebtedness or a lower level of prudence on the capital activities of the Council than when the budget was set. The following paragraphs give a brief commentary on these key indicators as we approach the start of the 2025/26 financial year.
10. There is total outstanding debt of £245.860 million on 31 December 2024, with circa £25m of borrowing expected to be required before 31 March 2025.
11. The forecast overall total long term external debt at the end of 2024/25 of £270.303 million, should be compared with the estimated *Capital Financing Requirement* (the underlying value which the Council needs to borrow to fund capital activities) of £297.816million. The Council therefore has an expected under-borrowed position of £27.513 million, which provides some savings in interest payments as other revenue and capital cash has been used in lieu of borrowing. This is a key strategic decision each year as to whether the under-borrowing position is increased or reduced.
12. Table 6 in Appendix 1 shows the profile of outstanding debt over the whole of the medium-term financial planning period, and this will rise to a maximum of £333.295m on 31<sup>st</sup> March 2027 before starting to reduce in the following financial year. This increase in debt is a direct result of the amount required to fund the capital programme in each year, and any additional cash flow demands in each financial year.
13. The Council holds revenue budgets for repaying debt and interest (known as Capital Financing Costs). The repayment of debt costs for 2025/26 are £12.060million (8.4% of the net revenue budget for 2025/26). For comparison purposes the forecast capital financing costs in 2024/25 are expected to be £11.154 million (which represented 7.8% of the planned net revenue budget for 2024/25).

<u>Prudential Indicator</u>	2024/25 (£m)	2025/26 (£m)	2026/27 (£m)	2027/28 (£m)	2028/29 (£m)
<b>Capital Financing Requirement (underlying need to borrow)</b>	<b>297.816</b>	<b>310.197</b>	<b>333.295</b>	<b>327.929</b>	<b>321.994</b>
External Borrowing	270.303	292.388	320.568	320.568	315.568
Internal Borrowing	27.513	17.809	12.727	7.361	6.426
% of Net Revenue Budget on debt costs	7.8%	8.4%	9.5%	9.9%	10.1%
Authorised limit for External Debt	318.000	331.000	354.000	348.000	342.000

14. The table above illustrates the key figures from paragraphs 11-13 and how these change over the period to 2028/29. It also shows that the proportion of capital financing costs is increasing over the period due to the level of external debt required

for the capital programme and due to the annuity policy adopted for minimum revenue provision that unwinds over time.

15. Although the Council does not have relatively high debt levels than its comparator authorities, the strain on the revenue budget is increasing. When CIPFA introduced the Capital Finance Code of Practice in 2007, a nominal amount of 10% of the net revenue budget was suggested as being a threshold for sustainability and prudence. Although some councils have exceeded this over the years the S151 Officer would not advise Members to go much higher, particularly given the financial position and low level of unrestricted reserves.
16. It is also a statutory requirement for the Council to set an authorised limit for external debt at the start of each financial year. This is an amount beyond which it would be ultra-vires (or outside of its powers) to exceed in a particular financial year. The authorised limit for 2024/25 is £318 million, with this increasing to £331 million for 2025/26 due to an increase in the level of borrowing required for the financial year.
17. It should be noted that the authorised limit for the Council is currently higher than either the level of external debt or the capital financing requirement. This is not uncommon within local authorities to build in extra headroom for unexpected capital investment, possible debt re-financing opportunities and the remote possibility of needing to borrow for any further exceptional revenue purposes. At present, the Council's authorised limit is set at £20m above its capital financing requirement and allows a degree of flexibility within the Council's planning processes and this legal limit. As suggested above, it is not recommended to go beyond the capital financing requirement unless this is only for temporary and defined purposes.

### Treasury Management

18. Treasury Management is defined as *'the management of the Council's cash flows, borrowing and investments, and the associated risk'*. The main risks that affect a local authority include credit risk, interest rate risk, liquidity risk, and refinancing risk.
19. The Council is generally cash rich in the short term as many grants and contributions are paid in advance of need. Because of this, any excess cash is invested with an appropriate counterparty until the funds are required. When making an investment, the Council follows the advice set out in the Local Government Act 2003 and within the Treasury Management Code with paramount consideration given to the security of the sum invested, followed by the liquidity position of the Council and finally the interest rate achievable on the investment.
20. Given that credit criteria are the most important factor when making an investment decision, the Council receives regular updates from its external treasury management adviser, Arlingclose, on changes in credit ratings for individual financial institutions. They also advise on maximum amounts to be invested with each counterparty (financial institution) and the maximum duration for any fixed term deposits made. This framework helps to protect against the loss of any sums invested (credit risk), ensuring liquidity is not compromised, and that these investments earn interest to support the revenue budget.

21. On 31 December 2024, the Council had cash balances of £35.021 million invested either on fixed term deposit with central government or in liquidity accounts with appropriate banks. The strategic level of cash holdings is a minimum of £15.000 million below which the Council will look to borrow to maintain liquidity. The amount currently is higher than normal, due to asset sales that have happened during the 2024/25 financial year and have not yet been spent. This means that external borrowing has been lower as result of this additional income.
22. In relation to external borrowing, the Council seeks to achieve a low but certain cost of finance, whilst retaining the flexibility to borrow for short-term periods and to respond to demands of the capital programme as needed. The Council therefore looks to create a balance between taking advantage of generally lower rates of interest for short term borrowing (predominantly from other local authorities) versus the need to achieve certainty over rates of borrowing in the longer term from either government or financial institutions (mainly from the PWLB or other banks).
23. Out of the £245.860 million worth of external debt on 31 December 2024, 86% is long term from the Public Works Loan Board – the government agency for local authority borrowing and 14% is long term with financial institutions (generally banks). There is also £7.4m short-term borrowing in place at present.
24. Current long term interest rates for borrowing from the PWLB are between 5.0% and 5.8% depending on the length of the loan (local authorities can borrow up to 50 years from central government) with short term rates being between 5.25% and 6.0% for up to one year in duration.
25. On local authority borrowing, there has been much interest from both regulators and the media in recent years around individual councils taking significant amounts of long-term debt from the PWLB for the sole purposes of commercial activity – generally property investment. Under the Prudential Code, local authorities have lots of freedom to conduct and self-regulate their own borrowing and investment activities.
26. Both the Government and the Chartered Institute of Public Finance & Accountancy have said that borrowing for the sole purposes of commercial investment is against the spirit of the Code. The PWLB has outlawed any local authority applications for this type of activity from 1<sup>st</sup> April 2021 with Section 151 Officers having to confirm each year that their investment plans do not contain any of these types of activity.
27. Although the Council has undertaken some capital projects in recent years that have generated a revenue income stream, the primary aim has always been to regenerate the areas involved and to grow the wider economy within the Town. As a result, these activities can continue under the Code, with funding from the PWLB if required.

#### Knowledge & Skills

28. This Strategy provide details of the knowledge and experience in place by Officers and the access to external advice and guidance made available to enhance this. Council officers have a broad range of skills to ensure treasury management decisions are informed and risk-assessed on a consistent basis. The Council uses

external consultants (Arlingclose) to provide up to date and specialist advice which is bespoke for local government sector regulations, particularly focusing on risks and opportunities.

29. The Council also participates in a treasury management benchmarking club run by Arlingclose. This club provides access to data on other local authorities' approaches to Treasury Management, including strategic information, and the wider performance outputs of the Treasury Management activities.
30. As part of the Treasury Management Code, it is also a best practice requirement that elected members have the necessary skills & knowledge to scrutinise the Council's plans and processes in this area. This has been achieved in the past by providing training for Members, but a new programme of activity for members of the Executive and Audit Committee will be provided over the next 12 months. This is important given the level of new members at the last election and some of the financial challenges facing the Council over the medium-term financial plan.

#### Minimum Revenue Provision

31. The Council is required under the Local Government Act 2003 Part 1 to maintain a policy for the repayment of historic external debt incurred from the annual revenue budget. The policy is split into different elements which are influenced by when the borrowing was originally incurred, the type of assets, and the useful economic life of the assets the borrowing is funding. The Council has in previous years amended this policy to reflect the useful economic life of the funded assets more accurately and then in 2022/23 moved to an annuity basis of calculating these revenue costs. No changes are being proposed to the MRP policy for 2025/26 financial year and there is no further scope to make annual savings beyond this on a prudent basis. This policy is set out at the end of Appendix 1 for information.

#### **Other potential alternative(s) and why these have not been recommended**

32. It is a statutory requirement to approve the annual treasury management strategy and set of prudential indicators by the Council. As a result, there is no alternatives available.

#### **Impact(s) of the recommended decision(s)**

33. The adoption of this report is an integral part of the annual process for the Council. Ensuring that the capital programme and its financing is within available revenue resources is a key judgement for the S151 Officer and will inform the Council's view of whether to approve the medium-term financial plans.

#### ***Financial (including procurement and Social Value)***

34. All relevant financial implications are outlined within the body of this report and the supporting appendix. The capital programme and financing being recommended in the budget report remains affordable within the revenue budget parameters but needs to be strictly managed and prioritised going forward. The treasury indicators and

processes remain robust and within prudent limits. The policy on minimum revenue provision also remains in line with the appropriate regulations and government guidance.

35. The table between paragraphs 13 and 14 outlines the key debt metrics and the capital financing costs as a % of the net revenue budget over the medium-term financial planning period.

36. Other impact areas are considered in the table below:

Topic	Impact
Legal	There are no direct legal implications of this report. All activity on capital financing, investments and borrowing is under current local authority powers under either the local government act 2003 or the capital finance and accounting regulations.
Risk	Any risk related issues are set out within the report. Risk management is an integral part of the Council’s treasury management strategy, and these are considered as part of business-as-usual activities and are set out in more detail within the Treasury Management Practices document.
Human Rights, Public Sector Equality Duty and Community Cohesion	There are no applicable issues to consider within this report.
Climate Change / Environmental	There are no applicable issues to consider within this report.
Children and Young People Cared for by the Authority and Care Leavers	There are no applicable issues to consider within this report.
Data Protection	There are no applicable issues to consider within this report.

**Actions to be taken to implement the recommended decision(s)**

Action	Responsible Officer	Deadline
To implement and monitor the 2025/26 prudential indicators and treasury management strategy	Head of Finance & Investment	1 April 2025 (and during the 2025/26 financial year)

**Appendices**

1	Prudential Indicators & Treasury Management Report for 2025/26 to 2028/29
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**Background papers**

<b>Body</b>	<b>Report title</b>	<b>Date</b>
Council	Prudential Indicators and Annual Treasury Management Strategy – 2024/25	08/03/24
Executive	Prudential Indicators and Treasury Management Strategy Report – Mid Year review 2024/25	04/12/24

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**PRUDENTIAL INDICATORS &**  
**TREASURY MANAGEMENT STRATEGY - 2025/26**

**Introduction**

The Treasury Management Strategy (TMS) report gives a high-level overview of how capital expenditure, capital financing and treasury management activities contribute to the provision of local public services at the Council. In addition, it also gives an overview of how the associated risks are managed and the implications for future financial sustainability.

The following information is a requirement of the 2021 Code of Practice on Treasury Management, issued by the Chartered Institute of Public Finance & Accountancy, and has been produced in an accessible way to enhance members’ understanding of these often technical areas

**Capital Expenditure and Financing**

Capital Expenditure is where the Council spends money on assets, such as property, IT and vehicles that will be used for more than one financial year. In local government, this also includes spending on assets owned by other bodies, finance leases and loans & grants to other bodies enabling them to buy assets. The Council has some limited discretion on what counts as capital expenditure, for example assets costing below £10,000 are generally not capitalised.

In the 2025/26 financial year, the Council is planning a total capital expenditure of £74.798m as summarised below.

**Table 1:** Prudential Indicator: Estimates of Capital Expenditure in £ millions

	<b>2024/25</b>	<b>2025/26</b>	<b>2026/27</b>	<b>2027/28</b>	<b>2028/29</b>
	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>
	<b>Estimate</b>	<b>Estimate</b>	<b>Estimate</b>	<b>Estimate</b>	<b>Estimate</b>
<b>Total Capital Expenditure</b>	<b>65.158</b>	<b>74.798</b>	<b>63.008</b>	<b>17.863</b>	<b>14.621</b>

All capital expenditure has to be financed, from either external sources (government grants and other contributions), the Council’s own resources (revenue, reserves and capital

receipts) or debt (borrowing, leasing and private finance initiative). The planned financing of the above expenditure is as follows:

**Table 2: Capital financing in £ millions**

	2024/25	2025/26	2026/27	2027/28	2028/29
<b>FUNDED BY:</b>	£m	£m	£m	£m	£m
Prudential Borrowing	12.003	17.085	28.180	-	-
Capital Receipts	6.000	6.000	6.000	11.613	13.571
Flexible Receipts	9.850	7.500	6.750	6.250	1.050
Grants	35.713	43.230	15.558	-	-
Contributions	1.592	0.983	6.520	-	-
<b>Total FUNDING</b>	<b>65.158</b>	<b>74.798</b>	<b>63.008</b>	<b>17.863</b>	<b>14.621</b>

Any external debt must be repaid over time by other sources of finance. This comes from the revenue budget in the form of Minimum Revenue Provision (MRP). Alternatively, proceeds from selling capital assets (known as capital receipts) may be used to replace/repay debt finance. The Council generally uses capital receipts to finance new capital expenditure rather than to redeem debt. The total cost of MRP included in the Council’s revenue budget is as follows:

**Table 3: Minimum Revenue Provision in £ millions**

	<b>2024/25 actual</b>	<b>2025/26 forecast</b>	<b>2026/27 budget</b>	<b>2027/28 budget</b>	<b>2028/29 budget</b>
Cost to Revenue Budget	4.316	<b>4.704</b>	<b>5.082</b>	<b>5.366</b>	<b>5.935</b>

- The Council’s minimum revenue provision statement for 2025/26 is available towards the end of this report.

The Council’s cumulative amount of debt finance still outstanding is measured by the capital financing requirement (CFR). This increases with new debt-financed capital expenditure each year and then reduces with minimum revenue provision and capital receipts used to redeem debt.

The CFR is expected to increase by £12.381m or 4.2% during the 2025/26 financial year. This increase is due to the new capital expenditure funded by external debt of £17.085m less the MRP set aside of £4.704m.

Based on the above plans for expenditure and financing, the Council’s estimated CFR for the period of the Medium-Term Financial Plan is as follows:

**Table 4: Prudential Indicator: Estimates of Capital Financing Requirement in £ millions**

	<b>31.3.2025 forecast</b>	<b>31.3.2026 forecast</b>	<b>31.3.2027 budget</b>	<b>31.3.2028 budget</b>	<b>31.3.2029 budget</b>
<b>TOTAL CFR</b>	<b>297.816</b>	<b>310.197</b>	<b>333.295</b>	<b>327.929</b>	<b>321.994</b>

**Asset disposals:** When a capital asset is no longer needed, it may be sold so that the proceeds, known as capital receipts, can be spent on new assets, or be used to repay debt. Repayments of capital grants, loans and investments also generate capital receipts.

The Council plans to receive £29.4m of capital receipts in the coming financial year as follows. These amounts have increased significantly for the next few years due to the asset review being undertaken by the Council. Some of these receipts may not be required in the financial year they are generated and can be carried forward for future use.

**Table 5: Capital receipts in £ millions**

	<b>2024/25 forecast</b>	<b>2025/26 forecast</b>	<b>2026/27 budget</b>	<b>2027/28 budget</b>	<b>2028/29 budget</b>
<b>TOTAL</b>	<b>28.687</b>	<b>29.387</b>	<b>9.204</b>	<b>1.800</b>	<b>9.650</b>

- The level of capital receipts for each financial year is monitored between Regeneration, Finance and Valuation & Estates teams, and any significant changes are reported to Executive as part of the Quarterly budget updates.
- The Council has adopted and used in the past two financial years, the Flexible Use of Capital Receipts Policy where these proceeds may be used for funding service transformation costs that would otherwise be classed as revenue expenditure. This is mainly to fund the current year's revenue budget overspend and would be a device to protect reserves.
- The large value of receipts generated in the 2024/25 and 2025/26 financial years as part of the assets sales theme to support the Council's transformation programme. Some of these may need to be rolled forward depending on the actual transformation expenditure achieved in each financial year.

### **Treasury Management**

Treasury Management is concerned with keeping sufficient but not excessive cash resources, available to meet the Council's spending needs, while managing the risks involved in these investments. Surplus cash is invested until required, whilst a shortage of cash will be financed by borrowing, to avoid excessive credit balances or overdrafts in the bank current account. Cash balances can be a combination of both revenue and capital cash given that there are timing differences between funds being received from various sources and those being spent on the operational plans of the Council.

The Council is typically cash rich in the short-term as revenue income is received and before it is spent, but cash poor in the long-term as capital expenditure is incurred before being financed. Revenue cash surpluses are therefore offset against capital cash shortfalls to reduce the overall borrowing amount required, as part of an integrated strategy on Treasury Management. This is in line with best practice.

The Council on 31 December 2024 had £245.860m of borrowing at an average interest rate of 3.5% and £35.201m of treasury investments at an average rate of around 4.75%.

Both investment and borrowing rates available to the Council are at high levels currently due to the uncertainty in the US/global economy at present.

**Borrowing strategy:** The Council’s main objectives when borrowing is to achieve a low but certain cost of finance for long-term capital projects whilst retaining flexibility should plans change in future. This is more difficult than in previous years due to long-term borrowing rates being higher currently than within the Council’s strategy. However, both longer term and short-term borrowing rates are expected to reduce during the 2025/26 financial year which will help.

Projected levels of the Council’s total outstanding debt are shown below, compared with the capital financing requirement (overall council need to borrow).

**Table 6: Prudential Indicator: Gross Debt and the Capital Financing Requirement in £ millions**

	<b>31.3.2025 forecast</b>	<b>31.3.2026 budget</b>	<b>31.3.2027 budget</b>	<b>31.3.2028 budget</b>	<b>31.3.2029 budget</b>
External Debt	270.303	292.388	<b>320.568</b>	320.568	315.568
Capital Financing Requirement	297.816	310.197	<b>333.295</b>	327.929	321.994

Statutory guidance is that debt should remain below the capital-financing requirement, except in the short-term where the benefits of short-term borrowing may be taken. As can be seen from Table 6, the Council expects to comply with this in the medium term with debt being lower than the capital-financing requirement in all relevant financial years. Discussions are ongoing with our treasury advisers on this position and what the long-term approach the Council should take.

**Affordable borrowing limit:** The Council is legally obliged to set an affordable borrowing limit (also termed the authorised limit for external debt) each year. In line with statutory guidance, a lower “operational boundary” is also set as a warning level should debt levels start to approach the legal limit and is a more realistic rather than worst-case view of what will happen during the financial year. Any need to change these during the 2025/26

financial year from the original budget assumptions will be reported by the Director of Finance to the Executive at the earliest opportunity.

**Table 7: Prudential Indicators: Authorised limit and operational boundary for external debt in £m**

	<b>2024/25 limit</b>	<b>2025/26 limit</b>	<b>2026/27 limit</b>	<b>2027/28 limit</b>	<b>2028/29 limit</b>
Authorised Limit (OB + £10m)	318.000	<b>331.000</b>	354.000	348.000	342.000
Operational Boundary (CFR + £10m)	308.000	<b>321.000</b>	344.000	338.000	332.000

**Investment strategy:** Treasury investments arise from the Council receiving cash before it is paid out again for service commitments. These cash balances can be a useful source of working capital, particularly around the need to externally borrow for capital needs.

The Council's policy on treasury investments is to prioritise security and liquidity over yield, which focuses on minimising risk rather than maximising returns. Cash that is likely to be spent in the short term is invested securely, for example with the government, other local authorities, or selected high-quality banks, to minimise the risk of loss. Most investments are for less than 6 months so do not qualify as long term investments. Interest earned on cash balances tends to follow base rate returns over the financial year.

The aim of the Council is to hold a strategic level of cash of around £15 million. This amount meets two criteria for the Council. It cash backs all of the general fund reserve, plus a small amount of earmarked reserves. It also classifies the organisation as a professional (rather than retail) investor under MIFID II legislation – European law on financial instruments management. There may be an occasional need to hold less than the £15m when interest rates are higher than the medium-term approach to cash.

**Table 8: Treasury management investments in £millions**

	<b>31.3.2025 forecast</b>	<b>31.3.2026 budget</b>	<b>31.3.2027 budget</b>	<b>31.3.2028 budget</b>	<b>31.3.2029 budget</b>
Short-term investments	10.000	<b>15.000</b>	15.000	15.000	15.000
Longer-term investments	0.000	<b>0.000</b>	0.000	0.000	0.000
<b>TOTAL</b>	<b>15.000</b>	<b>15.000</b>	<b>15.000</b>	<b>15.000</b>	<b>15.000</b>

**Governance:** Decisions on treasury management in relation to investment and borrowing are made daily. These are delegated by the Director of Finance to the Head of Finance & Investment and staff within the central finance team. They act in line with the treasury management strategy approved by Council and the treasury management practices (operational guidance set out by the CIPFA Code of practice). Significant decisions on treasury are discussed by the Head of Service with the Section 151 Officer as necessary.

Quarterly updates on treasury management activity are reported to Executive as part of the regular budget monitoring process, including a more detailed mid-year report. The central finance team meet weekly to discuss cash flow forecasts, borrowing decisions and operational matters on a weekly basis. All this information feeds into the both the prudential indicators and the treasury management strategy.

**Revenue Budget Implications**

Although capital expenditure is not charged directly to the revenue budget, interest payable on external borrowing and minimum revenue provision on capital expenditure are. These costs can be offset by any interest earned on cash balances or by income earned via commercial investments where borrowing has been used.

The net annual charge to the revenue budget is reported as capital financing costs; this is compared to the net revenue stream i.e., the amount funded from council tax, business rates and general government grants. This is an important indicator around the affordability of the Council’s capital programme going forwards.

**Table 9: Prudential Indicator: Proportion of financing costs to net revenue stream.**

	<b>2024/25 actual</b>	<b>2025/26 forecast</b>	<b>2026/27 forecast</b>	<b>2027/28 forecast</b>	<b>2028/29 forecast</b>
Financing costs (£m)	11.154	<b>12.060</b>	13.732	14.685	15.404
Net Revenue Budget (£m)	143.190	<b>143.362</b>	144.356	148.595	152.947
Proportion of net revenue stream	7.8%	<b>8.4%</b>	9.5%	9.9%	10.1%

**Sustainability:** Due to the very long-term nature of capital expenditure and its financing, the revenue budget implications of this expenditure incurred in the next few years could extend for up to some 50 years into the future.

The figures in table have remained at lower levels when debt for the Council has been increasing. Members should be aware that this is because of various capital investments



in commercial property made by the Council over the last few years for regeneration purposes. This results in around £2.6m of income per year being credited to the capital financing budget by the end of the 2025/26 financial year. It is imperative and a key budget risk that these rental levels are maintained, and the income assumed in the estimates above are generated.

However, the level of revenue budget strain is increasing over the capital programme being proposed as part of the 2025/26 budget process and this may not be sustainable given the revenue budget position and low level of reserves. The Council will need to reduce its reliance on external borrowing to fund the capital programme going forwards and target capital grants and contributions or capital receipts from the asset review.

Taking the figures above in Tables 1 to 9 and the key message of caution to be exercised in the future on capital financing decisions. The Director of Finance is satisfied that the proposed capital programme is prudent, affordable, and sustainable because appropriate resources have been allocated from the Council’s medium term financial plan, and any borrowing plans have been fully costed and reviewed.

**Table 10 – Total Borrowing required for each year of the MTFP**

	2024/25	<b>2025/26</b>	2026/27	2027/28	2028/29
	£m	<b>£m</b>	£m	£m	£m
	Estimate	<b>Estimate</b>	Estimate	Estimate	Estimate
Capital Programme	12.003	<b>17.085</b>	28.180	-	-
Debt Refinancing	20.000	<b>20.000</b>	15.000	10.000	10.000
Working Capital	10.000	<b>10.000</b>	-	5.000	-
<b>Total</b>	<b>42.003</b>	<b>47.085</b>	<b>43.180</b>	<b>15.000</b>	<b>10.000</b>

This considers any debt needed by the Council to either finance the capital programme, in respect of leasing arrangements, or to finance any debt restructuring required.

The prudential indicators & limits set out in this report are consistent with the Council’s current commitments, existing plans, and the proposals in the budget report for capital expenditure and financing, and with its approved treasury management policy statement and practices.

The Director of Finance confirms that these are based on estimates of the most likely and prudent scenarios, with in addition sufficient headroom over and above this to allow for operational management and some scope for flexibility. For example, unusual cash movements or any unbudgeted capital expenditure required. Risk analysis and management strategies have been considered; as have plans for capital expenditure, estimates of the capital financing requirement, and estimates of cash flow requirements for all purposes.

**Prudence – Treasury Management Indicators**

It is recommended that the Council sets an upper limit on its fixed interest rate exposures for 2025/26, 2026/27, 2027/28 and 2028/29 of 100% of its estimated total borrowing undertaken.

It is further recommended that the Council sets an upper limit on its variable interest rate exposures for 2025/26, 2026/27, 2027/28 and 2008/29 of 25% of its estimated total borrowing undertaken.

This means that the Director of Finance will manage fixed interest rate exposures on total debt within the range 75% to 100% and variable interest rate exposures on total debt within the range 0% to 25%.

It is also recommended that the Council sets upper and lower limits for the maturity structure (when the debt needs to be repaid) of its total borrowing as follows.

Amount of projected borrowing that is fixed rate maturing in each period as a percentage of total projected borrowing that is fixed rate at the start of the period:

	<u>Upper limit</u>	<u>Lower limit</u>
under 12 months	50%	0%
12 months and within 24 months	30%	0%
24 months and within 5 years	50%	0%
5 years and within 10 years	75%	0%
10 years and above	90%	20%

Currently investments are limited to a maximum of 2 years, with any deals being arranged so that the maturity will be no more than 2 years after the date the deal is arranged.

The maximum % of the total of all investments that have an outstanding period of one year or longer, at the time the investment is made, is 10%.

**Knowledge and Skills**

The Council employs professionally qualified and experienced staff in senior positions with responsibility for making capital expenditure, borrowing and investment decisions. For example, the Head of Finance and Investment has more than 25 years’ experience in local government treasury management. There is similar experience within the finance teams in relation to treasury management, budgeting, & accounting for capital expenditure and

financing. The Council also pays junior staff to study towards relevant professional qualifications including CIPFA, CIMA, ACCA, AAT, and other relevant vocational studies.

Where Council staff do not have the knowledge and skills required, use is made of external advisers and consultants that are specialists in their field. The Council currently employs Arlingclose Limited as treasury management advisers. This approach is more cost effective than employing such staff directly and ensures that the Council has access to knowledge and skills commensurate with its risk appetite.

### **Treasury Management Practices**

Further details of how the treasury management function operates, the procedures used to manage banking, treasury, and capital market transactions, how risk is managed by the in-house team and how these fit with the CIPFA Code of Practice is included in the Council's set of Treasury Management Practices.

Minor operational and terminology changes to this are made by the Director of Finance on an ongoing basis to keep the TMP's updated. If any significant changes are required to the document, either because of organisational or regulatory changes, this will be brought to full Council for approval.

## **ANNUAL INVESTMENT STRATEGY & TREASURY**

### **MANAGEMENT - POLICY STATEMENT 2025/26**

1. In accordance with revised guidance from the Ministry of Housing, Communities and Local Government (MHCLG) a local authority must prepare and publish an Annual Investment Strategy which must be approved by full Council before the start of the financial year to which it relates.
2. The MHCLG guidance offers councils greater freedom in the way in which they invest monies, providing that prior approval is received from Members by approving the Annual Investment Strategy. The guidance also considers the wider implications of investments made for non-financial returns and how these can be evaluated.
3. The Local Government Act 2003, which also introduced the Prudential Code for Capital Finance, requires that a local authority must have regard to such guidance as the Secretary of State issues relating to prudent investment practice.
4. In addition, the Chartered Institute of Public Finance & Accountancy (CIPFA) has published a revised Code of Practice for Treasury Management in the Public Services in December 2021. This replaces the 2017 Code which had been adopted in full by Middlesbrough Council. The updated Code requires the Council to clearly state, in the Annual Investment Strategy document, its policy on effective control, and monitoring of its treasury management function. These controls are set out in Treasury Management Practices (TMP's) which have been approved as part of acceptance of the previous Code.
5. The revised Strategy, showing where the Guidance has determined Council policy, can be set out as:

### **ANNUAL INVESTMENT STRATEGY 2025/26**

6. Middlesbrough Council will create and maintain as the cornerstones for effective treasury management:
  - a treasury management policy statement, stating the policies, objectives, and approach to risk management of its treasury management activities.
  - suitable treasury management practices (TMPs), setting out the manner in which the organisation will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities.
7. The content of the policy statement and TMPs will follow the recommendations contained in Sections 6 and 7 of the Code, subject only to amendment where necessary to reflect the circumstances of this organisation. Such amendments will not result in the organisation materially deviating from the Code's key principles.

8. Middlesbrough Council will receive reports on its treasury management policies, practices, and activities, including, as a minimum: an annual strategy in advance of the year, a mid-year review, and an annual report at the end of each financial year, in the form prescribed in its TMP's. Revised Strategies can be presented to the Council for approval at any other time during the year if the Director of Finance considers that significant changes to the risk assessment of significant parts of the authority's investments has occurred.
9. Middlesbrough Council delegates responsibility for the implementation and regular monitoring of its treasury management policies and practices to the Director of Finance. The execution and administration of treasury management decisions is further delegated to *the Head of Finance & Investments*, who will act in accordance with the organisation's policy statement, TMPs and CIPFA's *Standard of Professional Practice on Treasury Management*.
10. Middlesbrough Council nominates the Audit Committee to be responsible for ensuring effective scrutiny of the treasury management strategy and policies.
11. The Council is very circumspect in its use of credit rating agencies with the section on Specified Investments setting out the current policy. Ratings are monitored on a real time basis as and when information is received from either our treasury management consultants or any other recognised source. Decisions regarding inclusion on the Approved List are made based on market intelligence drawn from a number of sources.
12. All staff involved in treasury management will, under the supervision of *the Head of Finance & Investments*, act in accordance with the treasury management practices and procedures, as defined by the Council. Such staff will undertake relevant training, identified during the Council's induction process and, on an on-going basis, the Council's appraisal policy.
13. The general policy objective contained in the guidance is that local authorities should invest prudently the short-term cash surpluses held on behalf of their communities. The guidance emphasises that priority should be given to security and liquidity rather than yield. Within that framework the Council must determine a category of borrowers, who must be of "high credit quality" classified as **Specified Investments**, with whom it can invest surplus cash with minimal procedural formalities and further identify a category of borrowers classified as **Non-Specified Investments**, with whom it can also invest but subject to prescribed limits.
14. Although the guidance definition of Non-Specified Investments is "one not meeting the definition of a Specified Investment", the authority is required to identify which categories of investments are identified as prudent to use and the limits on any such investment either individually or in total. It is because some organisations do not subscribe to credit rating agencies that they have to be included as Non-Specified Investments, rather than any concern over their creditworthiness.

15. The guidance defines investment in such a way as to exclude pension fund and trust fund investments. In practice, Middlesbrough Council, in its role as Administering Authority for the Teesside Pension Fund, follows similar procedures as approved by Members as part of compliance with the CIPFA Code of Practice, albeit with different limits.

### **LIMITS & DEFINITION OF SPECIFIED INVESTMENTS**

16. The following are currently determined as meeting the criteria for Specified Investments:
- The investment is made with the UK Government, or a local authority (as defined in the Local Government Act 2003), or a police authority, or fire, or a UK Nationalised Industry, or UK Bank, or UK Building Society.
  - The investment is made with a Money Market Fund that, at the time the investment is made, has a rating of AAA.
  - The investment is made with one of the bodies listed in section 4 of Schedule 1E of the current version of the Treasury Management Practices document which, at the time the investment is made, has a short-term "investment grade" rating with either Standard & Poors, Moody's Investors Search Ltd or Fitch Ratings Ltd (or in the case of a subsidiary the parent has such a rating). Where ratings awarded differ between the rating agencies any one award below investment grade will prevent the investment being categorised as a Specified Investment. The rating of all listed bodies must be monitored monthly. Where officers become aware of a downward revision of rating, that moves the body out of the "investment grade" category, between such monthly checks, the body should be removed from the list of Specified Investments and, if considered appropriate, the investment should be recalled.
17. All specified investments must be denominated in sterling and must be one where the authority may require it to be repaid or redeemed within 12 months of the date on which the investment is made and must be considered of high credit quality. This is defined as having met the criteria set out above. The investment must not constitute the acquisition of share capital or loan capital in any body corporate.

- |   |
|---|
| <ul style="list-style-type: none"><li>• The minimum % of the total of all investments which must be Specified Investments, at the time the investment is made, is 90%</li><li>• The maximum investment with any one counterparty is £15 million, except for the Debt Management Office which is has no limit.</li><li>• The maximum investment in any one group (i.e., a bank and its wholly owned subsidiaries) is £15m.</li></ul> |
|---|

### **LIMITS & DEFINITION OF NON-SPECIFIED INVESTMENTS**

18. These categories of investment currently meet the criteria for non-specified investments:

- The investment is made with a UK bank, or UK building society, or a UK subsidiary of an overseas bank.
  - The investment is made with one of the bodies listed in section 4 of Schedule 1E of the current version of the Treasury Management Practices document, which is not a Specified Investment.
  - The investment is for a period of one year or longer.
19. All non-specified investments must be denominated in sterling. The investment must not constitute the acquisition of share capital or loan capital in any body corporate.

- The maximum % of the total of all investments which can be non-specified investments, at the time the investment is made, is 10%.
- The maximum investment with any one counterparty is £3 million.
- The maximum investment in any one group (i.e., a bank and its wholly owned subsidiaries) is £3m.
- The maximum % of the total of all investments that have an outstanding period of one year or longer, at the time the investment is made, is 10%.

20. The maximum period for which an investment can be made is 3 years, with the maturity date no more than 3 years and 1 month from the time the deal is agreed.
21. As referred to earlier in the report, borrowing should be kept at, or below, the expected capital financing requirement over the medium term to reduce the risk of exposure to interest rate fluctuations. The balance of 'net borrowing' (loans less investments) should also be monitored to, where prudent, minimise interest rate differences.
22. The Council considers that it is empowered by Section 12 of the Local Government Act 2003 for the temporary investment of funds borrowed for the purpose of expenditure in the reasonably near future. While not "borrowing to invest" it is prudent to invest monies raised in advance of expenditure. As required by the Guidance such investment is permitted providing the anticipated expenditure is within this or the next financial year or within a period of eighteen months, whichever is the greater.

## TREASURY MANAGEMENT POLICY STATEMENT

23. Middlesbrough Council defines its treasury management activities as:  
*'The management of the organisation's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.'*
24. The Council regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the organisation and any financial instruments entered to manage those risks.
25. The Council acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable comprehensive performance measurement techniques, within the context of effective risk management.
26. The high-level policies and monitoring arrangements adopted by the Council for Borrowing and Investments are as follows:

### Borrowing

- Any borrowing decisions will aim to strike an appropriate risk balance between securing low interest rates and achieving cost certainty over the periods for which funds are required. Economic forecasts available from our treasury management advisers and any other available sources will be used to form a view on the target borrowing rates and overall borrowing strategy.
- Any decisions should also look to maintain the stability and flexibility of the longer-term debt portfolio, given the current interest rate environment where short-term borrowing or internal borrowing offer revenue budget savings.
- The main sources of funding for external borrowing for the Council are the Public Works Loan Board, Local Authorities, and financial institutions.

### Investments

- The CIPFA/MHCLG guidance require the Council to invest its funds prudently and to have regard to security, liquidity and yield, when making decisions.
- Security being the arrangements in place to protect principal sums invested by a local authority.
- Liquidity being to ensure that enough cash resources are available on a day-to-day basis for transactional needs.
- Yield being the interest rate and total financial return applicable to the investment being made.
- With these strategic issues in mind, the management of credit risk (or security) is key to the Council's investment strategy and any subsequent activity. The Council uses the external advisers' credit worthiness matrix to determine limits with individual counterparties.



## **MINIMUM REVENUE PROVISION POLICY - 2025/26**

### **INTRODUCTION**

27. Local authorities are required each year to set aside some of their revenue income as provision for debt repayment. There is a simple duty for an authority each year to make an amount of revenue provision, which it considers “prudent”. (Minimum Revenue Provision) MRP Guidance makes recommendations to authorities on the interpretation of that term.
28. Authorities are legally obliged to “have regard” to any such guidance – which is the same duty as applies to other statutory guidance including, for example, the CIPFA Prudential Code, the CIPFA Treasury Management Code and the CLG Guidance on Investments.
29. Authorities are asked to prepare an annual statement of their policy on making MRP and to have this approved by the body before the start of each financial year.

### **MEANING OF “PRUDENT PROVISION”**

30. The main part to the guidance is concerned with the interpretation of the term “prudent provision”. The guidance proposes a number of options. It explains that provision for repayment of the borrowing, which financed the acquisition of an asset, should be made over a period bearing some relation to that over which the asset continues to provide a service or has economic benefit. It should also cover the gap between the Capital Financing Requirement and the various sources of capital income available to the Council to finance its capital programme, such as capital receipts, capital grants, contributions and direct revenue financing.

### **OPTIONS FOR PRUDENT PROVISION**

#### **Option 1: Regulatory Method**

31. For debt supported by (Revenue Support Grant) RSG in previous years, authorities will be able to continue to use the formulae in regulations, since the RSG was provided on that basis.

#### **Option 2: CFR Method**

32. This is a technically simpler alternative to Option 1 and may also be used in relation to supported debt. While still based on the concept of the Capital Financing Requirement (CFR), which can be derived from the balance sheet, it avoids the complexities of the formulae in the regulations.

#### **Option 3: Asset Life Method**

33. For new borrowing under the Prudential system (from 2008) for which no government support is given, there are two main options. Option 3 is to make provision for debt

repayment in **equal annual instalments** over the estimated life of the asset for which the borrowing is undertaken. This is a possibly simpler alternative to the use of depreciation accounting (Option 4), though it has some similarities to that approach.

34. The formula allows an authority to make **voluntary extra provision** in any financial year that this is affordable.
35. In the case of the construction of a new building or infrastructure, MRP would not need to be charged until the new asset comes into service. This “**MRP holiday**” would be perhaps 2 or 3 years in the case of major projects and could make them more affordable. There would be a similar effect in the case of Option 4 under normal depreciation rules.

#### **Option 4: Depreciation Method**

36. Alternatively, for new borrowing under the prudential framework for which no Government support is being given, Option 4 may be used. This means making MRP in accordance with the standard rules for depreciation accounting.
37. Councils will normally need to follow the standard procedures for calculating depreciation when making this revenue provision.

#### **Option 5: 2% Annuity Method**

38. This method recognises the time value of money and the useful life of the assets funded from borrowing and is seen as a fairer way of charging MRP. It is supported by the Council’s treasury management advisers (Arlingclose) and is being adopted by many local authorities nationally as an equitable basis for calculating the revenue costs of repaying debt.

**MINIMUM REVENUE PROVISION -  
2025/26 POLICY FOR MIDDLESBROUGH COUNCIL**

- 39. The Secretary of State recommends that before the start of each financial year a local authority prepares a statement of its policy on making MRP in respect of that financial year and submits it to the full council as part of its budget setting process. The statement should indicate which of the options listed above are to be followed in the financial year.
  
- 40. For supported capital expenditure, Middlesbrough Council intends to use **option 5 - a 2% annuity basis** for the coming financial year.
  
- 41. For unsupported capital expenditure, Middlesbrough Council intends to use **option 5 - a 2% annuity basis** for the coming financial year.

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<b>MIDDLESBROUGH COUNCIL</b>	
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<b>Report of:</b>	Director of Finance and Transformation
<b>Relevant Executive Member:</b>	Executive Member for Finance
<b>Submitted to:</b>	Executive
<b>Date:</b>	5 February 2025
<b>Title:</b>	Council Tax Reduction Scheme 2025/26
<b>Report for:</b>	Discussion
<b>Status:</b>	Public
<b>Council Plan priority:</b>	A successful and ambitious town
<b>Key decision:</b>	Not applicable
<b>Why:</b>	Not applicable
<b>Subject to call in?:</b>	Yes
<b>Why:</b>	Non urgent report

### Executive summary

This report outlines the proposed Council Tax Reduction (CTR) scheme (sometimes referred to as Council Tax Support) scheme for 2025/26. Each Billing Authority in England has a statutory requirement to design and locally fund a Council Tax Reduction scheme by no later than 11 March each year, approved by a full Council decision.

The proposed scheme for 2025/26 will incorporate the minor legislative amendments to be made by government through regulations that the Council will be obliged to include.

It is recommended that the scheme's income bandings are subject to an inflation uplift to reflect the rate applied by government to working age benefits so that the current level of support for claimants is maintained and continues to provide appropriate support for the town's financially vulnerable residents.

It is therefore requested that Executive:

Note the proposed CTR scheme for 2025/26 and recommend it to full Council for consideration and a final decision.

## **1. Purpose**

1.1 To note the proposed CTR scheme for 2025/26.

## **2. Recommendations**

2.1 That Executive note the proposed CTR scheme for 2025/26 and recommend it to full Council for consideration and a final decision.

## **3. Rationale for the recommended decision(s)**

3.1 The proposed scheme will assist low income households and support the collection of council tax whilst remaining affordable for the Council to provide.

3.2 CTR was introduced by Central Government in April 2013 as a replacement for the Council Tax Benefit scheme which was administered by councils on behalf of the Department for Work and Pensions. As part of the introduction, the Government placed the duty to create a local scheme for working age claimants with Billing Authorities.

3.3 Middlesbrough Council, as the Billing Authority, has a statutory requirement to revise or design and fund a CTR scheme by no later than 11 March each year which must be approved by a Full Council decision.

## **4. Background and relevant information**

### **The current scheme**

4.1 In 2022/23, the Council moved to an income-banded scheme. By doing so, it moved away from the previous complex means tested schemes to simplify the claiming process, reduce the administrative burden and cost of multiple in year changes and associated recalculation of council tax instalments, and to support its achievement of greater collection rates.

4.2 The scheme implemented a 90% maximum discount, with lower discount bands of 72%, 36% and 23%, aligned to the level of net weekly income and composition of each household (providing for up to 2 dependent children).

4.3 The CTR scheme is a means tested scheme, based on the household size and income, this differs from discounts and exemptions which are not means tested. Where a 100% exemption is granted, such as a student exemption, CTR will not apply as there is nothing to pay. If, on the other hand, a resident is in receipt of a single person discount or other discount, CTR may still be awarded based on the income and household composition.

4.4 The 2024/25 scheme maintained the current income-banded scheme, but also included support for Care Leavers, who were able to apply for CTR as opposed to receiving a local council tax discount. This was a technical adjustment and made no difference to the level of support available to Care Leavers, which remained unchanged.

4.5 In addition, the only other change for 2024/25 related to the childcare cost element for residents who receive Universal Credit that includes additional financial support due to incurring these costs. The Council agreed to disregard such costs as income within the CTR scheme and by doing so, supported those households with children taking paid employment.

### The 2025/26 scheme

4.6 For 2025/26, it is proposed that the current income-banded scheme be retained subject to the proposed amendments, including that the scheme income ranges are increased in line with inflation. A number of Local Authorities have already implemented an income banded scheme with many more Local Authorities also opting for similar schemes. The main reasons for doing so is that a banded scheme is far easier to administer, removes the need for residents to report certain changes, opportunity for 'take up' is made simpler as residents can determine entitlement far easier than the previous scheme. Removing the level of complexities means that applying for support with Council Tax payments is far easier.

4.7 On 30 October 2024, the Chancellor announced in the Autumn Statement that state benefits, including Universal Credit and other working age benefits, would increase in line with inflation at 1.7% from April 2025.

4.8 The increase in income from state benefits due to the inflation uplift could result in a lower discount rate band being applied in some cases, based on the existing CTR income ranges set. This would result in a reduction in the level of support which, for some households would add in excess of £300.00 per year to their bill.

4.9 The CTR scheme provides for income band ranges to be increased "by the appropriate level of inflation decided by the Council". It is therefore proposed to adjust the income band ranges for 2025/26 to reflect the inflation increase applied to state benefits and thereby maintain the level of support as far as possible for applicants.

4.10 The weekly income range for the current 2024/25 scheme are as follows:

Discount Band	Discount	Single Person	Single person with one child	Single person with two or more children	Couple	Couple with one child	Couple with two or more children
Band 1	90%	£0 - £117.48	£0 - £187.96	£0 - £258.45	£0 - £164.47	£0 - £240.83	£0 - £305.44
Band 2	72%	£117.49 - £211.46	£187.97 - £281.94	£258.46 - £346.56	£164.48 - £281.94	£240.84 - £330.11	£305.45 - £399.42
Band 3	36%	£211.47 - £252.58	£281.95 - £299.57	£346.57 - £411.17	£281.95 - £340.68	£330.12 - £375.93	£399.43 - £469.91
Band 4	23%	£252.59 - £299.57	£299.58 - £328.93	£411.18 - £528.65	£340.69 - £399.42	£375.94 - £434.66	£469.92 - £563.89
	0%	Over £299.57	Over £328.93	Over £528.65	Over £399.42	Over £434.66	Over £563.89

4.11 The proposed new weekly income ranges for 2025/26 are as follows:

Discount Band	Discount	Single Person	Single person with one child	Single person with two or more children	Couple	Couple with one child	Couple with two or more children
Band 1	90%	£0 - £119.48	£0 - £191.16	£0 - £262.84	£0-£167.27	£0 -£244.92	£0 - £310.63
Band 2	72%	£119.49 - £215.05	£191.17 -£286.73	£262.85 - £352.45	£167.28 - £286.73	£244.93 - £335.72	£310.64 -£406.21
Band 3	36%	£215.06 -£256.87	£286.74 - £304.66	£352.46-£418.16	£286.74 -£346.47	£335.73 - £382.32	£406.22 -£477.90
Band 4	23%	£256.88 - £304.66	£304.67 - £334.52	£418.17 - £537.64	£346.48 - £406.21	£382.33 - £442.05	£477.91 -£573.48
	0%	Over £304.66	Over £334.52	Over £537.64	Over £406.21	Over £442.05	Over £573.48

4.12 The cost of implementing the new ranges has been modelled and estimated at £0.061m against the current scheme expenditure. Due to the variables contained within the scheme, the actual cost may alter according to prevailing individual circumstances.

## 5. Other potential alternative(s) and why these have not been recommended

5.1 The Council could reduce the level of support offered to working age residents in receipt of CTR. However, the Council recognises the financial challenges placed on residents and is therefore proposing that the current level of support is maintained which incorporates the proposal to increase the income bandings in line with inflation.

5.2 In addition, the Council is not in a financial position to consider awarding additional support through higher discounts or different income ranges without affecting other Council services due to the current budgetary pressures. If the Council chose to increase the maximum award for working age residents to 95%, this would incur an additional cost of circa£0.65m. Similarly, if the maximum award was increased to a 100% maximum award, this would result in additional costs of circa£1.3m. If this were to be considered, a full consultation exercise would also need to be carried out which has not taken place during the current financial year.

## 6. Impact(s) of the recommended decision(s)

Topic	Impact
Financial (including procurement and Social Value)	There is an additional cost to the Council of circa£0.061m from a total current CTR scheme cost of £21.26m. Any additional expenditure incurred as a result of an increased take up of CTR will be reported as part of the budget monitoring process to ensure this is factored into projected expenditure in 2025/26.
Legal	The Local Government Finance Act Section 67 (2012 Act) inserted into Local Government Finance Act 1992 (Functions to be discharged by the Authority) making or revising a Council Tax Reduction Scheme – Section 13 (2) confirms that each Billing Authority in England must make a CTR scheme by no later than 11 March each year. Any



	scheme cannot be made by officers, with the above legislation confirming that authorisation of the full scheme must be subject to full Council approval.
Risk	The scheme supports the delivery of the Council's strategic priority to reduce poverty as set out in the Council Plan 2024-2027. The CTR scheme will enable residents to pay their required council tax instalments which, in turn, will mean that the Council has funding to work with communities and other public services in Middlesbrough to improve the lives of local people.
Human Rights, Public Sector Equality Duty and Community Cohesion	There are no disproportionate adverse impacts on any group or individuals with characteristics protected in UK equity law. The previous impact assessment carried out when the scheme was revised for 2022/23 is still relevant.
Climate Change / Environmental	There are no disproportionate adverse impacts on the aspirations of the Council to achieve net zero, net carbon neutral or be the lead authority on environmental issues.
Children and Young People Cared for by the Authority and Care Leavers	The CTR scheme will have no negative impact on children and young people cared for by the authority and care leavers. The scheme will provide support for those residents who were Care Leavers and apply for help with their council tax instalments through the CTR scheme.
Data Protection	The collection and use of personal data will be managed in accordance with the Council's data protection policy which can be found here: <a href="#">Data protection   Middlesbrough Council</a>

### Actions to be taken to implement the recommended decision(s)

Action	Responsible Officer	Deadline
Executive note the recommendations for the CTR scheme for 2025/26 and forward to full Council for a final decision	Janette Savage	5 February 2025
Subject to full Council approval, the CTR scheme to be published on the Council's website	Janette Savage	31 March 2025
Subject to full Council approval, the CTR scheme will be implemented for 2025/26	Janette Savage	31 March 2025

## Appendices

1	Middlesbrough Council's Council Tax Reduction Scheme, S13A and Schedule 1a of the Local Government Finance Act 1992
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## Background papers

Body	Report title	Date
No background papers were used in the preparation of this report		

**Contact:** Janette Savage  
**Email:** Janette\_Savage@middlesbrough.gov.uk

**Middlesbrough Council  
Council Tax Reduction Scheme  
S13A and Schedule 1a of the Local Government Finance Act 1992**

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## **1.0 Introduction to the Council Tax Reduction Scheme**

1.1 The following has been adopted by the Council and details the Council Tax Reduction scheme for the period from 1<sup>st</sup> April 2025.

1.2 This document details how the scheme will operate for both pension credit age and working age applicants and in accordance with Section 13A of the Local Government Finance Act 1992 specifies the classes of person who are to be entitled to a reduction under the scheme and is effective from 1<sup>st</sup> April 2025 for a period of one financial year.

1.3 The scheme in respect of pension age applicants is defined by Central Government within the following:

- Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012;
- Council Tax Reduction Schemes (Prescribed Requirements and Default Scheme) (England) (Amendment) Regulations 2012;
- Council Tax Reduction Schemes (Transitional Provision) (England) Regulations 2013;
- Council Tax Reduction Schemes (Detection of Fraud and Enforcement) (England) Regulations 2013;
- Council Tax Reduction Schemes (Prescribed Requirements) (England) (Amendment) Regulations 2013;
- The Council Tax Reduction Schemes (Prescribed Requirements) (England) (Amendment) (No. 2) Regulations 2014;
- The Council Tax Reduction Schemes (Prescribed Requirements) (England) (Amendment) Regulations 2015;
- The Council Tax Reduction Schemes (Prescribed Requirements) (England) (Amendment) Regulations 2016;
- The Council Tax Reduction Schemes (England) (Amendment) Regulations 2017;
- The Council Tax Reduction Schemes (Prescribed Requirements) (England) (Amendment) Regulations 2018;
- The Council Tax Reduction Schemes (Prescribed Requirements) (England) (Amendment) Regulations 2020;
- The Council Tax Reduction Schemes (Prescribed Requirements) (England) (Amendment) Regulations 2021;
- The Council Tax Reduction Schemes (Prescribed Requirements) (England) (Amendment) Regulations 2022;
- The Council Tax (Demand Notices and Reduction Schemes) (England) (amendment) Regulations 2022;
- The Council Tax Reduction Schemes (Prescribed Requirements) (England) (Amendment) Regulations 2023;
- The Council Tax Reduction Schemes (Prescribed Requirements) (England) (Amendment) Regulations 2024;
- The Council Tax Reduction Schemes (Prescribed Requirements) (England) (Amendment) Regulations 2025; and
- Local Government Finance Act 1992 (as amended by the Local Government Finance Act 2012).

### **The scheme for pension age applicants – Central Government’s scheme as defined by the Council Tax Reduction Scheme (Prescribed Requirements) (England) Regulations 2012**

1.4 There are three main classes under the prescribed pension credit age scheme, for each of which there are a number of qualifying criteria. In all cases individuals must not be of a prescribed class exempted from reduction, such as a person subject to immigration control with limited leave to remain.

(1) In this scheme—

(a) a person is a “pensioner” if—

(i) he has attained the qualifying age for state pension credit; and

- (ii), he is not and, if he has a partner, his partner is not—
  - (aa) a person on income support, on an income-based jobseeker’s allowance or on an income-related employment and support allowance, or
  - (bb) a person with an award of universal credit; and
- (b) a person is a “person who is not a pensioner” if—
  - (i) he has not attained the qualifying age for state pension credit; or
  - (ii) he has attained the qualifying age for state pension credit and he, or if he has a partner, his partner, is—
    - (aa) a person on income support, on an income-based jobseeker’s allowance or on an income-related employment and support allowance, or
    - (bb) a person with an award of universal credit.
- (2) For the purposes of sub-paragraphs (a)(ii)(bb) and (b)(ii)(bb) in paragraph (1) an award of universal credit is to be disregarded during:
  - (a) during the relevant period; or
  - (b) where regulation 60A of the Universal Credit (Transitional Provisions) Regulations 2014 applies in respect of the award the relevant period.
- (3) In this scheme—
  - “assessment period” has the same meaning as in the Universal Credit Regulations 2013;
  - “relevant period” means the period beginning with the day on which P and each partner of P has attained the qualifying age for state pension credit and ending with the day on which the last assessment period for universal credit ends

The three prescribed classes are as follows;

**Class A: pensioners whose income is less than the applicable amount.**

On any day Class A consists of any person who is a pensioner:

- (a) who is for that day liable to pay council tax in respect of a dwelling of which he is a resident;
- (b) who, subject to paragraph 5 of Schedule 1 of the Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012, is not absent from the dwelling throughout the day; in respect of whom a maximum Council Tax Reduction amount can be calculated;
- (c) who does not fall within a class of persons prescribed for the purposes of paragraph 2(9) of Schedule 1A to the Local Government Finance Act 1992 and excluded from the authority’s scheme;
- (d) whose income (if any) for the relevant week does not exceed his applicable amount calculated in accordance with paragraph 9 and Schedule 2 of the Local Government Finance Act 1992;
- (e) not have capital savings above £16,000; and
- (f) who has made an application for a reduction under the authority’s scheme.

**Class B: pensioners whose income is greater than the applicable amount.**

On any day class B consists of any person who is a pensioner:

- (a) who is for that day liable to pay council tax in respect of a dwelling of which he is a resident;
- (b) who, subject to paragraph 5 of Schedule 1 of the Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012, is not absent from the dwelling throughout the day; in respect of whom a maximum Council Tax Reduction amount can be calculated;
- (c) who does not fall within a class of person prescribed for the purposes of paragraph 2(9) of Schedule 1A to the Local Government Finance Act 1992 and excluded from the authority’s scheme;
- (d) whose income for the relevant week is greater than his applicable amount calculated in accordance with paragraph 9 and Schedule 2 to the Local Government Finance Act 1992;
- (e) in respect of whom amount A exceeds amount B where;
  - (i) amount A is the maximum Council Tax Reduction in respect of the day in the applicant’s case; and
  - (ii) amount B is 2 6/7 per cent of the difference between his income for the relevant

- week and his applicable amount;
- (f) not have capital savings above £16,000; and
- (g) who has made an application for a reduction under the authority's scheme.

#### **Class C: alternative maximum Council Tax Reduction**

On any day class C consists of any person who is a pensioner:

- (a) who is for that day liable to pay council tax in respect of a dwelling of which he is a resident;
- (b) who, subject to paragraph 5 of Schedule 1 of the Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012, is not absent from the dwelling throughout the day;
- (c) in respect of whom a maximum Council Tax Reduction amount can be calculated;
- (d) who does not fall within a class of person prescribed for the purposes of paragraph 2(9) of Schedule 1A to the 1992 Act and excluded from the authority's scheme;
- (e) who has made an application for a reduction under the authority's scheme; and
- (f) in relation to whom the condition below is met.

The condition referred to in sub-paragraph (f) is that no other resident of the dwelling is liable to pay rent to the applicant in respect of the dwelling and there is an alternative maximum Council Tax Reduction in respect of the day in the case of that person which is derived from the income, or aggregate income, of one or more residents to whom this sub-paragraph applies.

The above applies to any other resident of the dwelling who:

- (a) is not a person who, in accordance with Schedule 1 to the 1992 Act, falls to be disregarded for the purposes of discount;
- (b) is not a person who is liable for council tax solely in consequence of the provisions of section 9 of the 1992 Act (spouse's or civil partner's joint and several liability for tax);
- (c) is not a person who is residing with a couple or with the members of a polygamous marriage where the applicant is a member of that couple or of that marriage and—
  - (i) in the case of a couple, neither member of that couple is a person who, in accordance with Schedule 1 to the 1992 Act, falls to be disregarded for the purposes of discount; or
  - (ii) in the case of a polygamous marriage, two or more members of that marriage are not persons who, in accordance with Schedule 1 to the 1992 Act, fall to be disregarded for the purposes of discount;
- (d) is not a person who, jointly with the applicant, falls within the same paragraph of section 6(2)(a) to (e) of the 1992 Act (persons liable to pay council tax) as applies in the case of the applicant; or
- (e) is not a person who is residing with two or more persons both or all of whom fall within the same paragraph of section 6(2)(a) to (e) of the 1992 Act where two or more of those persons are not persons who, in accordance with Schedule 1 to the 1992 Act, fall to be disregarded for the purposes of discount.

#### **Disregard of certain incomes**

1.5 For those who have reached the qualifying age for state pension credit, the Council has resolved to enhance the government scheme (as defined by the Council Tax Reduction Scheme (Prescribed Requirements) (England) Regulations 2012 to disregard in full the following:

- (a) a war disablement pension;
- (b) a war widow's pension or war widower's pension;
- (c) a pension payable to a person as a widow, widower or surviving civil partner under any power of His Majesty otherwise than under an enactment to make provision about pensions for or in respect of persons who have been disabled or have died in consequence of service as members of the armed forces of the Crown;
- (d) a guaranteed income payment;
- (e) a payment made to compensate for the non-payment of such a pension or payment as is mentioned in any of the preceding sub-paragraphs;



- (f) a pension paid by the government of a country outside Great Britain which is analogous to any of the pensions or payments mentioned in sub-paragraphs (a) to (d) above;
- (g) pension paid to victims of National Socialist persecution under any special provision made by the law of the Federal Republic of Germany, or any part of it, or of the Republic of Austria.

**The provisions outlined above, enhance the Central Government's scheme.**

#### **THE SCHEME FOR WORKING AGE APPLICANTS – THE COUNCIL'S LOCAL SCHEME**

- 1.6 The adopted scheme for working age applicants is an income band scheme means test, which compares income against a range of discounts available. Full details of the working age scheme of the authority are contained within this document from section 2 onwards. The authority is required to specify a scheme for working age and therefore this scheme only applies to a person who;
- (a) has not attained the qualifying age for state pension credit; or
  - (b) has attained the qualifying age for state pension credit if he, and his partner, is a person on income support, on an income-based jobseeker's allowance, on an income-related employment and support allowance or on universal credit.
- 1.7 The Council has resolved that there will be **two** classes of persons who will receive a reduction under the scheme. Working age applicants must not be of a prescribed class exempted from reduction. The reduction for working age applicants within the definition of Class D below will be as provided for in Schedule 1, unless they or their partner are within the definition of Class E and entitlement exists under Schedule 4, subject to the terms otherwise applicable from section 2 on.

##### **Class D**

To obtain reduction the individual (or partner) must:

- (a) have not attained the qualifying age for state pension credit; or
- (b) he has attained the qualifying age for state pension credit and he, or if he has a partner, his partner, is a person on income support, on income-based jobseeker's allowance or an income-related employment and support allowance; or a person with an award of universal credit.
- (c) be liable to pay council tax in respect of a dwelling in which he is solely or mainly resident;
- (d) is not deemed to be absent from the dwelling;
- (e) not fall within a class of person prescribed for the purposes of paragraph 2(9) of Schedule 1A to the Local Government Finance Act 1992 and excluded from the authority's scheme;
- (f) be somebody in respect of whom a maximum Council Tax Reduction amount can be calculated;
- (g) not have capital savings above £10,000;
- (h) not have income above the levels specified within the scheme;
- (i) be a person in respect of whom a day in which s/he is liable to pay council tax falls within a week in respect of which the person's *income* is within a range of incomes specified within Schedule 1; and
- (j) has made a valid application for reduction.

##### **Class E**

To obtain reduction the individual must:

- (a) be a defined care leaver and under the age of 25;
- (b) be liable to pay council tax in respect of a dwelling in which he is solely or mainly resident;
- (c) is not deemed to be absent from the dwelling;
- (d) not fall within a class of person prescribed for the purposes of paragraph 2(9) of Schedule 1A to the Local Government Finance Act 1992 and excluded from the authority's scheme;
- (e) be somebody in respect of whom a maximum Council Tax Reduction amount can be

- calculated; and
- (f) has made a valid application for reduction.

**Council Tax Reduction Scheme**

**Details of reduction to be given for working age applicants for the financial year 2025/26**

**2.0 Interpretation – an explanation of the terms used within this policy.**

2.1 In this policy–

**‘the 1992 Act’** means the Local Government Finance Act 1992;

**‘the 2000 Act’** means the Electronic Communications Act 2000;

**‘Abbeyfield Home’** means an establishment run by the Abbeyfield Society including all bodies corporate or incorporate which are affiliated to that Society;

**‘adoption leave’** means a period of absence from work on ordinary or additional adoption leave by virtue of section 75A or 75B of the Employment Rights Act 1996;

**‘an AFIP’** means an armed forces independence payment payable in accordance with an armed and reserve forces compensation scheme established under section 1(2) of the Armed Forces (Pensions and Compensation) Act 2004

**‘applicant’** means a person who the authority designates as able to claim Council tax reduction – for the purposes of this policy all references are in the masculine gender but apply equally to male and female;

**‘application’** means an application for a reduction under this scheme:

**‘attendance allowance’** means–

(a) an attendance allowance under Part 3 of the Act;

(b) an increase of disablement pension under section 104 or 105 of the Act;

(c) a payment under regulations made in exercise of the power conferred by paragraph 7(2)(b) of Part 2 of Schedule 8 to the Act;

(d) an increase of an allowance which is payable in respect of constant attendance under paragraph 4 of Part 1 of Schedule 8 to the Act;

(e) a payment by virtue of article 14, 15, 16, 43 or 44 of the Personal Injuries (Civilians) Scheme 1983 or any analogous payment; or

(f) any payment based on need for attendance which is paid as part of a war disablement pension;

**‘the authority’** means a billing authority in relation to whose area this scheme has effect by virtue of paragraph 4(6) of Schedule 1A to the 1992 Act;

**‘basic rate’**, where it relates to the rate of tax, has the same meaning as in the Income Tax Act 2007 (see section 989 of that Act).

**‘board and lodging accommodation’** means accommodation provided to a family, for a charge which is inclusive of the provision of that accommodation and at least some cooked or prepared meals which both are cooked or prepared (by a person other than the person to whom the accommodation is provided or a member of his family) and are consumed in that accommodation or associated premises;

**‘care home’** has the meaning given by section 3 of the Care Standards Act 2000 and in Scotland means a care home service within the meaning given by section 2(3) of the Regulation of Care (Scotland) Act 2001 and in Northern Ireland means a nursing home within the meaning of Article 11 of the Health and Personal Social Services Quality Improvement and Regulation (Northern Ireland) Order 2003 or a residential care home, within the meaning of Article 10 of that Order;

**‘the Caxton Foundation’** means the charitable trust of that name established on 28th March 2011 out of funds provided by the Secretary of State for the benefit of certain persons suffering from hepatitis C and other persons eligible for payment in accordance with its provisions;

**‘child’** means a person under the age of 16;

**‘child benefit’** has the meaning given by section 141 of the SSCBA as amended by The Child Benefit (General), Child Tax Credit (Amendment) Regulations 2014 and The Child Benefit (General) (Amendment) Regulations 2015;

**‘child tax credit’** means a child tax credit under section 8 of the Tax Credits Act 2002;

**‘the Children Order’** means the Children (Northern Ireland) Order 1995;

**‘claim’** means a claim for council tax reduction;

**‘close relative’** means a parent, parent-in-law, son, son-in-law, daughter, daughter-in-law, step-parent, step-son, step-daughter, brother, sister, or if any of the preceding persons is one member of a couple, the other member of that couple;

**‘contributory employment and support allowance’** means an allowance under Part 1 of the Welfare Reform Act 2007 as amended by the provisions of Schedule 3, and Part 1 of Schedule 14, to the Welfare Reform Act 2012 that remove references to an income-related allowance

and a contributory allowance under Part 1 of the Welfare Reform Act 2007 as that Part has effect apart from those provisions;

**‘converted employment and support allowance’** means an employment and support allowance which is not income-related and to which a person is entitled as a result of a conversion decision within the meaning of the Employment and Support Allowance (Existing Awards) Regulations;

**‘council tax reduction (or reduction)’** means council tax reduction as defined by S13a Local Government Finance Act 1992 (as amended);

**‘couple’** means;

- (a) a man and woman who are married to each other and are members of the same household;
- (b) a man and woman who are not married to each other but are living together as husband and wife;
- (c) two people of the same sex who are civil partners of each other and are members of the same household; or
- (d) two people of the same sex who are not civil partners of each other but are living together as if they were civil partners.

Two people of the same sex are to be treated as living together as if they were civil partners if, and only if, they would be treated as living together as husband and wife were they of opposite sexes.

**‘date of claim’** means the date on which the claim is made, or treated as made, for the purposes of this policy;

**‘designated authority’** means any of the following;

the local authority; or a person providing services to, or authorised to exercise any function of, any such authority;

**‘designated office’** means the office designated by the authority for the receipt of claims for council tax reduction;

- (a) by notice upon or with a form approved by it for the purpose of claiming council tax reduction; or
- (b) by reference upon or with such a form to some other document available from it and sent by electronic means or otherwise on application; or
- (c) by any combination of the provisions set out in sub-paragraphs (a) and (b) above;

**‘disability living allowance’** means a disability living allowance under section 71 of the Act;

**‘dwelling’** has the same meaning in section 3 or 72 of the 1992 Act;

**‘earnings’** has the meaning prescribed in section 25 or, as the case may be, 27;

**‘the Eileen Trust’** means the charitable trust of that name established on 29th March 1993 out of funds provided by the Secretary of State for the benefit of persons eligible for payment in accordance with its provisions;

**‘electronic communication’** has the same meaning as in section 15(1) of the 2000 Act;

**‘employed earner’** is to be construed in accordance with section 2(1)(a) of the Act and also includes a person who is in receipt of a payment which is payable under any enactment having effect in Northern Ireland and which corresponds to statutory sick pay or statutory maternity pay;

**‘Employment and Support Allowance Regulations’** means the Employment and Support Allowance Regulations 2008 and the Employment and Support Regulations 2013 as appropriate;

**‘Employment and Support Allowance (Existing Awards) Regulations’** means the Employment and Support Allowance (Transitional Provisions, Housing Benefit and Council Tax Benefit) (Existing Awards) Regulations 2010;

**‘family’** has the meaning assigned to it by section 137(1) of the Act and Section 8 of this scheme;

**‘the Fund’** means moneys made available from time to time by the Secretary of State for the benefit of persons eligible for payment in accordance with the provisions of a scheme established by him on 24th April 1992 or, in Scotland, on 10th April 1992;

**‘a guaranteed income payment’** means a payment made under article 14(1)(b) or article 21(1)(a) of the Armed Forces and Reserve Forces (Compensation Scheme) Order 2005(b);

**‘he, him, his’** also refers to the feminine within this policy;

**‘housing benefit’** means housing benefit under Part 7 of the Act;

**‘the Housing Benefit Regulations’** means the Housing Benefit Regulations 2006;

**‘Immigration and Asylum Act’** means the Immigration and Asylum Act 1999;

**‘an income-based jobseeker’s allowance’** and **‘a joint-claim jobseeker’s allowance’** have the same meaning as they have in the Jobseekers Act by virtue of section 1(4) of that Act;

**‘income-related employment and support allowance’** means an income-related allowance under Part 1 of the Welfare Reform Act 2007;

**‘Income Support Regulations’** means the Income Support (General) Regulations 1987(a);

**‘independent hospital’**–

- (a) in England, means a hospital as defined by section 275 of the National Health Service Act 2006 that is not a health service hospital as defined by that section;
- (b) in Wales, has the meaning assigned to it by section 2 of the Care Standards Act 2000; and
- (c) in Scotland, means an independent health care service as defined in section 2(5)(a) and (b) of the Regulation of Care (Scotland) Act 2001;

**‘the Independent Living Fund (2006)’** means the Trust of that name established by a deed dated 10th April 2006 and made between the Secretary of State for Work and Pensions of the one part and Margaret Rosemary Cooper, Michael Beresford Boyall and Marie Theresa Martin of the other part;

**‘invalid carriage or other vehicle’** means a vehicle propelled by a petrol engine or by electric power supplied for use on the road and to be controlled by the occupant;

**‘Jobseekers Act’** means the Jobseekers Act 1995;

**‘Jobseeker’s Allowance Regulations’** means the Jobseeker’s Allowance Regulations 1996 and Jobseeker’s Allowance Regulations 2013 as appropriate;

**‘limited capability for work’** has the meaning given in section 1(4) of the Welfare Reform Act;

**‘limited capability for work-related activity’** has the meaning given in section 2(5) of the Welfare Reform Act 2007;

**‘the London Bombing Relief Charitable Fund’** means the company limited by guarantee (number 5505072), and registered charity of that name established on 11th July 2005 for the purpose of (amongst other things) relieving sickness, disability, or financial need of victims (including families or dependants of victims) of the terrorist attacks carried out in London on 7th July 2005;

**‘lone parent’** means a person who has no partner and who is responsible for and a member of the same household as a child or young person;

**‘the Macfarlane (Special Payments) Trust’** means the trust of that name, established on 29th January 1990 partly out of funds provided by the Secretary of State, for the benefit of certain persons suffering from haemophilia;

**‘the Macfarlane (Special Payments) (No.2) Trust’** means the trust of that name, established on 3rd May 1991 partly out of funds provided by the Secretary of State, for the benefit of certain persons suffering from haemophilia and other beneficiaries;

**‘the Macfarlane Trust’** means the charitable trust, established partly out of funds provided by the Secretary of State to the Haemophilia Society, for the relief of poverty or distress among those suffering from haemophilia;

**‘main phase employment and support allowance’** means an employment and support allowance where the calculation of the amount payable in respect of the applicant includes a component under section 2(1)(b) or 4(2)(b) of the Welfare Reform Act 2007 except in Part 1 of Schedule 1;

**‘maternity leave’** means a period during which a woman is absent from work because she is pregnant or has given birth to a child, and at the end of which she has a right to return to work either under the terms of her contract of employment or under Part 8 of the Employment Rights Act 1996;

**‘member of a couple’** means a member of a married or unmarried couple;

**‘member of the work-related activity group’** means a claimant who has or is treated as having limited capability for work;

**‘MFET Limited’** means the company limited by guarantee (number 7121661) of that name, established for the purpose in particular of making payments in accordance with arrangements made with the Secretary of State to persons who have acquired HIV as a result of treatment by

the NHS with blood or blood products;

**'net earnings'** means such earnings as are calculated in accordance with this scheme;

**'net profit'** means such profit as is calculated in accordance with this scheme;

**'the New Deal options'** means the employment programmes specified in regulation 75(1)(a)(ii) of the Jobseeker's Allowance Regulations and the training scheme specified in regulation 75(1)(b)(ii) of those Regulations;

**'new dwelling'** means, for the purposes of the definition of 'second authority' and sections 60C, and 61C the dwelling to which an applicant has moved, or is about to move, in which the applicant is or will be resident;

**'non-dependant'** means any person, who normally resides with an applicant or with whom an applicant normally resides except;

(a) any member of the applicant's family;

(b) if the applicant is polygamously married—

(i) where the applicant has (alone or jointly with his partner) an award of universal credit, any—

(aa) party to such a marriage other than the applicant's partner; and

(bb) any child or young person who is a member of his household and for whom he or his partner or another party to the polygamous marriage is responsible; or

(ii) in any other case, any partner of his and any child or young person who is a member of his household and for whom he or one of his partners is responsible;

(c) a child or young person who is living with the applicant but who is not a member of his household by virtue of paragraph 8 (households);

(d) any person who, with the applicant, is jointly and severally liable to pay council tax in respect of a dwelling for any day under section 6 or 7 of the 1992 Act (persons liable to pay council tax);

(e) any person who is liable to make payments on a commercial basis to the applicant or the applicant's partner in respect of the occupation of the dwelling; and

(f) a person who lives with the applicant in order to care for him or a partner of his and who is engaged by a charitable or voluntary organisation which makes a charge to the applicant or his partner for the services provided by that person.

**'occupational pension'** means any pension or other periodical payment under an occupational pension scheme but does not include any discretionary payment out of a fund established for relieving hardship in particular cases;

**'ordinary clothing or footwear'** means clothing or footwear for normal daily use, but does not include school uniforms, or clothing or footwear used solely for sporting activities;

**'partner'** means—

(a) where an applicant is a member of a couple, the other member of that couple; or

(b) where an applicant is polygamously married to two or more members of his household, any such member to whom he is married;

**'paternity leave'** means a period of absence from work on leave by virtue of section 80A or 80B of the Employment Rights Act 1996;

**'payment'** includes part of a payment;

**'pensionable age'** has the meaning given by the rules in paragraph 1 of Schedule 4 to the Pensions Act 1995 as amended by the Public Services Pension Act 2013 and Pensions Act 2014;

**'pension fund holder'** means with respect to a personal pension scheme or an occupational pension scheme, the trustees, managers, or scheme administrators, as the case may be, of the scheme concerned;

**'pensioner'** a person who has attained the age at which pension credit can be claimed;

**'person affected'** shall be construed as a person to whom the authority decides is affected by any decision made by the council;

**'personal independence payment'** has the meaning given by Part 4 of the Welfare Reform Act 2012 and the Social Security (Personal Independence Payments) 2013;

**'person treated as not being in Great Britain'** has the meaning given by section 7;

**'personal pension scheme'** means—

(a) a personal pension scheme as defined by section 1 of the Pension Schemes Act 1993 as

amended by the Public Service Pension Act 2013;

(b) an annuity contractor trust scheme approved under section 20 or 21 of the Income and Corporation Taxes Act 1988 or a substituted contract within the meaning of section 622(3) or that Act which is treated as having become a registered pension scheme by virtue of paragraph 1(1)(f) of Schedule 36 of the Finance Act 2004;

(c) a personal pension scheme approved under Chapter 4 of Part 14 of the Income and Corporation Taxes Act 1988 which is treated as having become a registered pension scheme by virtue of paragraph 1(1)(g) of Schedule 36 to the Finance Act 2004;

**'policy of life insurance'** means any instrument by which the payment of money is assured on death (except death by accident only) or the happening of any contingency dependent on human life, or any instrument evidencing a contract which is subject to payment of premiums for a term dependent on human life;

**'polygamous marriage'** means a marriage to which section 133(1) of the Act refers namely;

(a) a person is a husband or wife by virtue of a marriage entered into under law which permits polygamy; and

(b) either party to the marriage has for the time being any spouse additional to the other party.

**'public authority'** includes any person certain of whose functions are functions of a public nature;

**'qualifying age for state pension credit'** means (in accordance with section 1(2)(b) and (6) of the State Pension Credit Act 2002)–

(a) in the case of a woman, pensionable age; or

(b) in the case of a man, the age which is pensionable age in the case of a woman born on the same day as the man;

**'qualifying contributory benefit'** means;

(a) severe disablement allowance;

(b) incapacity benefit;

(c) contributory employment and support allowance;

**'qualifying course'** means a qualifying course as defined for the purposes of Parts 2 and 4 of the Job Seeker's Allowance Regulations 1996

**'qualifying income-related benefit'** means;

(a) income support;

(b) income-based jobseeker's allowance;

(c) income-related employment and support allowance;

**'qualifying person'** means a person in respect of whom payment has been made from the Fund, the Eileen Trust, MFET Limited, the Skipton Fund, the Caxton Foundation, or the London Bombings Relief Charitable Fund;

**'reduction week'** means a period of 7 consecutive days commencing upon a Monday and ending on a Sunday;

**'relative'** means a close relative, grandparent, grandchild, uncle, aunt, nephew, or niece;

**'relevant authority'** means an authority administering council tax reduction;

**'relevant week'** In relation to any particular day, means the week within which the day in question falls;

**'resident'** has the meaning it has in Part 1 or 2 of the 1992 Act;

**'self-employed earner'** is to be construed in accordance with section 2(1)(b) of the Act;

**'self-employment route'** means assistance in pursuing self-employed earner's employment whilst participating in–

(a) an employment zone programme;

(b) a programme provided or other arrangements made pursuant to section 2 of the 1973 Act (functions of the Secretary of State) or section 2 of the Enterprise and New Towns (Scotland) Act 1990 (functions in relation to training for employment, etc.);

(c) the Employment, Skills, and Enterprise Scheme;

(d) a scheme prescribed in regulation 3 of the Jobseeker's Allowance (Schemes for Assisting Persons to Obtain Employment) Regulations 2013;

(e) Back to Work scheme.

**'single applicant'** means an applicant who neither has a partner nor is a lone parent;



**‘the Skipton Fund’** means the ex-gratia payment scheme administered by the Skipton Fund Limited, incorporated on 25th March 2004, for the benefit of certain persons suffering from hepatitis C and other persons eligible for payment in accordance with the scheme’s provisions.

**‘special account’** means an account as defined for the purposes of Chapter 4A of Part 8 of the Jobseeker’s Allowance Regulations or Chapter 5 of Part 10 of the Employment and Support Allowance Regulations;

**‘sports award’** means an award made by one of the Sports Councils named in section 23(2) of the National Lottery etc. Act 1993 out of sums allocated to it for distribution under that section;

**‘the SSCBA’** means the Social Security Contributions and Benefits Act 1992

**‘State Pension Credit Act’** means the State Pension Credit Act 2002;

**‘student’** has the meaning prescribed in section 43;

**‘subsistence allowance’** means an allowance which an employment zone contractor has agreed to pay to a person who is participating in an employment zone programme;

**‘the Tax Credits Act’** means the Tax Credits Act 2002;

**‘tax year’** means a period beginning with 6th April in one year and ending with 5th April in the next;

**‘training allowance’** means an allowance (whether by way of periodical grants or otherwise) payable—

(a) out of public funds by a Government department or by or on behalf of the Secretary of State, Skills Development Scotland, Scottish Enterprise or Highlands and Islands Enterprise, the Young People’s Learning Agency for England, the Chief Executive of Skills Funding or Welsh Ministers;

(b) to a person for his maintenance or in respect of a member of his family; and

(c) for the period, or part of the period, during which he is following a course of training or instruction provided by, or in pursuance of arrangements made with, the department or approved by the department in relation to him or so provided or approved by or on behalf of the Secretary of State, Skills Development Scotland Scottish Enterprise or Highlands and Islands Enterprise or the Welsh Ministers.

It does not include an allowance paid by any Government department to or in respect of a person by reason of the fact that he is following a course of full-time education, other than under arrangements made under section 2 of the 1973 Act or is training as a teacher;

**‘the Trusts’** means the Macfarlane Trust, the Macfarlane (Special Payments) Trust and the Macfarlane (Special Payments) (No. 2) Trust;

**‘Universal Credit’** means any payment of Universal Credit payable under the Welfare Reform Act 2012, the Universal Credit Regulations 2013, The Universal Credit (Consequential, Supplementary, Incidental and Miscellaneous Provisions) Regulations 2013, Universal Credit (Miscellaneous Amendments) Regulations 2013 and the Universal Credit (Transitional Provisions) Regulations 2014;

**‘Up-rating Act’** means the Welfare Benefit Up-rating Act 2013, the Welfare Benefits Up-rating Order 2014, and the Welfare Benefits Up-rating Order 2015;

**‘voluntary organisation’** means a body, other than a public or local authority, the activities of which are carried on otherwise than for profit;

**‘war disablement pension’** means any retired pay or pension or allowance payable in respect of disablement under an instrument specified in section 639(2) of the Income Tax (Earnings and Pensions) Act 2003;

**‘war pension’** means a war disablement pension, a war widow’s pension, or a war widower’s pension;

**‘war widow’s pension’** means any pension or allowance payable to a woman as a widow under an instrument specified in section 639(2) of the Income Tax (Earnings and Pensions) Act 2003 in respect of the death or disablement of any person;

**‘war widower’s pension’** means any pension or allowance payable to a man as a widower or to a surviving civil partner under an instrument specified in section 639(2) of the Income Tax (Earnings and Pensions) Act 2003 in respect of the death or disablement of any person;

**‘water charges’** means;

(a) as respects England and Wales, any water and sewerage charges under Chapter 1 of Part 5 of the Water Industry Act 1991,

(b) as respects Scotland, any water and sewerage charges established by Scottish Water under

a charges scheme made under section 29A of the Water Industry (Scotland) Act 2002, in so far as such charges are in respect of the dwelling which a person occupies as his home;

**'week'** means a period of seven days beginning with a Monday;

**'Welfare Reform Act'** means the Welfare Reform Act 2007;

**'Working Tax Credit Regulations'** means the Working Tax Credit (Entitlement and Maximum Rate) Regulations 2002 as amended.

- 2.2 In this policy, where an amount is to be rounded to the nearest penny, a fraction of a penny shall be disregarded if it is less than half a penny and shall otherwise be treated as a whole penny.
- 2.3 For the purpose of this policy, a person is on an income-based jobseeker's allowance on any day in respect of which an income-based jobseeker's allowance is payable to him and on any day;
- (a) in respect of which he satisfies the conditions for entitlement to an income-based jobseeker's allowance but where the allowance is not paid in accordance with regulation 27A of the Jobseeker's Allowance Regulations or section 19 or 20A or regulations made under section 17A of the Jobseekers Act (circumstances in which a jobseeker's allowance is not payable); or
  - (b) which is a waiting day for the purposes of paragraph 4 of Schedule 1 to that Act and which falls immediately before a day in respect of which an income-based jobseeker's allowance is payable to him or would be payable to him but for regulation 27A of the Jobseeker's Allowance Regulations or section 19 or 20A or regulations made under section 17A of that Act;
  - (c) in respect of which he is a member of a joint-claim couple for the purposes of the Jobseekers Act and no joint-claim jobseeker's allowance is payable in respect of that couple as a consequence of either member of that couple being subject to sanctions for the purposes of section 20A of that Act;
  - (d) in respect of which an income-based jobseeker's allowance or a joint-claim jobseeker's allowance would be payable but for a restriction imposed pursuant to section 6B, 7, 8 or 9 of the Social Security Fraud Act 2001 (loss of benefit provisions).
- 2.4 For the purposes of this policy, a person is on an income-related employment and support allowance on any day in respect of which an income-related employment and support allowance is payable to him and on any day;
- (a) in respect of which he satisfies the conditions for entitlement to an income-related employment and support allowance but where the allowance is not paid in accordance with section 18 of the Welfare Reform Act disqualification; or
  - (b) which is a waiting day for the purposes of paragraph 2 of Schedule 2 to that Act and which falls immediately before a day in respect of which an income-related employment and support allowance is payable to him or would be payable to him but for section 18 of that Act.
- 2.5 For the purposes of this policy, two persons shall be taken to be estranged only if their estrangement constitutes a breakdown of the relationship between them.
- 2.6 In this policy, references to any person in receipt of state pension credit includes a person who would be in receipt of state pension credit but for regulation 13 of the State Pension Credit Regulations 2002 (small amounts of state pension credit).

### **3.0 Requirement to provide a National Insurance Number**

- 3.1 No person shall be entitled to reduction unless the criteria below in 3.2 is satisfied in relation both to the person making the claim and to any other person in respect of whom he is claiming reduction.
- 3.2 This subsection is satisfied in relation to a person if—
- (a) the claim for reduction is accompanied by;

- i. a statement of the person's national insurance number and information or evidence establishing that that number has been allocated to the person; or
  - ii. information or evidence enabling the national insurance number that has been allocated to the person to be ascertained; or
- (b) the person makes an application for a national insurance number to be allocated to him which is accompanied by information or evidence enabling such a number to be so allocated and the application for reduction is accompanied by evidence of the application and information to enable it to be allocated.

**3.3 Paragraph 3.2 shall not apply—**

- (a) in the case of a child or young person in respect of whom council tax reduction is claimed;
- (b) to a person who;
  - i. is a person in respect of whom a claim for council tax reduction is made;
  - ii. is subject to immigration control within the meaning of section 115(9)(a) of the Immigration and Asylum Act;
  - iii. is a person from abroad for the purposes of this scheme; and
  - iv. has not previously been allocated a national insurance number.

**4.0 Persons who have attained the qualifying age for state pension credit.**

**4.1 This scheme applies to a person if:**

- (i) he has not attained the qualifying age for state pension credit; or
- (ii) he has attained the qualifying age for state pension credit and he, or if he has a partner, his partner, is;
  - (a) a person on income support, on income-based jobseeker's allowance or an income-related employment and support allowance; or
  - (b) a person with an award of universal credit.

**4.2** For the purpose of this scheme an award of universal credit shall be disregarded where regulation 60A of the Universal Credit (Transitional Provisions) Regulations 2014 applies in respect of the award.

**5.0 Persons treated as not being in Great Britain and Persons Subject to Immigration Control**

**Persons treated as not being in Great Britain**

**5.1** Persons treated as not being in Great Britain are a class of person prescribed for the purposes of paragraph 2(9)(b) of Schedule 1A to the 1992 Act and which must not be included in an authority's scheme.

**5.2** Except where a person falls within paragraph (5) or (6), a person is to be treated as not being in Great Britain if the person is not habitually resident in the United Kingdom, the Channel Islands, the Isle of Man, or the Republic of Ireland.

**5.3** A person must not be treated as habitually resident in the United Kingdom, the Channel Islands, the Isle of Man, or the Republic of Ireland unless the person has a right to reside in one of those places.

**5.4** For the purposes of paragraph (3), a right to reside does not include a right, which exists by virtue of, or in accordance with—

- (a) regulation 13 of the EEA Regulations;
- (aa) regulation 14 of the EEA Regulations, but only in a case where the right exists under that regulation because the person is—
  - (i) a jobseeker for the purpose of the definition of "qualified person" in regulation 6(1) of those Regulations, or
  - (ii) a family member (within the meaning of regulation 7 of those Regulations) of such a jobseeker;

- (b) regulation 15A(1) of the EEA Regulations, but only in a case where the right exists under that regulation because the applicant satisfies the criteria in paragraph (5) of that regulation of the Treaty on the Functioning of the European Union (in a case where the right to reside arises because a British citizen would otherwise be deprived of the genuine enjoyment of their rights as a European Union citizen).

5.4A For the purposes of paragraph (3), a right to reside does not include a right which exists by virtue of a person having been granted limited leave to enter, or remain in, the United Kingdom under the Immigration Act 1971 by virtue of—

- (a) (Removed by the Council Tax Reductions Schemes (Prescribed Requirements) (England) (Amendment) Regulations 2021
- (b) Appendix EU to the immigration rules made under section 3(2) of that Act;
- (c) being a person with a Zambrano right to reside as defined in Annex 1 of Appendix EU to the immigration rules made under section 3(2) of that Act; or
- (d) having arrived in the United Kingdom with an entry clearance that was granted under Appendix EU (Family Permit) to the immigration rules made under section 3(2) of that Act.

5.4B Paragraph (5A)(b) does not apply to a person who—

- (a) has a right to reside granted by virtue of being a family member of a relevant person of Northern Ireland; and
- (b) would have a right to reside under the EEA Regulations if the relevant person of Northern Ireland were an EEA national, provided that the right to reside does not fall within paragraph (4)(a) or (b)

5.5 A person falls within this paragraph if the person is—

- (za) a person granted leave in accordance with the immigration rules made under section 3(2) of the Immigration Act 1971, where such leave is granted by virtue of—
  - (i) the Afghan Relocations and Assistance Policy; or
  - (ii) the previous scheme for locally employed staff in Afghanistan (sometimes referred to as the ex-gratia scheme);
- (zb) a person in Great Britain not coming within sub-paragraph (za) or (e) who left Afghanistan in connection with the collapse of the Afghan government that took place on 15th August 2021;
- (zc) a person in Great Britain who was residing in Ukraine immediately before 1st January 2022, left Ukraine in connection with the Russian invasion which took place on 24th February 2022 and—
  - (i) has been granted leave in accordance with immigration rules made under section 3(2) of the Immigration Act 1971;
  - (ii) has a right of abode in the United Kingdom within the meaning given in section 2 of that Act; or
  - (iii) does not require leave to enter or remain in the United Kingdom in accordance with section 3ZA of that Act;
- (zd) a person who was residing in Israel, the West Bank, the Gaza Strip, East Jerusalem, the Golan Heights, or Lebanon immediately before 7th October 2023, left Israel, the West Bank, the Gaza Strip, East Jerusalem, the Golan Heights, or Lebanon in connection with the Hamas terrorist attack in Israel on 7th October 2023 or the violence which rapidly escalated in the region following the attack and—
  - (i) has been granted leave in accordance with immigration rules made under section 3(2) of the Immigration Act 1971,
  - (ii) has a right of abode in the United Kingdom within the meaning given in section 2 of that Act, or
  - (iii) does not require leave to enter or remain in the United Kingdom in accordance with section 3ZA of that Act;
- (ze) a person who was residing in Sudan before 15th April 2023, left Sudan in connection with the violence which rapidly escalated on 15th April 2023 in Khartoum and across Sudan and—

(i) has been granted leave in accordance with immigration rules made under section 3(2) of the Immigration Act 1971;  
(ii) has a right of abode in the United Kingdom within the meaning given in section 2 of that Act; or  
(iii) does not require leave to enter or remain in the United Kingdom in accordance with section 3ZA of that Act

- (a) a qualified person for the purposes of regulation 6 of the EEA Regulations as a worker or a self-employed person;
- (b) a family member of a person referred to in sub-paragraph (a);
- (c) a person who has a right to reside permanently in the United Kingdom by virtue of regulation 15(1)(c), (d) or (e) of the EEA Regulations;
- (ca) a family member of a relevant person of Northern Ireland, with a right to reside which falls within paragraph (4A)(b), provided that the relevant person of Northern Ireland falls within paragraph (5)(a), or would do so but for the fact that they are not an EEA national;
- (cb) a frontier worker within the meaning of regulation 3 of the Citizens’ Rights (Frontier Workers) (EU Exit) Regulations 2020;
- (cc) a family member of a person referred to in sub-paragraph (cb), who has been granted limited leave to enter, or remain in, the United Kingdom by virtue of Appendix EU to the immigration rules made under section 3(2) of the Immigration Act 1971
- (d) a person recorded by the Secretary of State as a refugee within the definition in Article 1 of the Convention relating to the Status of Refugees done at Geneva on 28th July 1951, as extended by Article 1(2) of the Protocol relating to the Status of Refugees done at New York on 31st January 1967;
- (e) a person who has been granted, or who is deemed to have been granted, leave outside the rules made under section 3(2) of the Immigration Act 1971
- (f) a person who has humanitarian protection granted under those rules;
- (g) a person who is not a person subject to immigration control within the meaning of section 115(9) of the Immigration and Asylum Act 1999 and who is in the United Kingdom as a result of his deportation, expulsion, or other removal by compulsion of law from another country to the United Kingdom;
- (h) in receipt of income support or on an income-related employment and support allowance; or
- (ha) in receipt of an income-based jobseeker’s allowance and has a right to reside other than a right to reside falling within paragraph (4).

5.6 A person falls within this paragraph if the person is a Crown servant or member of His Majesty’s forces posted overseas.

5.7 A person mentioned in sub-paragraph (6) is posted overseas if the person is performing overseas the duties of a Crown servant or member of His Majesty’s forces and was, immediately before the posting or the first of consecutive postings, habitually resident in the United Kingdom.

5.8 In this regulation—  
**“claim for asylum”** has the same meaning as in section 94(1) of the Immigration and Asylum Act 1999;  
**“Crown servant”** means a person holding an office or employment under the Crown;  
**“EEA Regulations”** means the Immigration (European Economic Area) Regulations 2006; and the Immigration (European Economic Area) (Amendment) (No. 2) Regulations 2014 and references to the EEA Regulations are to be read with Schedule 4 to the Immigration and Social Security Co-ordination (EU Withdrawal) Act 2020 (Consequential, Saving, Transitional and Transitory Provisions) Regulations 2020  
**“EEA national”** has the meaning given in regulation 2(1) of the EEA Regulations;  
**“family member”** has the meaning given in regulation 7(1)(a), (b) or (c) of the EEA Regulations, except that regulation 7(4) of the EEA Regulations does not apply for the purposes of paragraphs (4B) and (5)(ca);

**“His Majesty’s forces”** has the same meaning as in the Armed Forces Act 2006; and **“relevant person of Northern Ireland”** has the meaning given in Annex 1 of Appendix EU to the immigration rules made under section 3(2) of the Immigration Act 1971.

#### **Persons subject to immigration control**

- 5.9 Persons subject to immigration control are a class of person prescribed for the purposes of paragraph 2(9)(b) of Schedule 1A to the 1992 Act and which must not be included in an authority’s scheme.
- 5.10 A person who is a national of a state which has ratified the European Convention on Social and Medical Assistance (done in Paris on 11th December 1953) or a state which has ratified the Council of Europe Social Charter (signed in Turin on 18th October 1961) and who is lawfully present in the United Kingdom is not a person subject to immigration control for the purpose of paragraph 5.9.
- 5.11 **“Person subject to immigration control”** has the same meaning as in section 115(9) of the Immigration and Asylum Act 1999.

#### **6.0 Transitional provision**

- 6.1 The above does not apply to a person who, on 31st March 2015—
- (a) is liable to pay council tax at a reduced rate by virtue of a council tax reduction under an authority’s scheme established under section 13A (2) of the Act; and
  - (b) is entitled to an income-based jobseeker’s allowance, until the first of the events in paragraph 6.2 occurs.
- 6.2 The events are—
- (a) the person makes a new application for a reduction under an authority’s scheme established under section 13A (2) of the Act; or
  - (b) the person ceases to be entitled to an income-based jobseeker’s allowance.
- 6.3 In this section “the Act” means the Local Government Finance Act 1992.

#### **7.0 Temporary Absence (period of absence)**

- 7.1 A person is not absent from a dwelling in relation to any day which falls within a period of temporary absence from that dwelling.
- 7.2 In sub-paragraph (1), a “period of temporary absence” means—
- (a) a period of absence not exceeding 13 weeks, beginning with the first whole day on which a person resides in residential accommodation in Great Britain where and for so long as—
    - (i) the person resides in that accommodation;
    - (ii) the part of the dwelling in which he usually resided is not let or sub-let; and
    - (iii) that period of absence does not form part of a longer period of absence from the dwelling of more than 52 weeks, where he has entered the accommodation for the purpose of ascertaining whether it suits his needs and with the intention of returning to the dwelling if it proves not to suit his needs;
  - (b) subject to sub-paragraph (2B), a period of absence within Great Britain not exceeding 13 weeks, beginning with the first whole day of absence from the dwelling, where and for so long as—
    - (i) the person intends to return to the dwelling;
    - (ii) the part of the dwelling in which he usually resided is not let or sub-let; and
    - (iii) that period is unlikely to exceed 13 weeks;
  - (c) a period of absence not exceeding 52 weeks, beginning with the first whole day of that absence, where and for so long as—
    - (i) the person intends to return to the dwelling;

- (ii) the part of the dwelling in which he usually resided is not let or sub-let;
- (iii) the person is a person to whom sub-paragraph (3) applies; and
- (iv) subject to sub-paragraph (2D), a period of absence within Great Britain is unlikely to exceed 52 weeks or, in exceptional circumstances, is unlikely substantially to exceed that period and;

(d) subject to sub-paragraphs (2F), (3C), (3E) and (3G) and where sub-paragraph (2E) applies, a period of absence outside Great Britain not exceeding 4 weeks, beginning with the first day of that absence from Great Britain where and for so long as— (i) the person intends to return to the dwelling; (ii) the part of the dwelling in which he usually resides is not let or sub-let; and (iii) the period of absence from Great Britain is unlikely to exceed 4 weeks;

7.2A The period of 13 weeks referred to in sub-paragraph (2)(b) shall run or continue to run during any period of absence from Great Britain.

7.2B Where—

- (a) a person returns to Great Britain after a period of absence from Great Britain (period A);
  - (b) that person has been absent from the dwelling, including any absence within Great Britain, for less than 13 weeks beginning with the first day of absence from that dwelling; and
  - (c) at the outset of, or during, period A, period A ceased to be treated as a period of temporary absence,
- then any day that follows period A and precedes the person's return to the dwelling, shall not be treated as a period of temporary absence under sub-paragraph (2)(b).

7.2C The period of 52 weeks referred to in sub-paragraph (2)(c) shall run or continue to run during any period of absence from Great Britain.

7.2D Where —

1. a person returns to Great Britain after a period of absence from Great Britain (period A);
  2. that person has been absent from the dwelling, including any absence within Great Britain, for less than 52 weeks beginning with the first day of absence from that dwelling; and
  3. at the outset of, or during, period A, period A ceased to be treated as a period of temporary absence,
- then, any day that follows period A and precedes the person's return to the dwelling, shall not be treated as a period of temporary absence under sub-paragraph (2)(c).

7.2E This sub-paragraph applies where—

1. a person is temporarily absent from Great Britain;
2. immediately before that period of absence from Great Britain, the person was not absent from the dwelling.

7.2F If the temporary absence referred to in sub-paragraph (2)(d) is in connection with the death of—

1. the person's partner or a child or young person for whom the person or the person's partner is responsible;
2. the person's close relative;
3. the close relative of the person's partner; or
4. the close relative of a child or young person for whom the person or the person's partner is responsible,

then the period of 4 weeks in the opening words of sub-paragraph (2)(d) may be extended by up to 4 further weeks if the relevant authority considers it unreasonable to expect the person to return to Great Britain within the first 4 weeks (and the reference in subparagraph (iii) of that paragraph to a period of 4 weeks shall, where the period is extended, be taken as referring to the period as so extended).”;

7.3 This sub-paragraph applies to a person who—

- (a) is a person to whom sub-paragraph (3A) applies;

- (i) in a dwelling, other than the dwelling referred to in sub-paragraph (1), or
- (ii) in premises approved under section 13 of the Offender Management Act 2007, or is detained in custody pending sentence upon conviction;
- (b) is resident in a hospital or similar institution as a patient;
- (c) is undergoing, or whose partner or dependent child is undergoing medical treatment, or medically approved convalescence, in accommodation other than residential accommodation;
- (d) is following a training course;
- (e) is undertaking medically approved care of a person;
- (f) is undertaking the care of a child whose parent or guardian is temporarily absent from the dwelling normally occupied by that parent or guardian for the purpose of receiving medically approved care or medical treatment;
- (g) is receiving medically approved care provided in accommodation other than residential accommodation;
- (h) is a student;
- (i) is receiving care provided in residential accommodation and is not a person to whom subparagraph (2)(a) applies; or
- (j) has left the dwelling he resides in through fear of violence, in that dwelling, or by a person who was formerly a member of the family of the person first mentioned.

- 7.3A This sub-paragraph applies to a person (“P”) who is—
- (a) detained in custody on remand pending trial;
  - (b) detained pending sentence upon conviction; or
  - (c) as a condition of bail required to reside—
    - (i) in a dwelling, other than a dwelling P occupies as P’s home; or
    - (ii) in premises approved under section 13 of the Offender Management Act 2007(a), and who is not also detained in custody following sentence upon conviction.
- 7.3B This sub-paragraph applies where—
- (a) a person is temporarily absent from Great Britain;
  - (b) the person is a member of His Majesty’s forces posted overseas, a mariner or a continental shelf worker;
  - (c) immediately before that period of absence from Great Britain, the person was not absent from the dwelling.
- 7.3C Where sub-paragraph (3B) applies, a period of absence from Great Britain not exceeding 26 weeks, beginning with the first day of absence from Great Britain, shall be treated as a period of temporary absence where and for so long as—
- (a) the person intends to return to the dwelling;
  - (b) the part of the dwelling in which he usually resided is not let or sub-let;
  - (c) the period of absence from Great Britain is unlikely to exceed 26 weeks.
- 7.3D This sub-paragraph applies where—
- (a) a person is temporarily absent from Great Britain;
  - (b) the person is a person described in any of paragraphs (b), (c), (g) or (j) of subparagraph (3);
  - (c) immediately before that period of absence from Great Britain, the person was not absent from the dwelling.
- 7.3E Where sub-paragraph (3D) applies, a period of absence from Great Britain not exceeding 26 weeks, beginning with the first day of absence from Great Britain, shall be treated as a period of temporary absence where and for so long as—
- (a) the person intends to return to the dwelling;
  - (b) the part of the dwelling in which he usually resided is not let or sub-let;
  - (c) the period of absence is unlikely to exceed 26 weeks, or in exceptional circumstances, is unlikely substantially to exceed that period.
- 7.3F This sub-paragraph applies where—



- (a) a person is temporarily absent from Great Britain;
- b) the person is a person described in any of paragraphs (a), (d), (e), (f), (h) or (i) of sub-paragraph (3);
- (c) immediately before that period of absence from Great Britain, the person was not absent from the dwelling.

7.3G Where sub-paragraph (3F) applies, a period of absence from Great Britain not exceeding 4 weeks, beginning with the first day of absence from Great Britain, shall be treated as a period of temporary absence where and for so long as—

- (a) the person intends to return to the dwelling;
- (b) the part of the dwelling in which he usually resided is not let or sub-let;
- (c) the period of absence is unlikely to exceed 4 weeks, or in exceptional circumstances, is unlikely substantially to exceed that period.

7.4 This sub-paragraph applies to a person who is—

- (a) detained in custody pending sentence upon conviction or under a sentence imposed by a court (other than a person who is detained in hospital under the provisions of the Mental Health Act 1983, or, in Scotland, under the provisions of the Mental Health (Care and Treatment) (Scotland) Act 2003 or the Criminal Procedure (Scotland) Act 1995; and
- (b) on temporary release from detention in accordance with Rules made under the provisions of the Prison Act 1952 or the Prisons (Scotland) Act 1989.

7.5 Where sub-paragraph (4) applies to a person, then, for any day when he is on temporary release—

- (a) if such temporary release was immediately preceded by a period of temporary absence under sub-paragraph (2)(b) or (c), he must be treated, for the purposes of sub-paragraph (1), as if he continues to be absent from the dwelling, despite any return to the dwelling;
- (b) for the purposes of sub-paragraph (3)(a), he must be treated as if he remains in detention;
- (c) if he does not fall within paragraph (a), he is not to be considered to be a person who is liable to pay council tax in respect of a dwelling of which he is a resident.

7.6 In this paragraph—

**“continental shelf worker”** means a person who is employed, whether under a contract of service or not, in a designated area or a prescribed area in connection with any of the activities mentioned in section 11(2) of the Petroleum Act 1998(a);

**“designated area”** means any area which may from time to time be designated by Order in Council under the Continental Shelf Act 1964(b) as an area within which the rights of the United Kingdom with respect to the seabed and subsoil and their natural resources may be exercised;

**“mariner”** means a person who is employed under a contract of service either as a master or member of the crew of any ship or vessel, or in any other capacity on board any ship or vessel, where—

- (a) the employment in that capacity is for the purposes of that ship or vessel or its crew or any passengers or cargo or mails carried by the ship or vessel; and
- (b) the contract is entered into in the United Kingdom with a view to its performance (in whole or in part) while the ship or vessel is on its voyage;

**“medically approved”** means certified by a medical practitioner;

**“member of His Majesty’s forces posted overseas”** means a person who is a member of the regular forces or the reserve forces (within the meaning of section 374 of the Armed Forces Act 2006(c)), who is absent from the main dwelling because the person has been posted outside of Great Britain to perform the duties of a member of His Majesty’s regular forces or reserve forces;” and

**“patient”** means a person who is undergoing medical or other treatment as an in-patient in any hospital or similar institution;

**“prescribed area”** means any area over which Norway or any member State (other than the United Kingdom) exercises sovereign rights for the purpose of exploring the seabed and subsoil and exploiting their natural resources, being an area outside the territorial seas of

Norway or such member State, or any other area which is from time to time specified under section 10(8) of the Petroleum Act 1998;

**“residential accommodation”** means accommodation which is provided in—

- (a) a care home;
- (b) an independent hospital;
- (c) an Abbeyfield Home; or
- (d) an establishment managed or provided by a body incorporated by Royal Charter or constituted by Act of Parliament other than a local social services authority;

**“training course”** means a course of training or instruction provided wholly or partly by or on behalf of or in pursuance of arrangements made with, or approved by or on behalf of, Skills Development Scotland, Scottish Enterprise, Highlands and Islands Enterprise, a government department, or the Secretary of State.

#### **Transitional provision**

7.7 Subject to paragraph (8), the provision shall not apply in respect of a person who is temporarily absent from Great Britain on 1st April 2017 until the day that person returns to Great Britain.

7.8 Paragraph (7) does not apply to a person who, on 1st April 2017, is temporarily absent from Great Britain and is—

- (a) a member of His Majesty’s forces posted overseas;
- (b) absent in the capacity of a continental shelf worker; or
- (c) absent in the capacity of a mariner.

7.9 In this section—

**“continental shelf worker”** means a person who is employed, whether under a contract of service or not, in a designated area or a prescribed area in connection with any of the activities mentioned in section 11(2) of the Petroleum Act 1998;

**“designated area”** means any area which may from time to time be designated by Order in Council under the Continental Shelf Act 1964 as an area within which the rights of the United Kingdom with respect to the seabed and subsoil and their natural resources may be exercised;

**“mariner”** means a person who is employed under a contract of service either as a master or member of the crew of any ship or vessel, or in any other capacity on board any ship or vessel, where—

- (a) the employment in that capacity is for the purposes of that ship or vessel or its crew or any passengers or cargo or mails carried by the ship or vessel; and
- (b) the contract is entered into in the United Kingdom with a view to its performance (in whole or in part) while the ship or vessel is on its voyage;

**“member of His Majesty’s forces posted overseas”** means a person who is a member of the regular forces or the reserve forces (within the meaning of section 374 of the Armed Forces Act 2006), who is absent from the dwelling that the person normally occupies as his home because the person has been posted outside of Great Britain to perform the duties of a member of His Majesty’s regular forces or reserve forces; and

**“prescribed area”** means any area over which Norway or any member State (other than the United Kingdom) exercises sovereign rights for the purpose of exploring the seabed and subsoil and exploiting their natural resources, being an area outside the territorial seas of Norway or such member State, or any other area which is from time to time specified under section 10(8) of the Petroleum Act 1998.

#### **8.0 Membership of a family**

8.1 Within the reduction scheme adopted by the Council ‘family’ means;

- (a) a married or unmarried couple;
- (b) married or unmarried couple and a member of the same household for whom one of them is or both are responsible and who is a child or a young person;
- (c) two people of the same sex who are civil partners of each other and are members of

- the same household (with or without children);
- (d) two people of the same sex who are not civil partners of each other but are living together as if they were civil partners (with or without children),
- (e) and for the purposes of sub-paragraph (d) two people of the same sex are to be regarded as living together as if they were civil partners if, but only if, they would be regarded as living together as husband and wife were they instead two people of the opposite sex;
- (f) except in prescribed circumstances, a person who is not a member of a married or unmarried couple and a member of the same household for whom that person is responsible and who is a child or a young person;

For the purposes of the scheme a child is further defined as a 'child or young person'  
 A 'child' means a person under the age of 16 and a 'Young Person' is someone aged 16 or over but under 20 and who satisfies other conditions. These conditions are:

- they are aged 16, have left 'relevant education' or training, and 31 August following the sixteenth birthday has not yet been passed;
- they are aged 16 or 17, have left education or training, are registered for work, education, or training, are not in remunerative work and are still within their 'extension period';
- they are on a course of full-time non-advanced education, or are doing 'approved training', and they began that education or training before reaching the age of 19;
- they have finished a course of full-time non-advanced education, but are enrolled on another such course (other than one provided as a result of their employment);
- they have left 'relevant education' or 'approved training' but have not yet passed their 'terminal date'.

- 8.2 Paragraph 8.1 the definition of child or young person shall not apply to a person who is;
- (a) on income support;
  - (b) an income-based jobseeker's allowance or an income related employment and support allowance; or be entitled to an award of Universal Credit; or
  - (c) a person to whom section 6 of the Children (Leaving Care) Act 2000 applies.

8.3 The definition also includes a child or young person in respect of whom there is an entitlement to child benefit but only for the period that Child Benefit is payable.

**9.0 Circumstances in which a person is to be treated as responsible (or not responsible) for a child or young person.**

9.1 Subject to the following paragraphs a person shall be treated as responsible for a child or young person who is normally living with him and this includes a child or young person.

9.2 Where a child or young person spends equal amounts of time in different households, or where there is a question as to which household he is living in, the child or young person shall be treated for the purposes of paragraph 9.1 as normally living with;

- a. the person who is receiving child benefit in respect of him; or
- b. if there is no such person;
  - i. where only one claim for child benefit has been made in respect of him, the person who made that claim; or
  - ii. in any other case the person who has the primary responsibility for him.

9.3 For the purposes of this scheme a child or young person shall be the responsibility of only one person in any reduction week and any person other than the one treated as responsible for the child or young person under this section shall be treated as not so responsible.

**10.0 Circumstances in which a child or young person is to be treated as being or not being a member of the household.**

10.1 Subject to paragraphs 10.2 and 10.3, the applicant and any partner and, where the applicant or his partner is treated as responsible for a child or young person, that child or young person and any child of that child or young person, shall be treated as members of the same household notwithstanding that any of them is temporarily absent from that household.

10.2 A child or young person shall not be treated as a member of the applicant's household where he is;

- (a) placed with the applicant or his partner by a local authority under section 23(2)(a) of the Children Act 1989 or by a voluntary organisation under section 59(1)(a) of that Act, or in Scotland boarded out with the applicant or his partner under a relevant enactment; or
- (b) placed with the applicant or his partner prior to adoption; or
- (c) placed for adoption with the applicant or his partner in accordance with the Adoption and Children Act 2002.

10.3 Subject to paragraph (4), paragraph (1) shall not apply to a child or young person who is not living with the applicant and he—

- (a) is being looked after by, or in Scotland is in the care of, a local authority under a relevant enactment; or
- (b) has been placed, or in Scotland boarded out, with a person other than the applicant prior to adoption; or
- (c) has been placed for adoption in accordance with the Adoption and Children Act 2002 or the Adoption Agencies (Scotland) Regulations 2009; or in accordance with an adoption allowance scheme made under section 71 of the Adoption and Children (Scotland) Act 2007 (adoption allowances schemes).

10.4 The authority shall treat a child or young person to whom paragraph (3a) applies as being a member of the applicant's household in any reduction week where;

- (a) that child or young person lives with the applicant for part or all of that reduction week; and
- (b) the authority considers that it is responsible to do so taking into account the nature and frequency of that child's or young person's visits.

10.5 In this paragraph 'relevant enactment' means the Army Act 1955, the Air Force Act 1955, the Naval Discipline Act 1957, the Matrimonial Proceedings (Children) Act 1958, the Social Work (Scotland) Act 1968, the Family Law Reform Act 1969, the Children and Young Persons Act 1969, the Matrimonial Causes Act 1973, the Children Act 1975, the Domestic Proceedings and Magistrates' Courts Act 1978, the Adoption and Children (Scotland) Act 1978, the Family Law Act 1986, the Children Act 1989, the Children (Scotland) Act 1995 and the Legal Aid, Sentencing and Punishment of Offenders Act 2012 as amended.

**11.0 Calculation of income and capital of members of applicant's family and of a polygamous marriage**

11.1 The income and capital of an applicant's partner within this scheme and for the purposes of claiming council tax reduction is to be treated as income and capital of the applicant and shall be calculated or estimated in accordance with the following provisions in like manner as for the applicant; and any reference to the 'applicant' shall, except where the context otherwise requires be construed for the purposes of this scheme as if it were a reference to his partner.

11.2 Where an applicant or the partner of is married polygamously to two or more members of his household—

- (a) the applicant shall be treated as possessing capital and income belonging to each such member; and

(b) the income and capital of that member shall be calculated in accordance with the following provisions of this scheme in like manner as for the applicant.

11.3 The income and capital of a child or young person shall not be treated as the income and capital of the applicant.

**12.0 Calculation of income and capital: persons who have an award of universal credit.**

12.1 Any universal credit new claim notification received by the authority may be used as a claim for reduction or in the assessment of council tax reduction including data received from the Secretary of State where the applicant no longer qualifies for a universal credit award.

12.2 In determining the income of an applicant:  
(a) who has, or  
(b) who (jointly with his partner) has,  
an award of universal credit the authority may use the calculation or estimate of the income of the applicant, or the applicant and his partner jointly (as the case may be), made by the Secretary of State for the purpose of determining the award of universal credit. The authority may use any other assessment based on the information provided by the Secretary of State.

12.3 The authority may adjust the amount referred to in sub-paragraph (2) to take account of  
(a) income consisting of the award of universal credit;  
(b) any sum to be disregarded in the calculation of earnings;  
(c) any sum to be disregarded in the calculation of income other than earnings; and  
(d) any sum determined by the authority as the proportion of housing costs award;

12.4 The amount for the award of universal credit is to be determined by multiplying the amount of the award by 12 and dividing the product by 52.

12.5 In determining the capital of an applicant;  
(a) who has, or  
(b) who (jointly with his partner) has,  
an award of universal credit, the authority must use the calculation or estimate of the capital of the applicant, or the applicant and his partner jointly (as the case may be), made by the Secretary of State for the purpose of determining that award.

**13.0 Calculation of income on a weekly basis**

13.1 For the purposes of this scheme the income of an applicant shall be calculated on a weekly basis by estimating the amount which is likely to be his average weekly income.

**14.0 Average weekly earnings of employed earners.**

14.1 Where an applicant's income consists of earnings from employment as an employed earner his average weekly earnings shall be estimated by the authority by reference to his actual earnings over a period determined by the authority as reasonable. This period will not exceed 52 weeks.

14.2 Where the applicant is recently employed and cannot furnish the appropriate evidence, the authority may require the applicant's employer to furnish an estimate of the applicant's likely weekly earnings over such period as the authority may require and the applicant's average weekly earnings shall be estimated by reference to that estimate.

14.3 Where the amount of an applicant's earnings changes during an award the authority shall estimate his average weekly earnings by reference to his likely earnings from the employment over such period as is appropriate in order that his average weekly earnings may be estimated accurately.

## **15.0 Average weekly earnings of self-employed earners**

15.1 Where an applicant's income consists of earnings from employment as a self-employed earner his average weekly earnings shall be estimated by reference to his earnings from that employment over such period as is appropriate in order that his average weekly earnings may be estimated accurately. This period shall not exceed 52 weeks.

### **15A.0 Minimum Income Floor**

15A.1 Where no start up period (as defined within 15A.2) applies to the applicant or partner, the income used by the Council in the calculation of their award will be the gross amount declared by the applicant or a substituted amount whichever is the higher. This substituted amount shall not be less than 35 hours multiplied by the national living wage (or national minimum wage as appropriate) From that, the Council will deduct only an estimate for tax, national insurance and a pension contribution (where a pension contribution is being made).

15A.2 The Council shall determine an appropriate start up period for the employment activity being conducted by the applicant or partner. This will normally be one year from the date of commencement of the employment activity. During this period, no Minimum Income Floor shall be applied. The start-up period ends where the person is no longer in gainful self-employment.

15A.3 Where an applicant or partner holds a position in a company that is analogous to that of a sole owner or partner in the business of that company, he shall be treated as if he were such sole owner or partner and in such a case be subject to the substituted amount where appropriate.

15A.4 No start-up period may be applied in relation to an applicant where a start-up period has previously been applied, whether in relation to a current or previous award of a Council Tax Reduction.

15A.5 In order to establish whether to award a start up period, the applicant must satisfy the Council that the employment is:

- Genuine and effective. The Council must be satisfied that the employment activity is being conducted; and
- Being conducted with the intention of increasing the income received to the level that would be conducive with that form of employment.

15A.6 For the purposes of determining whether an applicant is in gainful self-employment or meets the conditions for a start up-period, the Council will require the applicant to provide such evidence or information that it reasonably requires to make that decision, the Council may also require the self-employed person to attend an interview for the purpose of establishing whether the employment is gainful or whether the conditions for a start-up period are met.

15A.7 Where the applicant satisfies the authority that, based on his or her circumstances, there are good reasons that a Minimum Income Floor should not apply, the authority may, at its discretion, determine that no Minimum Income Floor applies to that particular award of Council Tax Reduction.

## **16.0 Average weekly income other than earnings**

16.1 An applicant's income which does not consist of earnings shall be estimated over such period as is appropriate in order that his average weekly income may be estimated accurately. Such period shall not exceed 52 weeks.

## **17.0 Calculation of average weekly income from tax credits**

17.1 Where this section applies, the period over which a tax credit is to be taken into account shall be the period set out in paragraph (2)

- 17.2 Where the instalment in respect of which payment of a tax credit is made is;
- (a) a daily instalment, the period is 1 day, being the day in respect of which the instalment is paid;
  - (b) a weekly instalment, the period is 7 days, ending on the day on which the instalment is due to be paid;
  - (c) a two-weekly instalment, the period is 14 days, commencing 6 days before the day on which the instalment is due to be paid;
  - (d) a four-weekly instalment, the period is 28 days, ending on the day on which the instalment is due to be paid.

17.3 For the purposes of this section 'tax credit' means child tax credit or working tax credit.

#### **18.0 Calculation of weekly income**

- 18.1 For the purposes of this scheme where the period in respect of which a payment is made;
- (a) does not exceed a week, the weekly amount shall be the amount of that payment;
  - (b) exceeds a week, the weekly amount shall be determined—
    - i. in a case where that period is a month, by multiplying the amount of the payment by 12 and dividing the product by 52;
    - ii. in any other case, by dividing the amount of the payment by the number equal to the number of days in the period to which it relates and multiplying the quotient by 7.

18.2 The weekly amount of earnings of an applicant shall be determined by dividing his earnings over the assessment period by the number equal to the number of days in that period and multiplying the quotient by 7.

#### **19.0 Earnings of employed earners.**

- 19.1 Earnings means in the case of employment as an employed earner, any remuneration or profit derived from that employment and includes—
- (a) any bonus or commission;
  - (b) any payment in lieu of remuneration except any periodic sum paid to an applicant on account of the termination of his employment by reason of redundancy;
  - (c) any payment in lieu of notice or any lump sum payment intended as compensation for the loss of employment but only in so far as it represents loss of income;
  - (d) any holiday pay except any payable more than 4 weeks after termination or interruption of the employment;
  - (e) any payment by way of a retainer;
  - (f) any payment made by the applicant's employer in respect of expenses not wholly, exclusively, and necessarily incurred in the performance of the duties of the employment, including any payment made by the applicant's employer in respect of—
    - (g) (i) travelling expenses incurred by the applicant between his home and his place of employment;
    - (ii) expenses incurred by the applicant under arrangements made for the care of a member of his family owing to the applicant's absence from home;
  - (h) any award of compensation made under section 112(4) or 117(3)(a) of the Employment Rights Act 1996 (remedies and compensation for unfair dismissal);
  - (i) any payment or remuneration made under section 28, 34, 64, 68 or 70 of the Employment Rights Act 1996 (right to guarantee payments, remuneration on suspension on medical or maternity grounds, complaints to employment tribunals);
  - (j) any such sum as is referred to in section 112 of the Act (certain sums to be earnings for social security purposes);
  - (k) any statutory sick pay, statutory maternity pay, statutory paternity pay or statutory adoption pay, or a corresponding payment under any enactment having effect in Northern Ireland;

- (l) any remuneration paid by or on behalf of an employer to the applicant who for the time being is on maternity leave, paternity leave or adoption leave or is absent from work because he is ill;
- (m) the amount of any payment by way of a non-cash voucher which has been taken into account in the computation of a person's earnings in accordance with Part 5 of Schedule 3 to the Social Security (Contributions) Regulations 2001 as amended.

19.2 Earnings shall not include—

- (a) any payment in kind;
- (b) any payment in respect of expenses wholly, exclusively, and necessarily incurred in the performance of the duties of employment;
- (c) any occupational pension

**20.0 Calculation of net earnings of employed earners.**

20.1 For the purposes of this scheme, the earnings of an applicant derived or likely to be derived from employment as an employed earner to be taken into account shall be his net earnings.

20.2 There shall be disregarded from an applicant's (or their partner's) net earnings, £25 per week. This shall apply irrespective of the applicant's household and only one disregard shall be applied per claim.

20.3 Net earnings shall be calculated by taking into account the gross earnings of the applicant from that employment over the assessment period, less;

- (a) any amount deducted from those earnings by way of
  - i) income tax;
  - ii) primary Class 1 National Insurance contributions
- (b) one-half of any sum paid by the applicant by way of a contribution towards an occupational pension scheme;
- (c) one-half of the amount calculated in accordance with paragraph 20.5 in respect of any qualifying contribution payable by the applicant; and

20.4 In this section 'qualifying contribution' means any sum which is payable periodically as a contribution towards a personal pension scheme.

20.5 The amount in respect of any qualifying contribution shall be calculated by multiplying the daily amount of the qualifying contribution by the number equal to the number of days in the assessment period; and for the purposes of this section the daily amount of the qualifying contribution shall be determined—

- (a) where the qualifying contribution is payable monthly, by multiplying the amount of the qualifying contribution by 12 and dividing the product by 365;
- (b) in any other case, by dividing the amount of the qualifying contribution by the number equal to the number of days in the period to which the qualifying contribution relates.

20.6 Where the earnings of an applicant are estimated an appropriate estimate of net earnings shall be determined in line with paragraph (3) above.

**21.0 Earnings of self-employed earners**

21.1 'Earnings', in the case of employment as a self-employed earner, means the gross income of the employment

21.2 'Earnings' shall not include any payment in respect of a person accommodated with the applicant under arrangements made by a local authority or voluntary organisation and payments made to the applicant by a health authority, local authority, or voluntary organisation in respect of persons temporarily in the applicant's care nor shall it include any sports award.



- 21.3 This paragraph applies to–
- (a) royalties or other sums paid as a consideration for the use of, or the right to use, any copyright, design, patent, or trademark; or
  - (b) any payment in respect of any–
    - (i) book registered under the Public Lending Right Scheme 1982; or
    - (ii) work made under any international public lending right scheme that is analogous to the Public Lending Right Scheme 1982, where the applicant is the first owner of the copyright, design, patent or trademark, or an original contributor to the book of work concerned.

## **22.0 Calculation of net profit of self-employed earners**

- 22.1 For the purposes of this scheme the earnings of an applicant to be taken into account shall be:
- (a) in the case of a self-employed earner who is engaged in employment on his own account, the net profit derived from that employment;
  - (b) in the case of a self-employed earner whose employment is carried on in partnership or is that of a share fisherman within the meaning of the Social Security (Mariners' Benefits) Regulations 1975, his share of the net profit derived from that employment, less–
    - i. an amount in respect of income tax and of national insurance contributions payable under this scheme; and
    - ii. one-half of the amount calculated in accordance with paragraph (11) in respect of any qualifying premium.
- 22.2 There shall be disregarded from an applicant's (or their partner's) net earnings, £25 per week per claim.
- 22.3 The net profit of the employment must be calculated by taking into account the earnings for the employment over the assessment period less:
- (a) any expenses wholly and exclusively incurred in that period for the purposes of that employment;
  - (b) an amount in respect of;
    - i. income tax, and
    - ii. national insurance contributions payable calculated in accordance with section 22; and
    - iii. one-half of the amount calculated in accordance with paragraph (11) in respect of any qualifying premium.
- 22.4 For the purposes of paragraph (1b) the net profit of the employment shall be calculated by taking into account the earnings of the employment over the assessment period less, any expenses wholly and exclusively incurred in that period for the purposes of the employment.
- 22.5 No deduction shall be made under paragraph (3 a) or (4), in respect of–
- (a) any capital expenditure;
  - (b) the depreciation of any capital asset;
  - (c) any sum employed or intended to be employed in the setting up or expansion of the employment;
  - (d) any loss incurred before the beginning of the assessment period;
  - (e) the repayment of capital on any loan taken out for the purposes of the employment;
  - (f) any expenses incurred in providing business entertainment, and
  - (g) any debts, except bad debts proved to be such, but this sub-paragraph shall not apply to any expenses incurred in the recovery of a debt.
- 22.6 A deduction shall be made under paragraph (3 a) or (4) in respect of the repayment of capital on any loan used for–
- (a) the replacement in the course of business of equipment or machinery; and
  - (b) the repair of an existing business asset except to the extent that any sum is payable under an insurance policy for its repair.

- 22.7 The authority shall refuse to make deduction in respect of any expenses where it is not satisfied given the nature and the amount of the expense that it has been reasonably incurred.
- 22.8 For the avoidance of doubt–
- (a) deduction shall not be made in respect of any sum unless it has been expended for the purposes of the business;
  - (b) a deduction shall be made thereunder in respect of–
    - i. the excess of any value added tax paid over value added tax received in the assessment period;
    - ii. any income expended in the repair of an existing business asset except to the extent that any sum is payable under an insurance policy for its repair;
    - iii. any payment of interest on a loan taken out for the purposes of the employment
- 22.9 Where an applicant is engaged in employment, as a child minder the net profit of the employment shall be one-third of the earnings of that employment, less an amount in respect of
- (a) income tax; and
  - (b) national insurance contributions calculated by the authority in line with 23.2;
  - (c) one-half of the amount any qualifying pension contribution in accordance with (11).
- 22.10 For the avoidance of doubt where an applicant is engaged in employment as a self-employed earner and he is also engaged in one or more other employments as a self-employed or employed earner any loss incurred in any one of his employments shall not be offset against his earnings in any other of his employments.
- 22.11 The amount in respect of any qualifying premium shall be calculated by multiplying the daily amount of the qualifying premium by the number equal to the number of days in the assessment period; and for the purposes of this section the daily amount of the qualifying premium shall be determined.
- (a) where the qualifying premium is payable monthly, by multiplying the amount of the qualifying premium by 12 and divided the product by 365;
  - (b) in any other case, by dividing the amount of the qualifying premium by the number equal to the number of days in the period to which the qualifying premium relates.
- 22.12 In this section, ‘qualifying premium’ means any premium which is payable periodically in respect of a personal pension scheme and is so payable on or after the date of claim.

### **23.0 Deduction of tax and contributions of self-employed earners**

- 23.1 The amount to be deducted in respect of income tax under section 22 shall be calculated on the basis of the amount of chargeable income and as if that income were assessable to income tax at the basic rate of tax applicable to the assessment period less only the personal relief to which the applicant is entitled under section 257(1) of the Income and Corporation Taxes Act 1988 (personal allowances) as is appropriate to his circumstances; but, if the assessment period is less than a year, the earnings to which the basic rate is to be applied and the amount of the personal reliefs deductible under this paragraph shall be calculated on a pro rata basis.
- 23.2 The amount to be deducted in respect of national insurance contributions under section shall be the total of–
- (a) the amount of Class 2 National Insurance contributions payable at the rate applicable to the assessment period except where the applicant’s chargeable income is less than the amount specified in section 11(4) of the Act (small profits threshold) for the tax year applicable to the assessment period; but if the assessment period is less than a year, the amount specified for that tax year shall be reduced pro rata; and
  - (b) the amount of Class 4 contributions (if any) which would be payable under section 15 of the Act (Class 4 contributions recoverable under the Income Tax Acts) at the

percentage rate applicable to the assessment period on so much of the chargeable income as exceeds the lower limit but does not exceed the upper limit of profits and gains applicable for the tax year applicable to the assessment period; but if the assessment period is less than a year, those limits shall be reduced pro rata.

- 23.3 In this section ‘chargeable income’ means–
- (a) the earnings derived from the employment less any expenses deducted under section 22;
  - (b) in the case of employment as a child minder, one-third of the earnings of that employment.

#### **24.0 Calculation of income other than earnings**

24.1 For the purposes of this scheme, the income of an applicant which does not consist of earnings to be taken into account shall be his gross income and any capital treated as income under section 25.

24.2 There shall be disregarded from the calculation of an applicant’s gross income any sum, where applicable, specified in Schedule 2.

24.3 Where the payment of any benefit under the benefit Acts is subject to any deduction by way of recovery the amount to be taken into account shall be the gross amount payable.

24.4 Where the applicant or, where he is a member of a couple, his partner is receiving a contributory employment and support allowance and that benefit has been reduced under regulation 63 of the Employment and Support Allowance Regulations, the amount of that benefit to be taken into account is the amount as if it had not been reduced.

24.5 Where an award of any working tax credit or child tax credit under the Tax Credits Act is subject to a deduction by way of recovery of an overpayment of working tax credit or child tax credit which arose in a previous tax year the amount to be taken into account shall be the amount of working tax credit or child tax credit awarded less the amount of that deduction.

24.6 ‘Tax year’ means a period beginning with 6th April in one year and ending with 5th April in the next.

24.7 Paragraphs (7),(8), (9) and (10) apply to any applicant who is a student. Paragraph (8) and (9) apply where a relevant payment has been made to a person in an academic year; and that person abandons, or is dismissed from, his course of study before the payment to him of the final instalment of the relevant payment.

24.8 Where a relevant payment is made quarterly, the amount of a relevant payment to be taken into account for the assessment period for the purposes of paragraph (1) in respect of a person to whom paragraph (7) applies, shall be calculated by applying the formula–

$$\frac{A - (B \times C)}{D}$$

D

Where:

A = the total amount of the relevant payment which that person would have received had he remained a student until he last day of the academic term in which he abandoned, or was dismissed from, his course;

B = the number of reduction weeks from the reduction week immediately following that which includes the first day of that academic year to the reduction week which includes the day on which the person abandoned, or was dismissed from, his course;

C = the weekly amount of the relevant payment, before the application of the £10 disregard, which would have been taken into account as income had the person not abandoned or been dismissed from, his course and, in the case of a person who was not entitled to council tax

reduction immediately before he abandoned or was dismissed from his course, had that person, at that time, been entitled to housing benefit;

D = the number of reduction weeks in the assessment period.

24.9 Where a relevant payment is made by two or more instalments in a quarter, the amount of a relevant payment to be taken into account for the assessment period for the purposes of paragraph (1) in respect of a person to whom paragraph (8) applies, shall be calculated by applying the formula in paragraph (8) but as if–

A = the total amount of relevant payments which that person received, or would have received, from the first day of the academic year to the day the person abandoned the course or was dismissed from it.

24.10 In this section– ‘academic year’ and ‘student loan’ shall have the same meanings as for the purposes of this scheme, ‘assessment period’ means–

(a) in a case where a relevant payment is made quarterly, the period beginning with the reduction week which includes the day on which the person abandoned, or was dismissed from, his course and ending with the reduction week which includes the last day of the last quarter for which an instalment of the relevant payment was payable to that person;

(b) in a case where the relevant payment is made by two or more instalments in a quarter, the period beginning with the reduction week which includes the day on which the person abandoned, or was dismissed from, his course and ending with the reduction week which includes–

i. the day immediately before the day on which the next instalment of the relevant payment would have been due had the payments continued; or

ii. the last day of the last quarter for which an instalment of the relevant payment was payable to that person.

whichever of those date is earlier;

‘quarter’ in relation to an assessment period means a period in that year beginning on;

(a) 1st January and ending on 31st March;

(b) 1st April and ending on 30th June;

(c) 1st July and ending on 31st August; or

(d) 1st September and ending on 31st December;

‘relevant payment’ means either a student loan or an amount intended for the maintenance of dependants.

## **25.0 Capital treated as income and Notional Income**

25.1 Any payment received under an annuity shall be treated as income.

25.2 Any earnings to the extent that they are not a payment of income shall be treated as income.

25.3 Any Career Development Loan paid pursuant to section 2 of the 1973 Act shall be treated as income.

25.4 Where an agreement or court order provides that payments shall be made to the applicant in consequence of any personal injury to the applicant and that such payments are to be made, wholly or partly, by way of periodic payments, any such periodic payments received by the applicant (but not a payment which is treated as capital), shall be treated as income.

25.6 An applicant shall be treated as possessing income of which he has deprived himself for the purpose of securing entitlement of reduction or increasing the amount of that reduction.

25.7 Except in the case of–

(a) a discretionary trust;

(b) a trust derived from a payment made in consequence of a personal injury;

(c) a personal pension scheme, occupational pension scheme or a payment made by the

Board of the Pension Protection Fund where the applicant has not attained the qualifying age for state pension credit;

- (d) rehabilitation allowance made under section 2 of the 1973 Act;
- (e) child tax credit; or
- (f) working tax credit,

any income which would become available to the applicant upon application being made, but which has not been acquired by him, shall be treated as possessed by the applicant but only from the date on which it could be expected to be acquired were an application made.

25.8 Any payment of income made–

- (a) to a third party in respect of a single applicant or a member of the family (but not a member of the third party's family) shall, where that payment is a payment of an occupational pension, a pension or other periodical payment made under or by a personal pension scheme or a payment made by the Board of the Pension Protection Fund, be treated as possessed by that single applicant or, as the case may be, by that member;
- (b) to a third party in respect of a single applicant or in respect of a member of the family (but not a member of the third party's family) shall, where it is not a payment referred to in sub-paragraph a), be treated as possessed by that single applicant or by that member to the extent that it is used for the food, ordinary clothing or footwear, household fuel or rent of that single applicant or, as the case may be, of any member of that family or is used for any council tax or water charges for which that applicant or member is liable;
- (c) to a single applicant or a member of the family in respect of a third party (but not in respect of another member of that family) shall be treated as possessed by that single applicant or, as the case may be, that member of the family to the extent that it is kept or used by him or used by or on behalf of any member of the family.

25.9 This section shall not apply in respect of a payment of income made–

- (a) under the Macfarlane Trust, the Macfarlane (Special Payments) Trust, the Macfarlane (Special Payments) (No. 2) Trust, the Fund, the Eileen Trust, MFET Limited, the Skipton Fund, the Caxton Foundation, or the Independent Living Fund (2006);
- (b) pursuant to section 19(1)(a) of the Coal Industry Act 1994 (concessionary coal);
- (c) pursuant to section 2 of the 1973 Act in respect of a person's participation–
  - (i) in an employment programme specified in regulation 75(1)(a)(ii) of the Jobseeker's Allowance Regulations;
  - (ii) in a training scheme specified in regulation 75(1)(b)(ii) of those Regulations;
  - (iii) in the Intense Activity Period specified in regulation 75(1)(a)(iv) of those Regulations;
  - (iv) in a qualifying course within the meaning specified in regulation 17A(7) of those Regulations or;
  - (v) in the Flexible New Deal specified in regulation 75(1)(a)(v) of those Regulations;
- (d) in respect of a previous participation in the Mandatory Work Activity Scheme;
- (e) under an occupational pension scheme, in respect of a pension or other periodical payment made under a personal pension scheme or a payment made by the Board of the Pension Protection Fund where–
  - (i) a bankruptcy order has been made in respect of the person in respect of whom the payment has been made or, in Scotland, the estate of that person is subject to sequestration or a judicial factor has been appointed on that person's estate under section 41 of the Solicitors (Scotland) Act 1980;
  - (ii) the payment is made to the trustee in bankruptcy or any other person acting on behalf of the creditors; and
  - (iii) the person referred to in (i) and any member of his family does not possess, or is not treated as possessing, any other income apart from that payment.

25.10 Where an applicant is in receipt of any benefit (other than council tax reduction) under the benefit Acts and the rate of that benefit is altered with effect from a date on or after 1st April

in any year but not more than 14 days thereafter, the authority shall treat the applicant as possessing such benefit at the altered rate from 1st April in that year.

25.11 Where—

- (a) applicant performs a service for another person; and
- (b) that person makes no payment of earnings or pays less than that paid for a comparable employment in the area, the authority shall treat the applicant as possessing such earnings (if any) as is reasonable for that employment unless the applicant satisfies the authority that the means of that person are insufficient for him to pay or to pay more for the service.

25.12 Paragraph (11) shall not apply—

- (a) to an applicant who is engaged by a charitable or voluntary organisation or who is a volunteer if the authority is satisfied in any of those cases that it is reasonable for him to provide those services free of charge; or
- (b) in a case where the service is performed in connection with—
  - (i) the applicant's participation in an employment or training programme in accordance with regulation 19(1)(q) of the Jobseeker's Allowance Regulations, other than where the service is performed in connection with the applicant's participation in the Intense Activity Period specified in regulation 75(1)(a)(iv) of those Regulations or
  - (ii) the applicant's or the applicant's partner's participation in an employment or training programme as defined in regulation 19(3) of those Regulations for which a training allowance is not payable or, where such an allowance is payable, it is payable for the sole purpose of reimbursement of travelling or meal expenses to the person participating in that programme ; or
- (c) to an applicant who is participating in a work placement approved by the Secretary of State (or a person providing services to the Secretary of State) before the placement starts.

25.13 'Work placement' means practical work experience which is not undertaken in expectation of payment.

25.14 Where an applicant is treated as possessing any income under this section, the foregoing provisions of this scheme shall apply for the purposes of calculating the amount of that income as if a payment has actually been made and as if it were actual income which he does possess.

25.15 Where an applicant is treated as possessing any earnings under this section his net earnings shall be calculated by taking into account those earnings which he is treated as possessing, less;

- (a) an amount in respect of income tax equivalent to an amount calculated by applying to those earnings the starting rate or, as the case may be, the starting rate and the basic rate of tax applicable to the assessment period less only the personal relief to which the applicant is entitled under sections 257(1) of the Income and Corporation Taxes Act 1988 (personal allowances) as is appropriate to his circumstances; but, if the assessment period is less than a year, the earnings to which the starting rate of tax is to be applied and the amount of the personal relief deductible under this subparagraph shall be calculated on a pro rate basis;
- (b) an amount equivalent to the amount of the primary Class 1 National Insurance contributions that would be payable by him in respect of those earnings if such contributions were payable; and
- (c) one-half of any sum payable by the applicant by way of a contribution towards an occupational or personal pension scheme.

## **26.0 Capital limit**

26.1 For the purposes of this scheme, the prescribed amount is £10,000 and no reduction shall be granted when the applicant has an amount greater than this level.

## **27.0 Calculation of capital**

27.1 For the purposes of this scheme, the capital of an applicant to be taken into account shall, subject to paragraph (2), be the whole of his capital calculated in accordance with this scheme and any income treated as capital under this scheme.

27.2 There shall be disregarded from the calculation of an applicant's capital under paragraph (1), any capital, where applicable, specified in Schedule 3.

## **28.0 Disregard of capital of child and young person**

28.1 The capital of a child or young person who is a member of the applicant's family shall not be treated as capital of the applicant.

## **29.0 Income treated as capital.**

29.1 Any bounty derived from employment and paid at intervals of at least one year shall be treated as capital.

29.2 Any amount by way of a refund of income tax deducted from profits or emoluments chargeable to income tax under Schedule D or E shall be treated as capital.

29.3 Any holiday pay which is not earnings shall be treated as capital.

29.4 Any income derived from capital shall be treated as capital but only from the date it is normally due to be credited to the applicant's account.

29.5 In the case of employment as an employed earner, any advance of earnings or any loan made by the applicant's employer shall be treated as capital.

29.6 Any charitable or voluntary payment which is not made or due to be made at regular intervals, other than a payment which is made under or by the Trusts, the Fund, the Eileen Trust, MFET Limited, the Skipton Fund, the Caxton Foundation, the Independent Living Fund (2006) or the London Bombings Charitable Relief Fund, shall be treated as capital.

29.7 There shall be treated as capital the gross receipts of any commercial activity carried on by a person in respect of which assistance is received under the self-employment route, but only in so far as those receipts were payable into a special account during the period in which that person was receiving such assistance.

29.8 Any arrears of subsistence allowance which are paid to an applicant as a lump sum shall be treated as capital.

29.9 Any arrears of working tax credit or child tax credit shall be treated as capital.

## **30.0 Calculation of capital in the United Kingdom**

30.1 Capital which an applicant possesses in the United Kingdom shall be calculated at its current market or surrender value less—

- a. where there would be expenses attributable to the sale, 10 per cent.; and
- b. the amount of any encumbrance secured on it;

### **31.0 Calculation of capital outside the United Kingdom**

31.1 Capital which an applicant possesses in a country outside the United Kingdom shall be calculated:

(a) in a case where there is no prohibition in that country against the transfer to the United Kingdom of an amount equal to its current market or surrender value in that country, at that value.

(b) in a case where there is such a prohibition, at the price which it would realise if sold in the United Kingdom to a willing buyer, less, where there would be expenses attributable to sale, 10 per cent. and the amount of any encumbrances secured on it.

### **32.0 Notional capital**

32.1 An applicant shall be treated as possessing capital of which he has deprived himself for the purpose of securing entitlement to council tax reduction or increasing the amount of that reduction except to the extent that that capital is reduced in accordance with section 33.

32.2 Except in the case of

(a) a discretionary trust; or

(b) a trust derived from a payment made in consequence of a personal injury; or

(c) any loan which would be obtained only if secured against capital disregarded under Schedule 3; or

(d) a personal pension scheme, occupational pension scheme or a payment made by the Board of the Pension Protection Fund; or

(e) any sum to Schedule 3 refers; or

(f) child tax credit; or

(g) working tax credit,

any capital which would become available to the applicant upon application being made, but which has not been acquired by him, shall be treated as possessed by him but only from the date on which it could be expected to be acquired were an application made.

32.3 Any payment of capital, other than a payment of capital specified in paragraph (4), made:

(a) to a third party in respect of a single applicant or a member of the family (but not a member of the third party's family) shall, where that payment is a payment of an occupational pension, a pension or other periodical payment made under a personal pension scheme or a payment made by the Board of the Pension Protection Fund, be treated as possessed by that single applicant or, as the case may be, by that member;

(b) to a third party in respect of a single applicant or in respect of a member of the family (but not a member of the third party's family) shall, where it is not a payment referred to in subparagraph (a), be treated as possessed by that single applicant or by that member to the extent that it is used for the food, ordinary clothing or footwear, household fuel or rent of that single applicant or, as the case may be, of any member of that family or is used for any council tax or water charges for which that applicant or member is liable;

(c) to a single applicant or a member of the family in respect of a third party (but not in respect of another member of that family) shall be treated as possessed by that single applicant or, as the case may be, that member of the family to the extent that it is kept or used by him or used by or on behalf of any member of the family.

32.4 Paragraph 32.3 shall not apply in respect of a payment of capital made:

(a) under or by any of the Trusts, the Fund, the Eileen Trust, MFET Limited, the Independent Living Fund (2006), the Skipton Fund, the Caxton Foundation, or the London Bombings Relief Charitable Fund;

(b) pursuant to section 2 of the 1973 Act in respect of a person's participation:

i. in an employment programme specified in regulation 75(1)(a)(ii) of the Jobseeker's Allowance Regulations;



- ii. in a training scheme specified in regulation 75(1)(b)(ii) of those Regulations;
- iii. in the Intense Activity Period specified in regulation 75(1)(a)(iv) of those Regulations;
- iv. in a qualifying course within the meaning specified in regulation 17A(7) of those Regulations; or
- v. in the Flexible New Deal specified in regulation 75(1)(a)(v) of those Regulations;
- (c) in respect of a person's participation in the Mandatory Work Activity Scheme;
- (d) Enterprise Scheme;
- (e) in respect of an applicant's participation in the Employment, Skills, and Enterprise Scheme or Back to Work Scheme;
- (f) under an occupational pension scheme, in respect of a pension or other periodical payment made under a personal pension scheme or a payment made by the Board of the Pension Protection Fund where—
  - vi. a bankruptcy order has been made in respect of the person in respect of whom the payment has been made or, in Scotland, the estate of that person is subject to sequestration or a judicial factor has been appointed on that person's estate under section 41 of the Solicitors (Scotland) Act 1980;
  - vii. the payment is made to the trustee in bankruptcy or any other person acting on behalf of the creditors; and
  - viii. the person referred to in (i) and any member of his family does not possess, or is not treated as possessing, any other income apart from that payment.

32.5 Where an applicant stands in relation to a company in a position analogous to that of a sole owner or partner in the business of that company, he may be treated as if he were such sole owner or partner and in such a case:

- (a) the value of his holding in that company shall be disregarded; and
- (b) he shall be treated as possessing an amount of capital equal to the value or, as the case may be, his share of the value of the capital of that company and the foregoing provisions of this Section shall apply for the purposes of calculating that amount as if it were actual capital which he does possess.

32.6 For so long as the applicant undertakes activities in the course of the business of the company, the amount which, he is treated as possessing under paragraph (5) shall be disregarded.

32.7 Where an applicant is treated as possessing capital under any of paragraphs (1) and (2) the foregoing provisions of this Section shall apply for the purposes of calculating its amount as if it were actual capital, which he does possess.

### **33.0 Diminishing notional capital rule.**

33.1 Where an applicant is treated as possessing notional capital the amount which he is treated as possessing shall be reduced by the amount calculated by the authority as the weekly amount of council tax reduction lost due to the inclusion of the notional capital within the calculation.

33.2 The authority will reduce any notional capital at a frequency of 13 weeks.

### **34.0 Capital jointly held.**

34.1 Where an applicant and one or more persons are beneficially entitled in possession to any capital asset they shall be treated as if each of them were entitled in possession to the whole beneficial interest therein in an equal share and the foregoing provisions of this Section shall apply for the purposes of calculating the amount of capital which the applicant is treated as possessing as if it were actual capital which the applicant does possess.

### **35.0 Students - Student related definitions**

35.1 In this scheme the following definitions apply;  
 'academic year' means the period of twelve months beginning on 1st January 1st April 1st July

or 1st September according to whether the course in question begins in the winter, the spring, the summer, or the autumn respectively but if students are required to begin attending the course during August or September and to continue attending through the autumn, the academic year of the course shall be considered to begin in the autumn rather than the summer;

**'access funds'** means;

- (a) grants made under section 68 of the Further and Higher Education Act 1992 for the purpose of providing funds on a discretionary basis to be paid to students;
- (b) grants made under section 73(a) and (c) and 74(1) of the Education (Scotland) Act 1980;
- (c) grants made under Article 30 of the Education and Libraries (Northern Ireland) Order 1993 or grants, loans or other payments made under Article 5 of the Further Education (Northern Ireland) Order 1997 in each case being grants, or grants, loans or other payments as the case may be, for the purpose of assisting students in financial difficulties;
- (d) discretionary payments, known as "learner support funds", which are made available to students in further education by institutions out of funds provided by the Secretary of State under section 14 of the Education Act 2002 or the Chief Executive of Skills Funding under sections 100 and 101 of the Apprenticeships, Skills, Children and Learning Act 2009; or
- (e) Financial Contingency Funds made available by the Welsh Ministers;

**'college of further education'** means a college of further education within the meaning of Part 1 of the Further and Higher Education (Scotland) Act 1992;

**'contribution'** means;

- (a) any contribution in respect of the income of a student or any person which the Secretary of State, the Scottish Ministers or an education authority takes into account in ascertaining the amount of a student's grant or student loan; or
- (b) any sums, which in determining the amount of a student's allowance or bursary in Scotland under the Education (Scotland) Act 1980, the Scottish Ministers or education authority takes into account being sums which the Scottish Ministers or education authority consider that it is reasonable for the following person to contribute towards the holder's expenses;
  - (i) the holder of the allowance or bursary;
  - (ii) the holder's parents;
  - (iii) the holder's parent's spouse, civil partner or a person ordinarily living with the holder's parent as if he or she were the spouse or civil partner of that parent; or
  - (iv) the holder's spouse or civil partner;

**'course of study'** means any course of study, whether or not it is a sandwich course and whether or not a grant is made for attending or undertaking it;

**'covenant income'** means the gross income payable to a full-time student under a Deed of Covenant by his parent;

**'education authority'** means a government department, a local education authority as defined in section 12 of the Education Act 1996 (interpretation), a local education authority as defined in section 123 of the Local Government (Scotland) Act 1973 an education and library board established under Article 3 of the Education and Libraries (Northern Ireland) Order 1986, any body which is a research council for the purposes of the Science and Technology Act 1965 or any analogous government department, authority, board or body of the Channel Island, Isle of Man or any other country outside Great Britain;

**'full-time course of study'** means a full time course of study which;

- (a) is not funded in whole or in part by the Secretary of State under section 14 of the Education Act 2002, the Chief Executive of Skills Funding or by the Welsh Ministers or a full-time course of study which is not funded in whole or in part by the Scottish Ministers at a college of further education or a full-time course of study which is a course of higher education and is funded in whole or in part by the Scottish Ministers;
- (b) is funded in whole or in part by the Secretary of State under section 14 of the Education Act 2002, the Chief Executive of Skills Funding or by the Welsh Ministers if it involves more than 16 guided learning hours per week for the student in question, according to the number of guided learning hours per week for that student set out—

(i) in the case of a course funded by the Secretary of State under section 14 of the Education Act 2002 or the Chief Executive of Skills Funding, in the student's learning agreement signed on behalf of the establishment which is funded by either of those persons for the delivery of that course; or

(ii) in the case of a course funded by the Welsh Ministers, in a document signed on behalf of the establishment which is funded by that Council for the delivery of that course; or

(c) is not higher education and is funded in whole or in part by the Scottish Ministers at a college of further education and involves—

(i) more than 16 hours per week of classroom-based or workshop-based programmed learning under the direct guidance of teaching staff according to the number of hours set out in a document signed on behalf of the college; or

(ii) 16 hours or less per week of classroom-based or workshop-based programmed learning under the direct guidance of teaching staff and additional hours using structured learning packages supported by the teaching staff where the combined total of hours exceeds 21 hours per week, according to the number of hours set out in a document signed on behalf of the college;

**'full-time student'** means a person attending or undertaking a full-time course of study and includes a student on a sandwich course;

**'grant'** means any kind of educational grant or award and includes any scholarship, studentship, exhibition allowance or bursary;

**'grant income'** means:

(a) any income by way of a grant;

(b) any contribution whether or not it is paid;

**'higher education'** means higher education within the meaning of Part 2 of the Further and Higher Education (Scotland) Act 1992; 'last day of the course' means;

(a) in the case of a qualifying course, the date on which the last day of that course falls or the date on which the final examination relating to that course is completed, whichever is the later;

(b) in any other case, the date on which the last day of the final academic term falls in respect of the course in which the student is enrolled;

**'period of study'** means—

(a) in the case of a course of study for one year or less, the period beginning with the start of the course and ending with the last day of the course;

(b) in the case of a course of study for more than one year, in the first or, as the case may be, any subsequent year of the course, other than the final year of the course, the period beginning with the start of the course or, as the case may be, the year's start and ending with either—

(i) the day before the start of the next year of the course in a case where the student's grant or loan is assessed at a rate appropriate to his studying throughout the year, or, if he does not have a grant or loan, where a loan would have been assessed at such a rate had he had one; or

(ii) in any other case, the day before the start of the normal summer vacation appropriate to his course;

(c) in the final year of a course of study of more than one year, the period beginning with that year's start and ending with the last day of the course;

**'periods of experience'** means periods of work experience which form part of a sandwich course;

**'qualifying course'** means a qualifying course as defined for the purposes of Parts 2 and 4 of the Jobseeker's Allowance Regulations;

**'modular course'** means a course of study which consists of two or more modules, the successful completion of a specified number of which is required before a person is considered by the educational establishment to have completed the course.

**'sandwich course'** has the meaning prescribed in regulation 2(9) of the Education (Student Support) Regulations 2008, regulation 4(2) of the Education (Student Loans), (Scotland), Regulations 2007 or regulation 2(8) of the Education (Student Support) Regulations (Northern Ireland) 2007, as the case may be;

**‘standard maintenance grant’** means–

- (a) except where paragraph (b) or (c) applies, in the case of a student attending or undertaking a course of study at the University of London or an establishment within the area comprising the City of London and the Metropolitan Police District, the amount specified for the time being in paragraph 2(2)(a) of Schedule 2 to the Education (Mandatory Awards) Regulations 2003 (‘the 2003 Regulations’) for such a student;
- (b) except where paragraph (c) applies, in the case of a student residing at his parent’s home, the amount specified in paragraph 3 thereof;
- (c) in the case of a student receiving an allowance or bursary under the Education (Scotland) Act 1980, the amount of money specified as ‘standard maintenance allowance’ for the relevant year appropriate for the student set out in the Student Support in Scotland Guide issued by the student Awards Agency for Scotland, or its nearest equivalent in the case of a bursary provided by a college of further education or a local education authority;
- (d) in any other case, the amount specified in paragraph 2(2) of Schedule 2 to the 2003 Regulations other than in sub-paragraph (a) or (b) thereof;

**‘student’** means a person, other than a person in receipt of a training allowance, who is attending or undertaking–

- (a) a course of study at an educational establishment; or
- (b) a qualifying course;

**‘student’ loan’** means a loan towards a student’s maintenance pursuant to any regulations made under section 22 of the Teaching and Higher Education Act 1998, section 73 of the Education (Scotland) Act 1980 or Article 3 of the Education (Student Support) (Northern Ireland) Order 1998 and shall include, in Scotland, a young student’s bursary paid under regulation 4(1)(c) of the Student’s Allowances (Scotland) Regulations 2007

35.2 For the purposes of the definition of ‘full-time student’, a person shall be regarded as attending or, as the case may be, undertaking a full-time course of study or as being on a sandwich course:

- (a) in the case of a person attending or undertaking a part of a modular course which would be a full-time course of study for the purposes of this Part, for the period beginning on the day on which that part of the course starts and ending:
  - (i) on the last day on which he is registered with the educational establishment as attending or undertaking that part as a full-time course of study; or
  - (ii) on such earlier date (if any) as he finally abandons the course or is dismissed from it;
- (b) in any other case, throughout the period beginning on the date on which he starts attending or undertaking the course and ending on the last day of the course or on such earlier date (if any) as he finally abandons it or is dismissed from it.

35.3 For the purposes of sub-paragraph (a) of paragraph 43.2, the period referred to in that sub-paragraph shall include;

- (a) where a person has failed examinations or has failed to successfully complete a module relating to a period when he was attending or undertaking a part of the course as a full-time course of study, any period in respect of which he attends or undertakes the course for the purpose of retaking those examinations or that module;
- (b) any period of vacation within the period specified in that paragraph or immediately following that period except where the person has registered with the educational establishment to attend or undertake the final module in the course and the vacation immediately follows the last day on which he is required to attend or undertake the course.

### **36.0 Students who are excluded from entitlement to council tax reduction.**

36.1 Students (except those define in paragraph (3)) are not able to claim Council tax reduction under Classes D of the authority’s reduction scheme.

36.2 To be eligible for reduction, the student must be liable for Council Tax under Section 6 of the Local Government Finance Act 1992 and they must not be deemed to be a full-time student or

a person from abroad within the meaning of section 7 of this scheme (persons from abroad).

36.3 Paragraph 36.2 shall not apply to a student:

- (a) who is a person on income support, an income-based jobseeker's allowance or an income-related employment and support allowance;
- (b) who is a lone parent;
- (c) who is in receipt of a Personal Independence Payment;
- (d) who has a partner who is also a full-time student, if he or that partner is treated as responsible for a child or young person;
- (e) (who is a single applicant with whom a child is placed by a local authority or voluntary organisation within the meaning of the Children Act 1989),
- (f) who is;
  - (i) aged under 21 and whose course of study is not a course of higher education, or
  - (ii) a qualifying young person or child within the meaning of section 142 of the Act (child and qualifying young person);
- (g) in respect of whom
  - i) a supplementary requirement has been determined under paragraph 9 of Part 2 of Schedule 2 to the Education (Mandatory Awards) Regulations 2003;
  - (ii) an allowance, or as the case may be, bursary has been granted which includes a sum under paragraph (1)(d) or regulation 4 of the Students' Allowances (Scotland) Regulations 1999 or, as the case may be, under paragraph (1)(d) of regulation 4 of the Education Authority (Bursaries) (Scotland) Regulations 1995, in respect of expenses incurred;
  - (iii) a payment has been made under section 2 of the Education Act 1962 or under or by virtue of regulations made under the Teaching and Higher Education Act 1998;
  - (iv) a grant has been made under regulation 13 of the Education (Student Support) Regulations 2005 or under regulation 13 of the Education (Student Support) Regulations (Northern Ireland) 2000; oron account of his disability by reason of deafness.

36.4 For the purposes of paragraph (3)(f)(i) the student must have begun or been enrolled or accepted onto the course before attaining the age of 19.

36.5 The reference to a course of higher education is a reference to a course of any description mentioned in Schedule 6 to the Education Reform Act 1988.

36.6 An intercalating student may be eligible for a reduction if the following circumstances are met:

- (a) at any time during an academic year, with the consent of the relevant educational establishment, he ceases to attend or undertake a course because he is;
  - (i) engaged in caring for another person; or
  - (ii) ill;
- (b) he has subsequently ceased to be engaged in caring for that person or, as the case may be, he has subsequently recovered from that illness; and
- (c) he is not eligible for a grant or a student loan in respect of the period specified in paragraph (7).

36.7 The period specified for the purposes of paragraph (6) is the period, not exceeding one year, beginning on the day on which he ceased to be engaged in caring for that person or, as the case may be, the day on which he recovered from that illness and ending on the day before;

- (a) the day on which he resumes attending or undertaking the course; or
  - (b) the day from which the relevant educational establishment has agreed that he may resume attending or undertaking the course,
- which shall first occur.

### **37.0 Students - Calculation of grant income**

37.1 The amount of a student's grant income to be taken into account shall, subject to paragraphs (2) and (3), be the whole of his grant income.

37.2 There shall be excluded from a student's grant income any payment;

- (a) intended to meet tuition fees or examination fees;
- (b) in respect of the student's disability;
- (c) intended to meet additional expenditure connected with term time residential study away from the student's educational establishment;
- (d) on account of the student maintaining a home at a place other than that at which he resides during his course;
- (e) on account of any other person but only if that person is residing outside of the United Kingdom and there is no applicable amount in respect of him;
- (f) intended to meet the cost of books and equipment;
- (g) intended to meet travel expenses incurred as a result of his attendance on the course;
- (h) intended for the childcare costs of a child dependant.
- (i) of higher education bursary for care leavers made under Part III of the Children Act 1989.

37.3 Where a student does not have a student loan and is not treated as possessing such a loan, there shall be excluded from the student's grant income;

- (a) the sum of £303 per academic year in respect of travel costs; and
- (b) the sum of £390 per academic year towards the costs of books and equipment, whether or not any such costs are incurred.

The above amounts shall be adjusted annually in line with the Housing Benefit Regulations 2006.

37.4 There shall also be excluded from a student's grant income the grant for dependants known as the parents' learning allowance paid pursuant to regulations made under Article 3 of the Education (Student Support) (Northern Ireland) Order 1998 or section 22 of the Teaching and Higher Education Act 1998.

37.5 Subject to paragraphs (6) and (7), a student's grant income shall be apportioned;

- (a) subject to paragraph (8), in a case where it is attributable to the period of study, equally between the weeks in that period beginning with the reduction week, the first day of which coincides with, or immediately follows the first day of the period of study and ending with the reduction week, the last day of which coincides with, or immediately precedes, the last day of the period of study;
- (b) in any other case, equally between the weeks in the period beginning with the reduction week, the first day of which coincides with, or immediately follows, the first day of the period for which it is payable and ending with the reduction week, the last day of which coincides with, or immediately precedes, the last day of the period for which it is payable.

37.6 Any grant in respect of dependants paid under section 63(6) of the Health Services and Public Health Act 1968 (grants in respect of the provision of instruction to officers of hospital authorities) and any amount intended for the maintenance of dependants under Part 3 of Schedule 2 to the Education (Mandatory Awards) Regulations 2004 shall be apportioned equally over the period of 52 weeks or, if there are 53 reduction weeks (including part-weeks) in the year, 53.

37.7 In a case where a student is in receipt of a student loan or where he could have acquired a student loan by taking reasonable steps but had not done so, any amount intended for the maintenance of dependants shall be apportioned over the same period as the student's loan is apportioned or, as the case may be, would have been apportioned.

37.8 In the case if a student on a sandwich course, any periods of experience within the period of study shall be excluded and the student's grant income shall be apportioned equally between the weeks in the period beginning with the reduction week, the first day of which immediately follows the last day of the period of experience and ending with the reduction week, the last day of which coincides with, or immediately precedes, the last day of the period of study.

**38.0 Students - Calculation of covenant income where a contribution is assessed.**

38.1 Where a student is in receipt of income by way of a grant during a period of study and a contribution has been assessed, the amount of his covenant income to be taken into account for that period and any summer vacation immediately following shall be the whole amount of the covenant income less, subject to paragraph (3), the amount of the contribution.

38.2 The weekly amount of the student's covenant shall be determined—

- (a) by dividing the amount of income which falls to be taken into account under paragraph (1) by 52 or 53, whichever is reasonable in the circumstances; and
- (b) by disregarding from the resulting amount, £5.

**39.0 Students - Covenant income where no grant income or no contribution is assessed.**

39.1 Where a student is not in receipt of income by way of a grant the amount of his covenant income shall be calculated as follows;

- (a) any sums intended for any expenditure specified in the calculation of grant income necessary as a result of his attendance on the course shall be disregarded;
- (b) any covenant income, up to the amount of the standard maintenance grant, which is not so disregarded, shall be apportioned equally between the weeks of the period of study;
- (c) there shall be disregarded from the amount so apportioned the amount which would have been disregarded in the calculation of grant income had the student been in receipt of the standard maintenance grant; and
- (d) the balance, if any, shall be divided by 52 or 53 whichever is reasonable in the circumstances and treated as weekly income of which £5 shall be disregarded.

39.2 Where a student is in receipt of income by way of a grant and no contribution has been assessed, the amount of his covenanted income shall be calculated in accordance with sub-paragraphs (a) to (d) of paragraph (1).

**40.0 Students - Covenant Income and Grant income – non-disregard**

40.1 No part of a student's covenant income or grant income shall be disregarded under this scheme.

**41.0 Treatment of student loans**

41.1 A student loan shall be treated as income.

41.2 In calculating the weekly amount of the loan to be taken into account as income:

- (a) in respect of a course that is of a single academic year's duration or less, a loan which is payable in respect of that period shall be apportioned equally between the weeks in the period beginning with;
  - (i) except in a case where (ii) applies, the reduction week, the first day of which coincides with, or immediately follows, the first day of the single academic year;
  - (ii) where the student is required to start attending the course in August or where the course is less than an academic year's duration, the reduction week, the first day of which coincides with, or immediately follows, the first day of the course, and ending with the reduction week, the last day of which coincides with, or immediately precedes with last day of the course,
- (b) in respect of an academic year of a course which starts other than on 1st September, a

loan which is payable in respect of that academic year shall be apportioned equally between the weeks in the period beginning with the reduction week, the first day of which coincides with or immediately follows, the first day of that academic year and ending with the reduction week, the last day of which coincides with or immediately precedes, the last day of that academic year but excluding any reduction weeks falling entirely within the quarter during which, in the opinion of the Secretary of State, the longest of any vacation is taken and for the purposes of this sub-paragraph, 'quarter' shall have the same meaning as for the purposes of the Education (Student Support) Regulations 2005;

- (c) in respect of the final academic year of a course (not being a course of a single year's duration), a loan which is payable in respect of that final academic year shall be apportioned equally between the weeks in the period beginning with;
  - (i) except in a case where (ii) applies, the reduction week, the first day of which coincides with or immediately follows, the first day of that academic year;
  - (ii) where the final academic year starts on 1st September, the reduction week, the first day of which coincide with, or immediately follows, the earlier of 1st September or the first day of the autumn term, and ending with the reduction week, the last day of which coincides with, or immediately precedes, the last day of the course;
- (d) in any other case, the loan shall be apportioned equally between the weeks in the period beginning with the earlier of;
  - (i) the first day of the first reduction week in September; or
  - (ii) the reduction week, the first day of which coincides with, or immediately follows the first day of the autumn term, and ending with the reduction week, the last day of which coincides with, or immediately precedes, the last day of the course;

and, in all cases, from the weekly amount so apportioned there shall be disregarded £10.

41.3 A student shall be treated as possessing a student loan in respect of an academic year where;

- (a) a student loan has been made to him in respect of that year; or
- (b) he could acquire such a loan in respect of that year by taking reasonable steps to do so.

41.4 Where a student is treated as possessing a student loan under paragraph (3), the amount of the student loan to be taken into account as income shall be, subject to paragraph (5).

- (a) in the case of a student to whom a student loan is made in respect of an academic year, a sum equal to
  - (i) the maximum student loan he is able to acquire in respect of that year by taking reasonable steps to do so; and
  - (ii) any contribution whether or not it has been paid to him;
- (b) in the case of a student to whom a student loan is not made in respect of an academic year, the maximum student loan that would be made to the student if;
  - (i) he took all reasonable steps to obtain the maximum student loan he is able to acquire in respect of that year; and
  - (ii) no deduction in that loan was made by virtue of the application of a means test.

41.5 There shall be deducted from the amount of income taken into account under paragraph (4)

- (a) the sum of £303 per academic year in respect of travel costs; and
- (b) the sum of £390 per academic year towards the cost of books and equipment, whether or not any such costs are incurred.

The above amounts shall be adjusted annually in line with the Housing Benefit Regulations 2006.

## **42.0 Students - Treatment of fee loans**

42.1 A loan for fees, known as a fee loan or a fee contribution loan, made pursuant to regulations



made under Article 3 of the Education (Student Support) (Northern Ireland) Order 1998, section 22 of the Teaching and Higher Education Act 1998 or section 73(f) of the Education (Scotland) Act 1980, shall be disregarded as income.

#### **43.0 Students - Treatment of payments from access funds**

43.1 A payment from access funds, other than a payment to which paragraph 43.2 applies, shall be disregarded as income.

- 43.2 a) any payments from access funds which are intended and used for an item of food, ordinary clothing or footwear, household fuel, or rent of a single applicant or, as the case may be, of the applicant or any other member of his family and
- b) any payments from access funds which are used for any council tax or water charges for which that applicant or member is liable, shall be disregarded as income to the extent of £20 per week.

43.3 Where a payment from access funds is made—

- (a) on or after 1st September or the first day of the course, whichever first occurs, but before receipt of any student loan in respect of that year and that payment is intended for the purpose of bridging the period until receipt of the student loan; or
- (b) before the first day of the course to a person in anticipation of that person becoming a student,
- that payment shall be disregarded as income.

#### **44.0 Students - Disregard of contribution**

44.1 Where the applicant or his partner is a student and for the purposes of assessing a contribution to the student's grant or student loan, the other partner's income has been taken into account, an amount equal to that contribution shall be disregarded for the purposes of assessing that other partner's income.

#### **45.0 Further disregard of student's income**

45.1 Where any part of a student's income has already been taken into account for the purpose of assessing his entitlement to a grant or student loan, the amount taken into account shall be disregarded in assessing that student's income.

#### **46.0 Students - Income treated as capital.**

46.1 Any amount by way of a refund of tax deducted from a student's covenant income shall be treated as capital.

46.2 Any amount paid from access funds as a single lump sum shall be treated as capital.

46.3 An amount paid from access fund as a single lump sum which is intended and used for an item other than food, ordinary clothing or footwear, household fuel or rent, or which is used for an item other than any council tax or water charges for which that applicant or member is liable, shall be disregarded as capital but only for a period of 52 weeks from the date of the payment.

#### **47.0 Students - Disregard of changes occurring during summer vacation.**

47.1 In calculating a student's income the authority shall disregard any change in the standard maintenance grant, occurring in the recognised summer vacation appropriate to the student's course if that vacation does not form part of his period of study from the date on which the change occurred to the end of that vacation.

#### **48.0 Maximum Council Tax Reduction**

48.1 Subject to paragraphs (2) to (4), the amount of a person's maximum Council Tax Reduction in respect of a day for which he is liable to pay council tax, shall be 90 per cent, of the amount A divided by B where;

- (a) A is the amount set by the appropriate authority as the council tax for the relevant financial year in respect of the dwelling in which he is a resident and for which he is liable, subject to any discount which may be appropriate to that dwelling under the 1992 Act; and
- (b) B is the number of days in that financial year,

In this paragraph "relevant financial year" means, in relation to any particular day, financial year within which the day in question falls.

48.2 In calculating a person's maximum Council Tax Reduction any reduction in the amount that person is liable to pay in respect of council tax, which is made in consequence of any enactment in, or made under, the 1992 Act, shall be taken into account.

48.3 Subject to paragraph (4), where an applicant is jointly and severally liable for council tax in respect of a dwelling in which he is resident with one or more other persons but excepting any person so residing with the applicant who is a student who is excluded from entitlement to Council Tax Reduction applies, in determining the maximum Council Tax Reduction in his case in accordance with paragraph (1), the amount A shall be divided by the number of persons who are jointly and severally liable for that tax.

48.4 Where an applicant is jointly and severally liable for council tax in respect of a dwelling with only his partner, paragraph (3) shall not apply in his case.

#### **49.0 Date on which entitlement is to begin.**

49.1 Subject to paragraph (2), any person to whom or in respect of whom a claim for council tax reduction is made and who is otherwise entitled to that reduction shall be so entitled from the date on which that claim is made or is treated as made.

49.2 Where a person is otherwise entitled to council tax reduction and becomes liable for the first time for the authority's council tax in respect of a dwelling of which he is a resident in the reduction week in which his claim is made or is treated as made, he shall be so entitled from the date of claim.

#### **50.0 Date on which change of circumstances is to take effect.**

50.1 A change of circumstances which affects entitlement to, or the amount of, a reduction under the authority's scheme ("change of circumstances"), takes effect from date on which the change actually occurs.

50.2 Where the change of circumstances is that income, or an increase in the amount of income, is paid in respect of a past period and there was no entitlement to income of that amount during that period, the change of circumstances shall take effect from the first day on which such income, had it been paid in that period at intervals appropriate to that income, would have fallen to be taken into account for the purposes of this scheme.

#### **51.0 Making an application.**

51.1 In the case of a couple or members of a polygamous marriage an application is to be made by whichever one of them they agree should so apply or, in default of agreement, by such one of them as the authority determines.

- 51.2 Where a person who is liable to pay council tax in respect of a dwelling is unable for the time being to act, and;
- (a) a deputy has been appointed by the Court of Protection with power to claim, or as the case may be, receive benefit on his behalf; or
  - (b) in Scotland, his estate is being administered by a judicial factor or any guardian acting or appointed under the Adults with Incapacity (Scotland) Act 2000 who has power to apply or, as the case may be, receive benefit on his behalf; or
  - (c) an attorney with a general power or a power to apply or, as the case may be, receive benefit, has been appointed by that person under the Powers of Attorney Act 1971, the Enduring Powers of Attorney Act 1985, or the Mental Capacity Act 2005 or otherwise,
- that deputy, judicial factor, guardian, or attorney, as the case may be, may make an application on behalf of that person.
- 51.3 Where a person who is liable to pay council tax in respect of a dwelling is unable for the time being to act and sub-paragraph (2) does not apply to him, the authority may, upon written application made to them by a person who, if a natural person, is over the age of 18, appoint that person to exercise on behalf of the person who is unable to act, any right to which that person might be entitled under the authority's scheme and to receive and deal on his behalf with any sums payable to him.
- 51.4 Where a person who is liable to pay council tax in respect of a dwelling is for the time being unable to act and the Secretary of State has appointed a person to act on his behalf under regulation 33 of the Social Security (Claims and Payments) Regulations 1987 (persons unable to act), the authority may if that person agrees, treat him as if he had been appointed by them under sub-paragraph (3).
- 51.5 Where the authority has made an appointment under sub-paragraph (3) or treated a person as an appointee under sub-paragraph (4);
- (a) it may at any time revoke the appointment;
  - (b) the person appointed may resign his office after having given 4 weeks' notice in writing to the authority of his intention to do so;
  - (c) any such appointment terminates when the authority is notified of the appointment of a person mentioned in sub-paragraph (2).
- 51.6 Anything required by the authority's scheme to be done by or to any person who is for the time being unable to act may be done by or to the persons mentioned in sub-paragraph (2) above or by or to the person appointed or treated as appointed under this paragraph and the receipt of any such person so appointed shall be a good discharge to the authority for any sum paid.
- 51.7 The authority must;
- (a) inform any person making an application of the duty imposed on them
  - (b) explain the possible consequences (including prosecution) of failing to comply with that duty; and
  - (c) set out the circumstances a change in which might affect entitlement to the reduction or its amount.

**52.0 Procedure by which a person may apply for a reduction under the authority's scheme<sup>1</sup>**

52.1. Paragraphs 2 to 7 apply to an application made under the authority's scheme.

52.2. An application may be made;

- (a) in writing,

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<sup>1</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

- (b) by means of an electronic communication in accordance with Part 4 of this Schedule, or
- (c) where the authority has published a telephone number for the purpose of receiving such applications, by telephone.
- (d) a notification of a new claim for Universal Credit from DWP, may be treated by the authority as a claim for reduction.

52.3 An application which is made in writing must be made to the designated office on a properly completed form. The form must be provided free of charge by the authority for the purpose.

52.4 Where an application made in writing is defective because—

- (a) it was made on the form supplied for the purpose but that form is not accepted by the authority as being properly completed; or
- (b) it was made in writing but not on the form approved for the purpose and the authority does not accept the application as being in a written form which is sufficient in the circumstances of the case having regard to the sufficiency of the written information and evidence,

the authority may, in a case to which sub-paragraph (a) applies, request the applicant to complete the defective application or, in the case to which sub-paragraph (b) applies, supply the applicant with the approved form or request further information and evidence.

52.5 An application made on a form provided by the authority is properly completed if it is completed in accordance with the instructions on the form, including any instructions to provide information and evidence in connection with the application.

52.6 If an application made by electronic communication is defective the authority must provide the person making the application with an opportunity to correct the defect. An application made by electronic communication is defective if the applicant does not provide all the information the authority requires.

52.7 In a particular case the authority may determine that an application made by telephone is only valid if the person making the application approves a written statement of his circumstances provided by the authority.

52.8 If an application made by telephone is defective the authority must provide the person making the application with an opportunity to correct the defect. An application made by telephone is defective if the applicant does not provide all the information the authority requests during the telephone call.

52.9 Notwithstanding other paragraphs within this section, the authority will determine the method by which claims are to be made as well as where claims should be sent or delivered.

52.10 Where an applicant ('C') makes a claim which includes (or which C subsequently requests should include) a period before the claim is made, the authority may, at its discretion, where there is a good reason, treat the claim as made on an earlier date up to one year (or the beginning of the financial year) in which the request is received by the authority.

**53.0 Date on which an application is made<sup>2</sup>**

53.1 Subject to sub-paragraph (7), the date on which an application is made is;

- (a) in a case where;
  - (i) an award of state pension credit which comprises a guarantee credit has been made to the applicant or his partner, and
  - (ii) the application for a reduction is made within one month of the date on which the claim for that state pension credit which comprises a guarantee credit was received at the appropriate DWP office,

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<sup>2</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

the first day of entitlement to state pension credit which comprises a guarantee credit arising from that claim;

(b) in a case where

- (i) an applicant or his partner is a person in receipt of a guarantee credit,
- (ii) the applicant becomes liable for the first time to pay council tax in respect of the dwelling he occupies as his home, and
- (iii) the application is received at the designated office within one month of the date of the change,

the date on which the change takes place;

(c) in a case where;

- (i) an award of income support, an income-based jobseeker's allowance, or an income-related employment and support allowance or an award of universal credit has been made to the applicant or his partner, and
- (ii) the application is made within one month of the date on which the claim for that income support, jobseeker's allowance, employment and support allowance or universal credit was received,

the first day of entitlement to income support, an income-based jobseeker's allowance, an income-related employment and support allowance or universal credit arising from that claim;

(d) in a case where;

- (i) an applicant or his partner is a person on income support, an income-based jobseeker's allowance or an income-related employment and support allowance or has an award of universal credit,
- (ii) the applicant becomes liable for the first time to pay council tax in respect of the dwelling which he occupies as his home, and
- (iii) the application is received at the designated office within one month of the date of the change,

the date on which the change takes place;

(e) in a case where;

- (i) an applicant is the former partner of a person who was, at the date of his death or their separation, entitled to a reduction under the authority's scheme, and
  - (ii) the applicant makes an application for a reduction under that scheme within one month of the date of the death or the separation,
- the date of the death or separation;

(f) except where paragraph (a), (b) or (e) is satisfied, in a case where a properly completed application is received within one month (or such longer period as the authority considers reasonable) of the date on which an application form was issued to an applicant following the applicant first notifying, by whatever means, the authority of an intention to make an application, the date of first notification;

(g) in any other case, the date on which an application is received at the designated office.

53.2 For the purposes only of sub-paragraph (1)(c) a person who has been awarded an income-based jobseeker's allowance or an income-related employment and support allowance is to be treated as entitled to that allowance for any days which immediately precede the first day in that award and on which he would, but for regulations made under;

(a) in the case of income-based jobseeker's allowance, paragraph 4 of Schedule 1 to the Jobseekers Act 1995 (waiting days); or

(b) in the case of income-related employment and support allowance, paragraph 2 of Schedule 2 to the Welfare Reform Act 2007 (waiting days),  
have been entitled to that allowance.

53.3 Where there is a defect in an application by telephone;

(a) is corrected within one month (or such longer period as the authority considers reasonable) of the date the authority last drew attention to it, the authority must treat the application as if it had been duly made in the first instance;

(b) is not corrected within one month (or such longer period as the authority considers

reasonable) of the date the authority last drew attention to it, the authority must treat the application as if it had been duly made in the first instance where it considers it has sufficient information to decide the application.

53.4 The authority is to treat a defective application as if it had been validly made in the first instance if, in any particular case, the conditions specified in sub-paragraph (5)(a), (b) or (c) are satisfied.

53.5 The conditions are that—  
(a) where the authority receives the properly completed application or the information requested to complete it or the evidence within one month of the request, or such longer period as the authority may consider reasonable; or  
(b) where an application is not on approved form or further information requested by authority applies;  
(i) the approved form sent to the applicant is received at the offices of the authority properly completed within one month of it having been sent to him; or, as the case may be;  
(ii) the applicant supplies whatever information or evidence was requested within one month of the request; or,  
in either case, within such longer period as the authority may consider reasonable; or  
(c) where the authority has requested further information, the authority receives at its offices the properly completed application or the information requested to complete it within one month of the request or within such longer period as the authority considers reasonable.

53.6 Except in the case of an application made by a person treated as not being in Great Britain, where a person has not become liable for council tax to the authority but it is anticipated that he will become so liable within the period of 8 weeks (the relevant period), he may apply for a reduction under that authority's scheme at any time in that period in respect of that tax and, provided that liability arises within the relevant period, the authority must treat the application as having been made on the day on which the liability for the tax arises.

53.7 Except in the case of an application made by a person treated as not being in Great Britain, where the applicant is not entitled to a reduction under the authority's scheme in the reduction week immediately following the date of his application but the authority is of the opinion that unless there is a change of circumstances, he will be entitled to a reduction under its scheme for a period beginning not later than;  
(a) in the case of an application made by;  
(i) a pensioner, or  
(ii) a person who has attained, or whose partner has attained, the age which is 17 weeks younger than the qualifying age for state pension credit, the seventeenth reduction week following the date on which the application is made, or  
(b) in the case of an application made by a person who is not a pensioner, the thirteenth reduction week following the date on which the application is made, the authority may treat the application as made on a date in the reduction week immediately preceding the first reduction week of that period of entitlement and award a reduction accordingly.

53.8 In this paragraph "appropriate DWP office" means an office of the Department for Work and Pensions dealing with state pension credit or an office which is normally open to the public for the receipt of claims of income support, a job seekers allowance or an employment and support allowance.

#### **54.0 Submission of evidence electronically**

54.1 The authority may accept such evidence, documents, and certificates to support the claim electronically where it feels that this would be acceptable given the nature of the claim.

**55.0 Use of telephone provided evidence.**

55.1 The authority may accept such evidence to support the claim by telephone where it feels that this would be acceptable given the nature of the claim.

**56.0 Information and evidence<sup>3</sup>**

56.1 Subject to sub-paragraph (3), a person who makes an application for a reduction under an authority's scheme must satisfy sub-paragraph (2) in relation both to himself and to any other person in respect of whom he is making the application.

56.2 This sub-paragraph is satisfied in relation to a person if—

(a) the application is accompanied by;

- (i) a statement of the person's national insurance number and information or evidence establishing that that number has been allocated to the person; or
- (ii) information or evidence enabling the authority to ascertain the national insurance number that has been allocated to the person; or

(b) the person has made an application for a national insurance number to be allocated to him and the application for the reduction is accompanied by;

- (i) evidence of the application for a national insurance number to be so allocated; and
- (ii) the information or evidence enabling it to be so allocated.

56.3 Sub-paragraph (2) does not apply;

(a) in the case of a child or young person in respect of whom an application for a reduction is made;

(b) to a person who;

- (i) is a person treated as not being in Great Britain for the purposes of this scheme;
- (ii) is subject to immigration control within the meaning of section 115(9)(a) of the Immigration and Asylum Act 1999; and
- (iii) has not previously been allocated a national insurance number.

56.4 Subject to sub-paragraph (5), a person who makes an application, or a person to whom a reduction under the authority's scheme has been awarded, must furnish such certificates, documents, information and evidence in connection with the application or the award, or any question arising out of the application or the award, as may reasonably be required by that authority in order to determine that person's entitlement to, or continuing entitlement to a reduction under its scheme and must do so within one month of the authority requiring him to do so or such longer period as the authority may consider reasonable.

56.5 Nothing in this paragraph requires a person who is a pensioner to furnish any certificates, documents, information, or evidence relating to a payment to which sub-paragraph (7) applies.

56.6 Where the authority makes a request under sub-paragraph (4), it must;

- (a) inform the applicant or the person to whom a reduction under its scheme has been awarded of his duty under paragraph 9 (duty to notify change of circumstances) to notify the authority of any change of circumstances; and
- (b) without prejudice to the extent of the duty owed under paragraph 9, indicate to him either orally or by notice or by reference to some other document available to him on application and without charge, the kind of change of circumstances which must be notified.

56.7 This sub-paragraph applies to any of the following payments;

(a) a payment which is made under or by the Trusts, the Fund, the Eileen Trust, MFET

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<sup>3</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

Limited, the Skipton Fund, the Caxton Foundation, or the London Bombings Relief Charitable Fund; and  
(b) a payment which is disregarded under paragraph 24 of Schedule 5, other than a payment under the Independent Living Fund (2006);

- 56.8 Where an applicant or a person to whom a reduction under the authority's scheme has been awarded or any partner has attained the qualifying age for state pension credit and is a member of, or a person deriving entitlement to a pension under, a personal pension scheme, he must where the authority so requires furnish the following information;
- (a) the name and address of the pension fund holder;
  - (b) such other information including any reference or policy number as is needed to enable the personal pension scheme to be identified.

**57.0 Amendment and withdrawal of application<sup>4</sup>**

- 57.1 A person who has made an application may amend it at any time before a decision has been made on it by a notice in writing delivered or sent to the designated office.
- 57.2 Where the application was made by telephone the amendment may also be made by telephone.
- 57.3 Any application amended is to be treated as if it had been amended in the first instance.
- 57.4 A person who has made an application may withdraw it by notice to the designated office at any time before a decision has been made on it.
- 57.5 Where the application was made by telephone, the withdrawal may also be made by telephone.
- 57.6 Any notice of withdrawal given in accordance with sub-paragraph (4) or (5) has effect when it is received.
- 57.7 Where a person, by telephone, amends or withdraws an application the person must (if required to do so by the authority) confirm the amendment or withdrawal by a notice in writing delivered or sent to the designated office.

**58.0 Duty to notify changes of circumstances<sup>5</sup>**

- 58.1 Subject to sub-paragraphs (3), (6) and (7), an applicant (or any person acting on his behalf) must comply with sub-paragraph (2) if there is a relevant change of circumstances at any time;
- (a) between the making of an application and a decision being made on it, or
  - (b) after the decision is made (where the decision is that the applicant is entitled to a reduction under the authority's scheme) including at any time while the applicant is in receipt of such a reduction.
- 58.2 The applicant (or any person acting on his behalf) must notify any change of circumstances which the applicant (or that person) might reasonably be expected to know might affect his entitlement to, or the amount of, a reduction under the authority's scheme (a "relevant change of circumstances") by giving notice to the authority;
- (a) in writing; or
  - (b) by telephone—
    - (i) where the authority has published a telephone number for that purpose unless the authority determines that in any particular case or class of case notification

<sup>4</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

<sup>5</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012



may not be given by telephone; or

(ii) in any case or class of case where the authority determines that notice may be given by telephone; or

(c) by any other means which the authority agrees to accept in any particular case, within a period of 21 days beginning with the day on which the change occurs, or as soon as reasonably practicable after the change occurs, whichever is later.

58.3 The duty imposed on a person by sub-paragraph (1) does not extend to notifying:

- (a) changes in the amount of council tax payable to the authority;
- (b) changes in the age of the applicant or that of any member of his family;
- (c) in the case of an applicant in receipt of a relevant benefit, changes in circumstances which affect the amount of the benefit but not the amount of the reduction under the authority's scheme to which he is entitled, other than the cessation of that entitlement to the benefit.

58.4 For the purposes of sub-paragraph (3)(c) "relevant benefit" means income support, an income-based jobseeker's allowance or an income-related employment and support allowance or universal credit.

58.5 Notwithstanding sub-paragraph (3)(b) or (c) an applicant is required by sub-paragraph (1) to notify the authority of any change in the composition of his family arising from the fact that a person who was a member of his family is now no longer such a person because he has ceased to be a child or young person.

58.6 The duty imposed on a person by sub-paragraph (1) includes in the case of a person falling within alternative maximum council tax reduction, giving written notice to the authority of changes which occur in the number of adults in the dwelling or in their total gross incomes and, where any such adult ceases to be in receipt of state pension credit, the date when this occurs.

58.7 All changes in circumstances should be notified to the authority in writing (or by whatever format agreed by the authority) within one calendar month of the happening of the event or change in circumstance. This timescale may be extended at the discretion of the authority. Where such a change is not received within that timescale and where the change would increase the level of reduction payable, the authority may use a date later than the actual change of circumstances.

## **59.0 Decisions by the authority<sup>6</sup>**

59.1 The authority must make a decision on an application under its scheme within 14 days or as soon as reasonably practicable thereafter.

## **60.0 Notification of decision<sup>7</sup>**

60.1 The authority must notify in writing any person affected by a decision made by it under its scheme;

- (a) in the case of a decision on an application, forthwith or as soon as reasonably practicable thereafter;
- (b) in any other case, within 14 days of that decision or as soon as reasonably practicable thereafter.

60.2 Where the decision is to award a reduction, the notification under sub-paragraph (1) must include a statement;

- (a) informing the person affected of the duty imposed by paragraph 9(1);

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<sup>6</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

<sup>7</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

- (b) explaining the possible consequences (including prosecution) of failing to comply with that duty; and
- (c) setting out the circumstances a change in which might affect entitlement to the reduction or its amount.

60.3 Where the decision is to award a reduction, the notification under sub-paragraph (1) must include a statement as to how that entitlement is to be discharged.

60.4 In any case, the notification under sub-paragraph (1) must inform the person affected of the procedure by which an appeal may be made and must refer the person to the provisions in the authority's scheme relating to the procedure for making an appeal.

60.5 A person affected to whom the authority sends or delivers a notification of decision may, within one month of the date of the notification of that decision request in writing the authority to provide a written statement setting out the reasons for its decision on any matter set out in the notice.

60.6 The written statement referred to in sub-paragraph (5) must be sent to the person requesting it within 14 days or as soon as reasonably practicable thereafter.

60.7 For the purposes of this paragraph a person is to be treated as a person affected by a decision of the authority under its scheme where the rights, duties or obligations of that person are affected by that decision and the person falls within sub-paragraph (8).

60.8 This sub-paragraph applies to—

- (a) the applicant;
- (b) in the case of a person who is liable to pay council tax in respect of a dwelling and is unable for the time being to act;
  - (i) a deputy appointed by the Court of Protection with power to claim, or as the case may be, receive benefit on his behalf; or
  - (ii) in Scotland, a judicial factor or any guardian acting or appointed under the Adults with Incapacity (Scotland) Act 2000(3) who has power to apply or, as the case may be, receive benefit on the person's behalf; or
  - (iii) an attorney with a general power or a power to apply or, as the case may be, receive benefit, has been appointed by that person under the Powers of Attorney Act 1971, the Enduring Powers of Attorney Act 1985, or the Mental Capacity Act 2005 or otherwise,
- (c) a person appointed by the authority to act for a person unable to act.

#### **61.0 Time and manner of granting council tax reduction<sup>8</sup>**

61.1 Where a person is entitled to a reduction under this authority's scheme in respect of his liability for the authority's council tax as it has effect in respect of a chargeable financial year ("the chargeable year"), the authority must discharge his entitlement;

- (a) by reducing, so far as possible, the amount of his liability to which regulation 20(2) of the Council Tax (Administration and Enforcement) Regulations 1992 refers; or
- (b) where;
  - (i) such a reduction is not possible; or
  - (ii) such a reduction would be insufficient to discharge the entitlement to a reduction under the authority's scheme; or
  - (iii) the person entitled to the reduction is jointly and severally liable for the council tax and the authority determines that such a reduction would be inappropriate, by making payment to him of the amount of reduction to which he is entitled, rounded where necessary to the nearest penny.

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<sup>8</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

61.2 The authority must notify the person entitled to a reduction under this scheme of the amount of that reduction and how his entitlement is to be discharged in pursuance of paragraph (1).

61.3 In a case to which paragraph (1)(b) refers;

- (a) if the amount of the council tax for which he remains liable in respect of the chargeable year, after any reduction to which sub-paragraph (1)(a) refers has been made, is insufficient to enable his entitlement to a reduction under the authority's scheme in respect thereof to be discharged, upon the final instalment of that tax becoming due any outstanding reduction;
  - (i) must be paid to that person if he so requires; or
  - (ii) in any other case must (as the authority determines) either be repaid or credited against any subsequent liability of the person to make a payment in respect of the authority's council tax as it has effect for any subsequent year;
- (b) if that person has ceased to be liable for the authority's council tax and has discharged the liability for that tax, the outstanding balance (if any) of the reduction under the authority's scheme in respect thereof must be paid within 14 days or, if that is not reasonably practicable, as soon as practicable thereafter
- (c) in any other case, the reduction under the authority's scheme must be paid within 14 days of the receipt of the application at the offices of the authority or, if that is not reasonably practicable, as soon as practicable thereafter.

61.4 For the purposes of this paragraph "instalment" means any instalment of the authority's council tax to which regulation 19 of the Council Tax (Administration and Enforcement) Regulations 1992 refers (council tax payments).

## **62.0 Persons to whom reduction is to be paid<sup>9</sup>**

62.1 Subject to paragraph (2), any payment of the amount of a reduction must be made to that person.

62.2 Where a person other than a person who is entitled to a reduction under this authority's scheme made the application for the reduction and that first person is a person acting pursuant to an appointment or is treated as having been so appointed, the amount of the reduction may be paid to that person.

## **63.0 Shortfall in reduction<sup>10</sup>**

63.1 Where, on the revision of a decision allowing a reduction under the authority's scheme to a person, it is determined that the amount allowed was less than the amount to which that person was entitled, the authority must either;

- (a) make good any shortfall in reduction which is due to that person, by reducing so far as possible the next and any subsequent payments he is liable to make in respect of the council tax of the authority as it has effect for the chargeable financial year until that shortfall is made good; or
- (b) where this is not possible or the person concerned so requests, pay the amount of any shortfall in reduction due to that person within 14 days of the revision of the decision being made or if that is not reasonably practicable, as soon as possible afterwards.

## **64.0 Payment on the death of the person entitled<sup>11</sup>**

64.1 Where the person entitled to any reduction under this scheme has died and it is not possible to award the reduction which is due in the form of a reduction of the council tax for which he was liable, the authority must make payment of the amount of the reduction to his executor or

<sup>9</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

<sup>10</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

<sup>11</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

administrator in accordance with regulation 58(4) of the Council Tax (Administration and Enforcement) Regulations 1992.

#### **65.0 Offsetting**

65.1 Where a person has been allowed or paid a sum of council tax reduction under a decision which is subsequently revised or further revised, any sum allowed or paid in respect of a period covered by the subsequent decision shall be offset against arrears of entitlement under the subsequent decision except to the extent that the sum exceeds the arrears and shall be treated as properly awarded or paid on account of them.

#### **66.0 Payment where there is joint and several liability<sup>12</sup>**

66.1 Where;

- (a) a person is entitled to a reduction under the authority's scheme in respect of his liability for the authority's council tax as it has effect in respect of a chargeable financial year;
- (b) the person entitled to the reduction is jointly and severally liable for the council tax; and
- (c) the authority determines that discharging his entitlement by reducing the amount of his liability to which regulation 20(2) of the Council Tax (Administration and Enforcement) Regulations 1992(7) refers would be inappropriate,

it may make a payment to him of the amount of the reduction to which he is entitled, rounded where necessary to the nearest penny.

66.2 Subject to sub-paragraph (3) any payment made under sub-paragraph (1) must be made to the person who is entitled to the reduction.

66.3 Where a person other than a person who is entitled to a reduction under the authority's scheme made the application and that first person is a person acting pursuant to an appointment this scheme or is treated as having been so appointed, the amount of the reduction may be paid to that person.

#### **67.0 Use of information from and to the Department for Work and Pensions (DWP) and His Majesty's Revenue and Customs (HMRC)**

67.1 The authority will use information provided by the DWP and HMRC for the purposes of Council Tax Reduction, council tax liability, billing, administration, and enforcement as outlined within Schedule 2 of the Local Government Finance Act 1992 as amended by the Local Government Finance Act 2012 and the Social Security (Information-sharing in relation to Welfare Services etc.) (Amendment) Regulations 2013

67.2 Where required by the relevant department and where required by law, the authority will share information obtained for Council Tax Reduction with the DWP or HMRC as appropriate and in accordance with Data Protections requirements<sup>13</sup>.

#### **68.0 Collection of information**

68.1 The authority may receive and obtain information and evidence relating to claims for council tax reduction, the council may receive or obtain the information or evidence from—

- (a) persons making claims for council tax reduction;
- (b) other persons in connection with such claims;
- (c) other local authorities; or
- (d) central government departments including the DWP and HMRC

68.2 The authority may verify relevant information supplied to or obtained.

<sup>12</sup> Inserted by Schedule 8 of the Council Tax Reductions Scheme (Prescribed Requirements) (England) Regulations 2012

<sup>13</sup> Data Retention and Investigatory Powers Act 2014 and Data Retention Regulations 2014

## **69.0 Recording and holding information.**

- 69.1 The authority may
- (a) may make a record of such information; and
  - (b) may hold that information, whether as supplied or obtained or recorded, for the purpose of forwarding it to the person or authority for the time being administering council tax reduction.

## **70.0 Forwarding of information.**

- 70.1 The authority may forward it to the person or authority for the time being administering claims to or awards of council tax reduction to which the relevant information relates, being:
- (i) a local authority;
  - (ii) a person providing services to a local authority; or
  - (iii) a person authorised to exercise any function of a local authority relating to council tax reduction.

## **71.0 Persons affected by Decisions.**

- 71.1 A person is to be treated as a person affected by a relevant decision of the authority where that person is;
- (a) an applicant;
  - (b) in the case of a person who is liable to make payments in respect of a dwelling and is unable for the time being to act
    - (i) a Deputy appointed by the Court of Protection with power to claim, or as the case may be, receive benefit or reduction on his behalf,
    - (ii) in Scotland, a tutor, curator, judicial factor, or other guardian acting or appointed in terms of law administering that person's estate, or
    - (iii) an attorney with a general power or a power to receive benefit or reduction appointed by the person liable to make those payments under the Powers of Attorney Act 1971, the Enduring Powers of Attorney Act 1985, or the Mental Capacity Act 2005 or otherwise;
  - (c) a person appointed by the authority under this scheme;

## **72.0 Terminations**

- 72.1 The authority may terminate, in whole or in part the Council tax reduction where it appears to the authority that an issue arises whether;
- (a) the conditions for entitlement to Council tax reduction are or were fulfilled; or
  - (b) a decision as to an award of such a reduction should be revised or superseded.
- Where the person fails to provide information to the authority as requested in relation to any matter relating to their liability for Council Tax. Where the amount of reduction reduces to zero, the award will end.

## **73.0 Procedure by which a person may make an appeal against certain decisions of the authority<sup>14</sup>**

- 73.1 A person who is aggrieved by a decision of the authority, which affects;
- (a) the person's entitlement to a reduction under its scheme, or
  - (b) the amount of any reduction to which that person is entitled,
- may serve a written notice on the authority stating the matter by which, and the grounds on which, he is aggrieved.
- 73.2 The authority must
- (a) consider the matter to which the notice relates;
  - (b) notify the aggrieved person in writing;

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<sup>14</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

- (i) that the ground is not well founded, giving reasons for that belief; or
- (ii) that steps have been taken to deal with the grievance, stating the steps taken.

73.3 Where, following notification under sub-paragraph (2)(b)(i) or (ii), the person is still aggrieved, or if the authority fails to notify the person aggrieved in accordance with sub-paragraph (2)(b) within two months of the service of his notice, he may appeal to the valuation tribunal under section 16 of the 1992 Act<sup>15</sup>.

#### **74.0 Procedure for an application to the authority for a reduction under section 13A(1)(c) of the 1992 Act<sup>16</sup>**

74.1 An application to the authority for a reduction under section 13A(1)(c) of the 1992 Act may be made;

- (a) in writing,
- (b) by means of an electronic communication in accordance this scheme or
- (c) where the authority has published a telephone number for the purpose of receiving such applications, by telephone.

74.2 Where;

- (a) the authority has made a determination under section 13A(1)(c) in relation to a class of case in which liability is to be reduced; and
- (b) a person in that class would otherwise be entitled to a reduction under its scheme, that person's application for a reduction under the authority's scheme may also be treated as an application for a reduction under section 13A(1)(c).

#### **75.0 Exceptional Hardship Scheme**

75.1 The authority may provide additional help to an applicant who is entitled to reduction under its Exceptional Hardship Scheme.

75.2 Such payments shall be deemed to be made under S13A (1)(a) of the 1992 Act.

#### **76.0 Interpretation for the use of electronic communication**

76.1 In this Part;

- "information" includes an application, a certificate, notice or other evidence; and
- "official computer system" means a computer system maintained by or on behalf of an authority for sending, receiving, processing, or storing of any information.

#### **77.0 Conditions for the use of electronic communication**

77.1 The authority may use an electronic communication in connection with applications for, and awards of, reductions under its scheme.

77.2 A person other than the authority may use an electronic communication in connection with the matters referred to in sub-paragraph (1) if the conditions specified in sub-paragraphs (3) to (6) are satisfied.

77.3 The first condition is that the person is for the time being permitted to use an electronic communication by an authorisation given by means of a direction of the Chief Executive of the authority.

77.4 The second condition is that the person uses an approved method of;

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<sup>15</sup> As amended by the Tribunal Procedure (Amendment No 3 ) Rules 2014

<sup>16</sup> Inserted by Council Tax Reduction Schemes (Prescribed Requirements) (England) Regulations 2012

- (a) authenticating the identity of the sender of the communication;
- (b) electronic communication;
- (c) authenticating any application or notice delivered by means of an electronic communication; and
- (d) subject to sub-paragraph (7), submitting to the authority any information.

77.5 The third condition is that any information sent by means of an electronic communication is in a form approved for the purposes.

77.6 The fourth condition is that the person maintains such records in written or electronic form as may be specified in a direction given by the Chief Executive of the authority.

77.7 Where the person uses any method other than the method approved of submitting any information, that information is to be treated as not having been submitted.

77.8 In this paragraph “approved” means approved by means of a direction given by the Chief Executive of the authority for the purposes of this section.

**78.0 Use of intermediaries**

78.1 The authority may use intermediaries in connection with;

- (a) the delivery of any information by means of an electronic communication; and
- (b) the authentication or security of anything transmitted by such means,

and may require other persons to use intermediaries in connection with those matters.

**79.0 Effect of delivering information by means of electronic communication.**

79.1 Any information which is delivered by means of an electronic communication is to be treated as having been delivered in the manner or form required by any provision of an authority’s scheme on the day the conditions imposed;

- (a) by this section; and
- (b) by or under an enactment,

are satisfied.

79.2 The authority may determine that any information is to be treated as delivered on a different day (whether earlier or later) from the day provided for in sub-paragraph (1).

79.3 Information may not be taken to have been delivered to an official computer system by means of an electronic communication unless it is accepted by the system to which it is delivered.

**80.0 Proof of identity of sender or recipient of information**

80.1 If it is necessary to prove, for the purpose of any legal proceedings, the identity of—

- (a) the sender of any information delivered by means of an electronic communication to an official computer system; or
- (b) the recipient of any such information delivered by means of an electronic communication from an official computer system,

the sender or recipient, as the case may be, is to be presumed to be the person whose name is recorded as such on that official computer system.

**81.0 Proof of delivery of information**

81.1 If it is necessary to prove, for the purpose of any legal proceedings, that the use of an electronic communication has resulted in the delivery of any information this is presumed to have been the case where;

- (a) any such information has been delivered to the relevant authority, if the delivery of that

information has been recorded on an official computer system; or  
(b) any such information has been delivered by the relevant authority if the delivery of that information has been recorded on an official computer system.

81.2 If it is necessary to prove, for the purpose of any legal proceedings, that the use of an electronic communication has resulted in the delivery of any such information, this is presumed not to be the case if that information delivered to the relevant authority has not been recorded on an official computer system.

81.3 If it is necessary to prove, for the purpose of any legal proceedings, when any such information sent by means of an electronic communication has been received, the time and date of receipt is presumed to be that recorded on an official computer system.

#### **82.0 Proof of content of information**

82.1 If it is necessary to prove, for the purpose of any legal proceedings, the content of any information sent by means of an electronic communication, the content is presumed to be that recorded on an official computer system.

#### **83.0 Counter Fraud and compliance**

83.1 In order to protect the finances of the authority and also in the interests of all council taxpayers, the authority will undertake such actions as allowed by law to;

- (a) Prevent and detect fraudulent claims and actions in respect of Council tax reduction;
- (b) Carry out investigations fairly, professionally and in accordance with the law; and
- (c) Ensure that sanctions are applied in appropriate cases.

83.2 The authority believes that it is important to minimise the opportunity for fraud and;

- (a) will implement rigorous procedures for the verification of claims for council tax reduction;
- (b) will employ sufficient Officers to fulfil the authority's commitment to combat fraud;
- (c) will actively tackle fraud where it occurs in accordance with this scheme;
- (d) will co-operate with the Department for Work and Pensions (DWP), His Majesty's Revenue and Customs and take part in joint working including prosecutions; and
- (e) will in all cases seek to recover all outstanding council tax.

83.3 The authority shall put into place such administrative policies, procedures and processes as are necessary to ensure that the actions outlined within paragraph (1) and (2) can be carried out successfully. In particular the authority shall undertake actions provided by the Council Tax Reduction Schemes (Detection of Fraud and Enforcement) (England) Regulations 2013.



**Schedule 1**

**Calculation of the amount of Council Tax Reduction in accordance with the Discount Scheme.**

1. The authority's Council Tax Reduction scheme from 2025/26 shall be calculated on the basis of the following Banded Discount Scheme:

Discount Band	Discount	Single Person	Single person with one child	Single person with two or more children	Couple	Couple with one child	Couple with two or more children
<b>WEEKLY Income Ranges</b>							
<b>Band 1*</b>	90%	£0 - £119.48	£0 - £191.16	£0 - £262.84	£0 - £167.27	£0 - £244.92	£0 - £310.63
<b>Band 2</b>	72%	£119.49 - £215.05	£191.17 - £286.73	£262.85 - £352.45	£167.28 - £286.73	£244.93 - £335.72	£310.64 - £406.21
<b>Band 3</b>	36%	£215.06 - £256.87	£286.74 - £304.66	£352.46 - £418.16	£286.74 - £346.47	£335.73 - £382.32	£406.22 - £477.90
<b>Band 4</b>	23%	£256.88 - £304.66	£304.67 - £334.52	£418.17 - £537.64	£346.48 - £406.21	£382.33 - £442.05	£477.91 - £573.48
	0%	Over £304.66	Over £334.52	Over £537.64	Over £406.21	Over £442.05	Over £573.48

2. The amount of discount to be granted is to be based on the following factors:
- The maximum Council Tax Reduction as defined within this scheme;
  - The Council Tax family as defined within this scheme;
  - The income of the applicant and partner as defined within this scheme; and
  - The capital of the applicant and partner as defined within this scheme.
3. For the sake of clarity all incomes shown within the table above are weekly in accordance with the scheme requirements and definitions.
4. Discount bands vary depending on both weekly income and the household (family as defined within this scheme).
5. Any applicant and any partner whose capital is greater than £10,000 shall not be entitled to any Council Tax Reduction whatsoever including where the authority determines that 8 below applies, but not where 7 only applies.
6. The authority **may** increase the level of incomes within the grid specified in paragraph 1 on an annual basis by the appropriate level of inflation decided by the Council.
7. \*Where an applicant or partner is in receipt of Income Support, Income Related Employment and Support Allowance or Income Based Jobseeker's Allowance, discount will be awarded at Band 1 level except where the authority determines that 8 below applies.
8. Where an applicant is otherwise entitled to discount in bands 1 to 4, where that band is determined as a result of state benefit entitlement, but the authority has evidence or there has been a failure to respond to a request for evidence concerning income or capital that would otherwise mean no discount then no discount may be granted.

**Schedule 2**

**Sums to be disregarded in the calculation of income other than earnings.**

1. Any amount paid by way of tax on income,
2. Any payment made to the applicant and in respect of any travel or other expenses incurred, or to be incurred, by him in respect of his participation in the Mandatory Work Activity Scheme.
3. Any payment made to the applicant in respect of any travel or other expenses incurred, or to be incurred, by him in respect of his participation in the Employment, Skills, and Enterprise Scheme or Back to Work Scheme, but only for 52 weeks beginning with the date of receipt of the payment.
4. Any payment in respect of any expenses incurred or to be incurred by an applicant who is–
  - (a) engaged by a charitable or voluntary organisation, or
  - (b) volunteer,
 if he otherwise derives no remuneration or profit from the employment and is not to be treated as possessing any earnings under section 32.0 (notional income).
5. Any payment in respect of expenses arising out of the applicant’s participation in a service user group.
5. In the case of employment as an employed earner, any payment in respect of expenses wholly, exclusively, and necessarily incurred in the performance of the duties of the employment.
6. Where an applicant is on income support, an income-based jobseeker’s allowance or an income-related employment and support allowance the whole of his income.
7. Where the applicant is a member of a joint-claim couple for the purposes of the Jobseekers Act and his partner is on an income-based jobseeker’s allowance, the whole of the applicant’s income.
8. Where the applicant, or the person who was the partner of the applicant on 31st March 2003, was entitled on that date to income support or an income-based jobseeker’s allowance but ceased to be so entitled on or before 5th April 2003 by virtue only of regulation 13 of the Housing Benefit (General) Amendment (No. 3) Regulations 1999 as in force at that date, the whole of his income.
9. Any disability living allowance or personal independence payment or AFIP
10. Any concessionary payment made to compensate for the non-payment of;
  - (a) income support;
  - (b) an income-based jobseeker’s allowance.
  - (c) an income-related employment and support allowance.
11. Any mobility supplement under article 20 of the Naval, Military and Air Forces Etc. (Disablement and Death) Service Pensions Order 2006 (including such a supplement by virtue of any other scheme or order) or under article 25A of the Personal Injuries (Civilians) Scheme 1983 or any payment intended to compensate for the non-payment of such a supplement.
12. Any attendance allowance.
13. Any payment to the applicant as holder of the Victoria Cross or of the George Cross or any analogous payment.
14. (1) Any payment–
  - (a) by way of an education maintenance allowance made pursuant to;
    - (i) regulations made under section 518 of the Education Act 1996 (payment of school expenses; grant of scholarships etc);
    - (ii) regulations made under section 49 or 73(f) of the Education (Scotland) Act

- 1980 (power to assist persons to take advantage of educational facilities);  
 (iii) directions made under section 73ZA of the Education (Scotland) Act 1980 and paid under section 12(2)(c) of the Further and Higher Education (Scotland) Act 1992
- (b) corresponding to such an education maintenance allowance, made pursuant to;  
 (i) section 14 or section 181 of the Education Act 2002 (power of Secretary of State and National Assembly for Wales to give financial assistance for purposes related to education or childcare, and allowances in respect of education or training); or  
 (ii) regulations made under section 181 of that Act; or
- (iii) in England, by way of financial assistance made pursuant to section 14 of the Education Act 2002.
- (2) Any payment, other than a payment to which sub-paragraph (1) applies, made pursuant to;  
 (a) regulations made under section 518 of the Education Act 1996;  
 (b) regulations made under section 49 of the Education (Scotland) Act 1980; or  
 (c) directions made under section 73ZA of the Education (Scotland) Act 1980 and paid under section 12(2)(c) of the Further and Higher Education (Scotland) Act 1992, in respect of a course of study attended by a child or a young person or a person who is in receipt of an education maintenance allowance or other payment made pursuant to any provision specified in sub-paragraph (1).
15. Any payment made to the applicant by way of a repayment under regulation 11(2) of the Education (Teacher Student Loans) (Repayment etc.) Regulations 2002.
- 16 (1) Any payment made pursuant to section 2 of the 1973 Act or section 2 of the Enterprise and New Towns (Scotland) Act 1990 except a payment;  
 (a) made as a substitute for income support, a jobseeker's allowance, incapacity benefit, severe disablement allowance or an employment and support allowance;  
 (b) of an allowance referred to in section 2(3) of the 1973 Act or section 2(5) of the Enterprise and New Towns (Scotland) Act 1990; or  
 (c) intended to meet the cost of living expenses which relate to any one or more of the items specified in sub-paragraph (2) whilst an applicant is participating in an education, training, or other scheme to help him enhance his employment prospects unless the payment is a Career Development Loan paid pursuant to section 2 of the 1973 Act and the period of education or training or the scheme, which is supported by that loan, has been completed.
- (2) The items specified in this sub-paragraph for the purposes of sub-paragraph (1)(c) are food, ordinary clothing or footwear, household fuel or rent of the applicant or, where the applicant is a member of a family, any other member of his family, or any council tax or water charges for which that applicant or member is liable.
- 17 (1) Subject to sub-paragraph (2), any of the following payments;  
 (a) a charitable payment;  
 (b) a voluntary payment;  
 (c) a payment (not falling within sub-paragraph (a) or (b) above) from a trust whose funds are derived from a payment made in consequence of any personal injury to the applicant;  
 (d) a payment under an annuity purchased;  
 (i) pursuant to any agreement or court order to make payments to the applicant; or  
 (ii) from funds derived from a payment made, in consequence of any personal injury to the applicant; or  
 (e) a payment (not falling within sub-paragraphs (a) to (d) received by virtue of any agreement or court order to make payments to the applicant in consequence of any personal injury to the applicant.

- (2) Sub-paragraph (1) shall not apply to a payment, which is made or due to be made by–
  - (a) a former partner of the applicant, or a former partner of any member of the applicant’s family; or
  - (b) the parent of a child or young person where that child or young person is a member of the applicant’s family.
  
- 18. 100% of any of the following, namely
  - (a) a war disablement pension (except insofar as such a pension falls to be disregarded under paragraph 9 or 10);
  - (b) a war widow’s pension or war widower’s pension;
  - (c) a pension payable to a person as a widow, widower or surviving civil partner under any power of His Majesty otherwise than under an enactment to make provision about pensions for or in respect of persons who have been disabled or have died in consequence of service as members of the armed forces of the Crown;
  - (d) a guaranteed income payment;
  - (e) a payment made to compensate for the non-payment of such a pension or payment as is mentioned in any of the preceding sub-paragraphs;
  - (f) a pension paid by the government of a country outside Great Britain which is analogous to any of the pensions or payments mentioned in sub-paragraphs (a) to (d) above;
  - (g) pension paid to victims of National Socialist persecution under any special provision made by the law of the Federal Republic of Germany, or any part of it, or of the Republic of Austria.
  
- 19. £15 of any;
  - (a) widowed mother’s allowance paid pursuant to section 37 of the Act;
  - (b) widowed parent’s allowance paid pursuant to section 39A of the Act.
  
- 20. (1) Any income derived from capital to which the applicant is or is treated as beneficially entitled.
  
- 21. Where the applicant makes a parental contribution in respect of a student attending a course at an establishment in the United Kingdom or undergoing education in the United Kingdom, which contribution has been assessed for the purposes of calculating–
  - (a) under, or pursuant to regulations made under powers conferred by, sections 1 or 2 of the Education Act 1962 or section 22 of the Teaching and Higher Education Act 1998, that student’s award;
  - (b) under regulations made in exercise of the powers conferred by section 49 of the Education (Scotland) Act 1980, that student’s bursary, scholarship, or other allowance under that section or under regulations made in exercise of the powers conferred by section 73 of that Act of 1980, any payment to that student under that section; or
  - (c) the student’s student loan,
 an amount equal to the weekly amount of that parental contribution, but only in respect of the period for which that contribution is assessed as being payable.
  
- 22. (1) Where the applicant is the parent of a student aged under 25 in advanced education who either;
  - (a) is not in receipt of any award, grant, or student loan in respect of that education; or
  - (b) is in receipt of an award under section 2 of the Education Act 1962 (discretionary awards) or an award bestowed by virtue of the Teaching and Higher Education Act 1998, or regulations made thereunder, or a bursary, scholarship, or other allowance under section 49(1) of the Education (Scotland) Act 1980, or a payment under section 73 of that Act of 1980,
 and the applicant makes payments by way of a contribution towards the student’s maintenance, other than a parental contribution defined within this scheme.
  - (2) For the purposes of sub-paragraph (1), the amount shall be equal to–
    - (a) the weekly amount of the payments; or

- (b) the amount by way of a personal allowance for a single applicant under 25 less the weekly amount of any award, bursary, scholarship, allowance, or payment referred to in sub-paragraph (1)(b), whichever is less.
23. Any payment made to the applicant by a child or young person or a non- dependant.
24. Where the applicant occupies a dwelling as his home and the dwelling is also occupied by a person and there is a contractual liability to make payments to the applicant in respect of the occupation of the dwelling by that person or a member of his family–
- (a) where the aggregate of any payments made in respect of any one week in respect of the occupation of the dwelling by that person or a member of his family, or by that person and a member of his family, is less than £20, the whole of that amount; or
  - (b) where the aggregate of any such payments is £20 or more per week, £20.
25. (1) Where the applicant occupies a dwelling as his home and he provides in that dwelling board and lodging accommodation, an amount, in respect of each person for which such accommodation is provided for the whole or any part of a week, equal to–
- (a) where the aggregate of any payments made in respect of any one week in respect of such accommodation provided to such person does not exceed £20.00, 100 per cent. of such payments;
  - (b) where the aggregate of any such payments exceeds £20.00, £20.00 and 50 per cent. of the excess over £20.00.
- (2) In this paragraph, ‘board and lodging accommodation’ means accommodation provided to a person or, if he is a member of a family, to him or any other member of his family, for a charge which is inclusive of the provision of that accommodation and at least some cooked or prepared meals which both are cooked or prepared (by a person other than the person to whom the accommodation is provided or a member of his family) and are consumed in that accommodation or associated premises.
26. (1) Any income in kind, except where regulation 30(11)(b) (provision of support under section 95 or 98 of the Immigration and Asylum Act in the calculation of income other than earnings) applies.
- (2) The reference in sub-paragraph (1) to ‘income in kind’ does not include a payment to a third party made in respect of the applicant which is used by the third party to provide benefits in kind to the applicant.
27. Any income which is payable in a country outside the United Kingdom for such period during which there is a prohibition against the transfer to the United Kingdom of that income.
28. (1) Any payment made to the applicant in respect of a person who is a member of his family–
- (a) pursuant to regulations under section 2(6)(b), 3 or 4 of the Adoption and Children Act 2002 or in accordance or with a scheme approved by the Scottish Ministers under section 51A of the Adoption (Scotland) Act 1978(b) (schemes for payments of allowances to adopters); or in accordance with an Adoption Allowance Scheme made under section 71 of the Adoption and Children (Scotland) Act 2007 (Adoption Allowances Schemes)
  - (b) which is a payment made by a local authority in pursuance of section 15(1) of, and paragraph 15 of Schedule 1 to, the Children Act 1989 (local authority contribution to a child’s maintenance where the child is living with a person as a result of a residence order) or in Scotland section 50 of the Children Act 1975 (payments towards maintenance of children);
  - (c) which is a payment made by an authority, as defined in Article 2 of the Children Order, in pursuance of Article 15 of, and paragraph 17 of Schedule 1 to, that Order (contribution by an authority to child’s maintenance);

- (a) in accordance with regulations made pursuant to section 14F of the Children Act 1989(c) (special guardianship support services);
- (2) Any payment, other than a payment to which sub-paragraph (1)(a) applies, made to the applicant pursuant to regulations under section 2(6)(b), 3 or 4 of the Adoption and Children Act 2002.
29. Any payment made to the applicant with whom a person is accommodated by virtue of arrangements made
- (a) by a local authority under–
- (i) section 23(2)(a) of the Children Act 1989 (provision of accommodation and maintenance for a child whom they are looking after),
- (ii) section 26 of the Children (Scotland) Act 1995 (manner of provision of accommodation to child looked after by local authority), or
- (iii) regulations 33 or 51 of the Looked After Children (Scotland) Regulations 2009 (fostering and kinship care allowances and fostering allowances); or
- (b) by a voluntary organisation under section 59(1)(a) of the Children Act 1989 (provision of accommodation by voluntary organisations).
30. Any payment made to the applicant or his partner for a person ('the person concerned'), who is not normally a member of the applicant's household but is temporarily in his care, by–
- (a) a health authority;
- (b) a local authority but excluding payments of housing benefit made in respect of the person concerned;
- (c) a voluntary organisation;
- (d) the person concerned pursuant to section 26(3A) of the National Assistance Act 1948;
- (e) a primary care trust established under section 16A of the National Health Service Act 1977 or established by an order made under section 18(2)(c) of the National Health Service Act 2006; or
- (f) a Local Health Board established under section 16BA of the National Health Service Act 1977 or established by an order made under section 11 of the National Health Service (Wales) Act 2006
31. Any payment made by a local authority in accordance with section 17, 23B, 23C or 24A of the Children Act 1989 or, as the case may be, section 12 of the Social Work (Scotland) Act 1968 or section 22, 29 or 30 of the Children (Scotland) Act 1995 (provision of services for children and their families and advice and assistance to certain children).
32. (1) Subject to sub-paragraph (2), any payment (or part of a payment) made by a local authority in accordance with section 23C of the Children Act 1989(e) or section 29 of the Children (Scotland) Act 1995 (local authorities' duty to promote welfare of children and powers to grant financial assistance to persons in, or formerly in, their care) to a person ('A') which A passes on to the applicant.
- (2) Sub-paragraph (1) applies only where A;
- (a) was formerly in the applicant's care, and
- (b) is aged 18 or over, and
- (c) continues to live with the applicant.
33. (1) Subject to sub-paragraph (2), any payment received under an insurance policy taken out to insure against the risk of being unable to maintain repayments;
- (a) on a loan which is secured on the dwelling which the applicant occupies as his home; or
- (b) under a regulated agreement as defined for the purposes of the Consumer Credit Act 1974 or under a hire-purchase agreement or a conditional sale agreement as defined for the purposes of Part 3 of the Hire-Purchase Act 1964.
- (2) A payment referred to in sub-paragraph (1) shall only be disregarded to the extent that the payment received under that policy does not exceed the amounts, calculated on a weekly basis, which are used to–



- (a) maintain the repayments referred to in sub-paragraph (1)(a) or, as the case may be, (b); and
- (b) meet any amount due by way of premiums on–
  - (i) that policy; or
  - (ii) in a case to which sub-paragraph(1)(a) applies, an insurance policy taken out to insure against loss or damage to any building or part of a building which is occupied by the applicant as his home and which is required as a condition of the loan referred to in sub-paragraph (1)(a).

34. Any payment of income which is to be treated as capital.
35. Any social fund payment made pursuant to Part 8 of the Act (the Social Fund) or any local welfare provision as defined by the Social Security (Miscellaneous Amendments) Regulations 2013
36. Any payment under Part 10 of the Act (Christmas bonus for pensioners).
37. Where a payment of income is made in a currency other than sterling, any banking charge or commission payable in converting that payment into sterling.
38. (1) Any payment made under or by any of the Trusts, the Fund, the Eileen Trust, MFET Limited, the Skipton Fund, the Caxton Foundation, or the Independent Living Fund (2006).  
 (2) Any payment by or on behalf of a person who is suffering or who suffered from haemophilia or who is or was a qualifying person, which derives from a payment made under or by any of the Trusts to which sub-paragraph (1) refers and which is made to or for the benefit of–
  - (a) that person’s partner or former partner from whom he is not, or where that person has died was not, estranged or divorced or with whom he has formed a civil partnership that has not been dissolved or, where that person has died, had not been dissolved at the time of that person’s death;
  - (b) any child who is a member of that person’s family or who was such a member and who is a member of the applicant’s family; or
  - (c) any young person who is a member of that person’s family or who was such a member and who is a member of the applicant’s family.
- (3) Any payment by or on behalf of the partner or former partner of a person who is suffering or who suffered from haemophilia or who is or was a qualifying person provided that the partner or former partner and that person are not, or if either of them has died were not, estranged or divorced or, where the partner or former partner and that person have formed a civil partnership, the civil partnership has not been dissolved or, if either of them has died, had not been dissolved at the time of the death, which derives from a payment made under or by any of the Trusts to which sub-paragraph (1) refers and which is made to or for the benefit of;
- (a) the person who is suffering from haemophilia or who is a qualifying person;
  - (b) any child who is a member of that person’s family or who was such a member and who is a member of the applicant’s family; or
  - (c) any young person who is a member of that person’s family or who was such a member and who is a member of the applicant’s family.
- (4) Any payment by a person who is suffering from haemophilia or who is a qualifying person, which derives from a payment under or by any of the Trusts to which sub-paragraph (1) refers, where;
- (a) that person has no partner or former partner from whom he is not estranged or divorced or with whom he has formed a civil partnership that has not been dissolved, nor any child or young person who is or had been a member of that person’s family; and
  - (b) the payment is made either;
    - (i) to that person’s parent or step-parent, or
    - (ii) where that person at the date of the payment is a child, a young person or a

student who has not completed his full-time education and has no parent or step-parent, to his guardian, but only for a period from the date of the payment until the end of two years from that person's death.

(5) Any payment out of the estate of a person who suffered from haemophilia or who was a qualifying person, which derives from a payment under or by any of the Trusts to which sub-paragraph (1) refers, where;

(a) that person at the date of his death (the relevant date) had no partner or former partner from whom he was not estranged or divorced or with whom he has formed a civil partnership that has not been dissolved, nor any child or young person who was or had been a member of his family; and

(b) the payment is made either

(i) to that person's parent or step-parent, or

(ii) where that person at the relevant date was a child, a young person or a student who had not completed his full-time education and had no parent or step-parent, to his guardian,

but only for a period of two years from the relevant date.

(6) In the case of a person to whom or for whose support payment referred to in this paragraph is made, any income which derives from any payment of income or capital made under or deriving from any of the Trusts.

(7) For the purposes of sub-paragraphs (2) to (6), any reference to the Trusts shall be construed as including a reference to the Fund, the Eileen Trust, MFET Limited, the Skipton Fund, the Caxton Foundation, and the London Bombings Relief Charitable Fund.

39. Any Housing Benefit or where the applicant is entitled to an award of Universal Credit which includes a housing element, any sum determined by the authority as the proportion of housing costs award.
40. Any payment made by the Secretary of State to compensate for the loss (in whole or in part) of entitlement to housing benefit.
41. Any payment to a juror or witness in respect of attendance at a court other than compensation for loss of earnings or for the loss of a benefit payable under the benefit Acts.
42. Any payment in consequence of a reduction of council tax under section 13 or section 80 of the 1992 Act (reduction of liability for council tax).
43. (1) Any payment or repayment made—  
(a) as respects England, under regulation 5, 6 or 12 of the National Health Service (Travel Expenses and Remission of Charges) Regulations 2003 (travelling expenses and health service supplies);  
(b) as respects Wales, under regulation 5, 6 or 11 of the National Health Service (Travelling Expenses and Remission of Charges) (Wales) Regulations 2007 (travelling expenses and health service supplies);  
(c) as respects Scotland, under regulation 3, 5 or 11 of the National Health Service (Travelling Expenses and Remission of Charges) (Scotland) (No. 2) Regulations 2003 (travelling expenses and health service supplies).  
(2) Any payment or repayment made by the Secretary of State for Health, the Scottish Ministers, or the Welsh Ministers, which is analogous to a payment or repayment, mentioned in sub-paragraph (1).
44. Any payment made to such persons entitled to receive benefits as may be determined by or under a scheme made pursuant to section 13 of the Social Security Act 1988 in lieu of vouchers or similar arrangements in connection with the provision of those benefits (including payments made in place of healthy start vouchers, milk tokens or the supply of vitamins).

45. Any payment made by either the Secretary of State for Justice or by the Scottish Ministers under a scheme established to assist relatives and other persons to visit persons in custody.
46. (1) Where an applicant's family includes at least one child or young person, £15 of any payment of maintenance, other than child maintenance, whether under a court order or not, which is made or due to be made by the applicant's former partner, or the applicant's partner's former partner.  
 (2) For the purpose of sub-paragraph (1) where more than one maintenance payment falls to be taken into account in any week, all such payments such be aggregated and treated as if they were a single payment.  
 (3) A payment made by the Secretary of State in lieu of maintenance shall, for the purpose of sub-paragraph (1), be treated as a payment of maintenance made by a person specified in sub-paragraph (1).
47. (1) Any payment of child maintenance made or derived from a liable relative where the child or young person in respect of whom the payment is made is a member of the applicant's family, except where the person making the payment is the applicant or the applicant's partner.  
 (2) In paragraph (1)  
 'child maintenance' means any payment towards the maintenance of a child or young person, including any payment made voluntarily and payments made under;  
 (a) the Child Support Act 1991;  
 (b) the Child Support (Northern Ireland) Order 1991;  
 (c) a court order;  
 (d) a consent order;  
 (e) a maintenance agreement registered for execution in the Books of Council and Session or the sheriff court books;  
 'liable relative' means a person listed in regulation 54 (interpretation) of the Income Support (General) Regulations 1987, other than a person falling within sub-paragraph (d) of that definition.
48. Any payment (other than a training allowance) made, whether by the Secretary of State or any other person, under the Disabled Persons (Employment) Act 1944 to assist disabled persons to obtain or retain employment despite their disability.
49. Any guardian's allowance.
50. (1) If the applicant is in receipt of any benefit under Parts 2, 3 or 5 of the Act, any increase in the rate of that benefit arising under Part 4 (increases for dependants) or section 106(a) (unemployability supplement) of the Act, where the dependant in respect of whom the increase is paid is not a member of the applicant's family.  
 (2) If the applicant is in receipt of any pension or allowance under Part 2 or 3 of the Naval, Military and Air Forces Etc. (Disablement and Death) Service Pensions Order 2006, any increase in the rate of that pension or allowance under that Order, where the dependant in respect of whom the increase is paid is not a member of the applicant's family.
51. Any supplementary pension under article 23(2) of the Naval, Military and Air Forces Etc. (Disablement and Death) Service Pensions Order 2006 (pensions to surviving spouses and surviving civil partners) and any analogous payment made by the Secretary of State for Defence to any person who is not a person entitled under that Order.
52. In the case of a pension awarded at the supplementary rate under article 27(3) of the Personal Injuries (Civilians) Scheme 1983(a) (pensions to widows, widowers or surviving civil partners), the sum specified in paragraph 1(c) of Schedule 4 to that Scheme.
- 53 (1) Any payment which is  
 (a) made under any of the Dispensing Instruments to a widow, widower or

- (b) surviving civil partner of a person;
  - (i) whose death was attributable to service in a capacity analogous to service as a member of the armed forces of the Crown; and
  - (ii) whose service in such capacity terminated before 31st March 1973; and equal to the amount specified in article 23(2) of the Naval, Military and Air Forces Etc. (Disablement and Death) Service Pensions Order 2006.

(2) In this paragraph ‘the Dispensing Instruments’ means the Order in Council of 19th December 1881, the Royal Warrant of 27th October 1884 and the Order by His Majesty of 14th January 1922 (exceptional grants of pay, non-effective pay and allowances).

- 54. Any council tax reduction or council tax benefit to which the applicant is entitled.
- 55. Any payment made under section 12B of the Social Work (Scotland) Act 1968, or under sections 12A to 12D of the National Health Service Act 2006 (direct payments for health care) or under regulations made under section 57 of the Health and Social Care Act 2001 (direct payments).
- 56. (1) Subject to sub-paragraph (2), in respect of a person who is receiving, or who has received, assistance under the self-employment route, any payment to that person—
  - (a) to meet expenses wholly and necessarily incurred whilst carrying on the commercial activity;
  - (b) which is used or intended to be used to maintain repayments on a loan taken out by that person for the purpose of establishing or carrying on the commercial activity,
 in respect of which such assistance is or was received.  
 (2) Sub-paragraph (1) shall apply only in respect of payments, which are paid to that person from the special account
- 57. (1) Any payment of a sports award except to the extent that it has been made in respect of any one or more of the items specified in sub-paragraph (2).  
 (2) The items specified for the purposes of sub-paragraph (1) are food, ordinary clothing or footwear, household fuel or rent of the applicant or where the applicant is a member of a family, any other member of his family, or any council tax or water charges for which that applicant or member is liable.  
 (3) For the purposes of sub-paragraph (2) ‘food’ does not include vitamins, minerals or other special dietary supplements intended to enhance the performance of the person in the sport in respect of which the award was made.
- 58. Where the amount of subsistence allowance paid to a person in a reduction week exceeds the amount of income-based jobseeker’s allowance that person would have received in that reduction week had it been payable to him, less 50p, that excess amount.
- 59. In the case of an applicant participating in an employment zone programme, any discretionary payment made by an employment zone contractor to the applicant, being a fee, grant, loan or otherwise.
- 60. Any discretionary housing payment paid pursuant to regulation 2(1) of the Discretionary Financial Assistance Regulations 2001 as amended by the Welfare Reform Act 2012 (Consequential Amendments) Regulations 2013.
- 61. (1) Any payment made by a local authority or by the Welsh Ministers to or on behalf of the applicant or his partner relating to a service which is provided to develop or sustain the capacity of the applicant or his partner to live independently in his accommodation.  
 (2) For the purposes of sub-paragraph (1) ‘local authority’ includes, in England, a county council.
- 62. Any payments to a claimant made under section 49 of the Children and Families Act 2014 (personal budgets and direct payments)
- 63. Any payment of child benefit.

64. Any Windrush compensation payment.
65. Any payment made under the We Love Manchester Emergency Fund.
66. Any payment made under the London Emergency Trust.
67. Carers Allowance.
68. The support component of Employment and Support Allowance.
69. Where the applicant, partner or any dependant / young person is deemed to be disabled, a further disregard of £40 shall be made from their weekly income.
70. Any Local Welfare Payment paid to the applicant by the authority;
71. Any payment of Council Tax Rebate paid under the Government announcement on 3<sup>rd</sup> February 2022.
72. Any payment made under the Energy Rebate Scheme 2022 is to be disregarded in determining:
  - (a) an applicant's entitlement to a reduction under the scheme; or
  - (b) the amount of any reduction to which the applicant is entitled.

"The Energy Rebate Scheme 2022" means the scheme to provide financial support in respect of energy bills which was announced in Parliament by the Chancellor of the Exchequer on 3<sup>rd</sup> February 2022.
73. The Disabled Child , Child Care, Limited Capability for Work, Limited Capability for Work and Work Related Activity, Carers or Severe Disability elements of Universal Credit (this includes any transitional award).
74. **Provision for all applicants: Homes for Ukraine scheme**
  - (1) Any payment made in connection with the Homes for Ukraine scheme is to be disregarded in determining—
    - (a) an applicant's entitlement to a reduction under the scheme; or
    - (b) the amount of any reduction to which the applicant is entitled.
  - (2) In this regulation—
 

"the Homes for Ukraine scheme" means the Homes for Ukraine sponsorship scheme which was announced in Parliament by the Secretary of State for Levelling Up, Housing and Communities on 14<sup>th</sup> March 2022.

**Schedule 3**  
**Capital to be disregarded.**

1. The dwelling together with any garage, garden, and outbuildings, normally occupied by the applicant as his home including any premises not so occupied which it is impracticable or unreasonable to sell separately, in particular 5, in Scotland, any croft land on which the dwelling is situated; but, notwithstanding section 15 (calculation of income and capital of members of applicant's family and of polygamous marriage), only one dwelling shall be disregarded under this paragraph.
2. Any payment made to the applicant in respect of any travel or other expenses incurred, or to be incurred, by him in respect of his participation in the Mandatory Work Activity Scheme but only for 52 weeks beginning with the date of receipt of the payment.
3. Any payment made to the applicant in respect of any travel or other expenses incurred or to be incurred, by him in respect of his participation in the Employment, Skills, and Enterprise Scheme or Back to Work Scheme but only for 52 weeks beginning with the date of receipt of the payment but only for 52 weeks beginning with the date of receipt of payment.
4. Any premises acquired for occupation by the applicant, which he intends to occupy as his home within 26 weeks of the date of acquisition or such longer period as is reasonable in the circumstances to enable the applicant to obtain possession and commence occupation of the premises.
5. Any sum directly attributable to the proceeds of sale of any premises formerly occupied by the applicant as his home which is to be used for the purchase of other premises intended for such occupation within 26 weeks of the date of sale or such longer period as is reasonable in the circumstances to enable the applicant to complete the purchase.
6. Any premises occupied in whole or in part—
  - (a) by a partner or relative of a single applicant or any member of the family as his home where that person has attained the qualifying age for state pension credit or is incapacitated;
  - (b) by the former partner of the applicant as his home; but this provision shall not apply where the former partner is a person from whom the applicant is estranged or divorced or with whom he had formed a civil partnership that has been dissolved.
7. Where an applicant is on income support, an income-based jobseeker's allowance or an income-related employment and support allowance, the whole of his capital.
8. Where the applicant is a member of a joint-claim couple for the purposes of the Jobseekers Act 1995 and his partner is on income-based jobseeker's allowance, the whole of the applicant's capital.
9. Any future interest in property of any kind, other than land or premises in respect of which the applicant has granted a subsisting lease or tenancy, including sub-leases or sub-tenancies.
10. (1) The assets of any business owned in whole or in part by the applicant and for the purposes of which he is engaged as a self-employed earner, or if he has ceased to be so engaged, for such period as may be reasonable in the circumstances to allow for disposal of any such asset.  
 (2) The assets of any business owned in whole or in part by the applicant where—
  - (a) he is not engaged as a self-employed earner in that business by reason of some disease or bodily or mental disablement; but
  - (b) he intends to become engaged or, as the case may be, re-engaged as a self-employed earner in that business as soon as he recovers or is able to become engaged or re-engaged in that business;

for a period of 26 weeks from the date on which the claim for council tax reduction is made, or is treated as made, or, if it is unreasonable to expect him to become engaged

or re-engaged in that business within that period, for such longer period as is reasonable in the circumstances to enable him to become so engaged or re-engaged.

(3) In the case of a person who is receiving assistance under the self-employment route, the assets acquired by that person for the purpose of establishing or carrying on the commercial activity in respect of which such assistance is being received.

(4) In the case of a person who has ceased carrying on the commercial activity in respect of which assistance was received as specified in sub-paragraph (3), the assets relating to that activity for such period as may be reasonable in the circumstances to allow for disposal of any such asset.

11. (1) Subject to sub-paragraph (2), any arrears of, or any concessionary payment made to compensate for arrears due to the non-payment of;
- (a) an income-related benefit;
  - (b) an income-based jobseeker's allowance;
  - (c) any discretionary housing payment paid pursuant to regulation 2(1) of the Discretionary Financial Assistance Regulations 2001;
  - (d) working tax credit and child tax credit
  - (e) an income-related employment and reduction allowance

but only for a period of 52 weeks from the date of the receipt of arrears or of the concessionary payment.

12. Any sum
- (a) paid to the applicant in consequence of damage to, or loss of the home or any personal possession and intended for its repair or replacement; or
  - (b) acquired by the applicant (whether as a loan or otherwise) on the express condition that it is to be used for effecting essential repairs or improvement to the home, which is to be used for the intended purpose, for a period of 26 weeks from the date on which it was so paid or acquired or such longer period as is reasonable in the circumstances to effect the repairs, replacement, or improvement.

13. Any sum –
- (a) deposited with a housing association as defined in section 1(1) of the Housing Associations Act 1985 or section 338(1) of the Housing (Scotland) Act 1987 as a condition of occupying the home;
  - (b) which was so deposited and which is to be used for the purchase of another home, for the period of 26 weeks or such longer period as may be reasonable in the circumstances to enable the applicant to complete the purchase.

14. Any personal possessions except those which have been acquired by the applicant with the intention of reducing his capital in order to secure entitlement to council tax reduction or to increase the amount of that reduction.

15. The value of the right to receive any income under an annuity or the surrender value (if any) of such an annuity.

16. Where the funds of a trust are derived from a payment made in consequence of any personal injury to the applicant or applicant's partner, the value of the trust fund and the value of the right to receive any payment under that trust.

17. (1) Any payment made to the applicant or the applicant's partner in consequence of any personal injury to the applicant or, as the case may be, the applicant's partner.

(2) But sub-paragraph (1)

(a) applies only for the period of 52 weeks beginning with the day on which the



applicant first receives any payment in consequence of that personal injury;  
(b) does not apply to any subsequent payment made to him in consequence of that injury (whether it is made by the same person or another);  
(c) ceases to apply to the payment or any part of the payment from the day on which the applicant no longer possesses it;  
(d) does not apply to any payment from a trust where the funds of the trust are derived from a payment made in consequence of any personal injury to the applicant.

(3) For the purposes of sub-paragraph (2)(c), the circumstances in which an applicant no longer possesses a payment or a part of it include where the applicant has used a payment or part of it to purchase an asset.

(4) References in sub-paragraphs (2) and (3) to the applicant are to be construed as including references to his partner (where applicable).

18. The value of the right to receive any income under a life interest or from a life rent.
19. The surrender value of any policy of life insurance.
20. Where any payment of capital falls to be made by instalments, the value of the right to receive any outstanding instalments.
21. Any payment made by a local authority in accordance with section 17, 23B, 23C or 24A of the Children Act 1989 or, as the case may be, section 12 of the Social Work (Scotland) Act 1968 or sections 22, 29 or 30 of the Children (Scotland) Act 1995 (provision of services for children and their families and advice and assistance to certain children).
22. (1) Subject to sub-paragraph (2), any payment (or part of a payment) made by a local authority in accordance with section 23C of the Children Act 1989 or section 29 of the Children (Scotland) Act 1995 (local authorities' duty to promote welfare of children and powers to grant financial assistance to persons in, or formerly in, their care) to a person ('A') which A passes on to the applicant.  
  
(2) Sub-paragraph (1) applies only where A;
  - (a) was formerly in the applicant's care, and
  - (b) is aged 18 or over, and
  - (c) continues to live with the applicant.
23. Any social fund payment.
24. Any refund of tax which falls to be deducted under section 369 of the Income and Corporation Taxes Act 1988 (deduction of tax from certain loan interest) on a payment of relevant loan interest for the purpose of acquiring an interest in the home or carrying out repairs or improvements to the home.
25. Any capital which, by virtue of sections 31 or 51 (capital treated as income, treatment of student loans) is to be treated as income.
26. Where any payment of capital is made in a currency other than sterling, any banking charge or commission payable in converting that payment into sterling.
27. Any payment made under or by the Trusts, the Fund, the Eileen Trust, MFET Limited, the Independent Living Fund (2006), the Skipton Fund, the Caxton Foundation, or the Charitable Fund.
28. Any payment by or on behalf of a person who is suffering or who suffered from haemophilia or who is or was a qualifying person, which derives from a payment made under or by any of the Trusts to which sub-paragraph (1) refers and which is made to or for the benefit of—

- (a) that person's partner or former partner from whom he is not, or where that person has died was not, estranged or divorced or with whom he has formed a civil partnership that has not been dissolved or, where that person has died, had not been dissolved at the time of that person's death;
- (b) any child who is a member of that person's family or who was such a member and who is a member of the applicant's family; or
- (c) any young person who is a member of that person's family or who was such a member and who is a member of the applicant's family.

(3) Any payment by or on behalf of the partner or former partner of a person who is suffering or who suffered from haemophilia or who is or was a qualifying person provided that the partner or former partner and that person are not, or if either of them has died were not, estranged or divorced or, where the partner or former partner and that person have formed a civil partnership, the civil partnership has not been dissolved or, if either of them has died, had not been dissolved at the time of the death, which derives from a payment made under or by any of the Trusts and which is made to or for the benefit of—

- (a) the person who is suffering from haemophilia or who is a qualifying person;
- (b) any child who is a member of that person's family or who was such a member and who is a member of the applicant's family; or
- (c) any young person who is a member of that person's family or who was such a member and who is a member of the applicant's family.

(4) Any payment by a person who is suffering from haemophilia or who is a qualifying person, which derives from a payment under or by any of the Trusts where—

- (a) that person has no partner or former partner from whom he is not estranged or divorced or with whom he has formed a civil partnership that has not been dissolved, nor any child or young person who is or had been a member of that person's family; and
- (b) the payment is made either;
  - (i) to that person's parent or step-parent; or
  - (ii) where that person at the date of the payment is a child, a young person or a student who has not completed his full-time education and has no parent or step-parent, to his guardian, but only for a period from the date of the payment until the end of two years from that person's death.

(5) Any payment out of the estate of a person who suffered from haemophilia or who was a qualifying person, which derives from a payment under or any of the Trusts where

- (a) that person at the date of his death (the relevant date) had no partner or former partner from whom he was not estranged or divorced or with whom he had formed a civil partnership that had not been dissolved, nor any child or young person who was or had been a member of his family; and
- (b) the payment is made either;
  - (i) to that person's parent or step-parent; or
  - (ii) where that person at the relevant date was a child, a young person or a student who had not completed his full-time education and had no parent or step-parent, to his guardian, but only for a period of two years from the relevant date.

(6) In the case of a person to whom or for whose support payment referred to in this paragraph is made, any capital resource which derives from any payment of income or capital made under or deriving from any of the Trusts.

(7) Any reference to the Trusts shall be construed as including a reference to the Fund, the Eileen Trust, MFET Limited the Skipton Fund, the Caxton Foundation, and the London Bombings Relief Charitable Fund.

29. (1) Where an applicant has ceased to occupy what was formerly the dwelling occupied as the home following his estrangement or divorce from, or dissolution of his civil partnership with, his former partner, that dwelling for a period of 26 weeks from the date on which he ceased to occupy that dwelling or, where the dwelling is occupied as the home by the former partner who is a lone parent, for so long as it is so occupied.
- (2) In this paragraph 'dwelling' includes any garage, garden, and outbuildings, which were formerly occupied by the applicant as his home and any premises not so occupied which it is impracticable or unreasonable to sell separately, in particular, in Scotland, any croft land on which the dwelling is situated.
30. Any premises where the applicant is taking reasonable steps to dispose of those premises, for a period of 26 weeks from the date on which he first took such steps, or such longer period as is reasonable in the circumstances to enable him to dispose of those premises.
31. Any premises which the applicant intends to occupy as his home, and in respect of which he is taking steps to obtain possession and has sought legal advice, or has commenced legal proceedings, with a view to obtaining possession, for a period of 26 weeks from the date on which he first sought such advice or first commenced such proceedings whichever is the earlier, or such longer period as is reasonable in the circumstances to enable him to obtain possession and commence occupation of those premises.
32. Any premises which the applicant intends to occupy as his home to which essential repairs or alterations are required in order to render them fit for such occupation, for a period of 26 weeks from the date on which the applicant first takes steps to effect those repairs or alterations, or such longer period as is necessary to enable those repairs or alterations to be carried out.
33. Any payment made by the Secretary of State to compensate for the loss (in whole or in part) of entitlement to housing benefit.
34. The value of the right to receive an occupational or personal pension.
35. The value of any funds held under a personal pension scheme
36. The value of the right to receive any rent except where the applicant has a reversionary interest in the property in respect of which rent is due.
37. Any payment in kind made by a charity or under or by the Trusts, the Fund, MFET Limited, the Skipton Fund, the Caxton Foundation, or the Independent Living Fund (2006).
38. Any payment made pursuant to section 2 of the 1973 Act or section 2 of the Enterprise and New Towns (Scotland) Act 1990, but only for the period of 52 weeks beginning on the date of receipt of the payment.
39. Any payment in consequence of a reduction of council tax under section 13 or, as the case may be, section 80 of the Local Government Finance Act 1992 (reduction of liability for council tax), but only for a period of 52 weeks from the date of the receipt of the payment.
40. Any grant made in accordance with a scheme made under section 129 of the Housing Act 1988 or section 66 of the Housing (Scotland) Act 1988 (schemes for payments to assist local housing authority and local authority tenants to obtain other accommodation) which is to be used—
- (a) to purchase premises intended for occupation as his home; or
  - (b) to carry out repairs or alterations which are required to render premises fit for occupation as his home,
- for a period of 26 weeks from the date on which he received such a grant or such longer period as is reasonable in the circumstances to enable the purchase, repairs, or alterations to be completed and the applicant to commence occupation of those premises as his home.

41. Any arrears of supplementary pension which is disregarded under this scheme but only for a period of 52 weeks from the date of receipt of the arrears.
42. (1) Any payment or repayment made—  
 (a) as respects England, under regulation 5, 6 or 12 of the National Health Service (Travel Expenses and Remission of Charges) Regulations 2003 (travelling expenses and health service supplies);  
 (b) as respects Wales, under regulation 5, 6 or 11 of the National Health Service (Travelling Expenses and Remission of Charges) (Wales) Regulations 2007 (travelling expenses and health service supplies);  
 (c) as respects Scotland, under regulation 3, 5 or 11 of the National Health Service (Travelling Expenses and Remission of Charges) (Scotland) (No. 2) Regulations 2003 (travelling expenses and health service supplies),  
 but only for a period of 52 weeks from the date of receipt of the payment or repayment.  
 (2) Any payment or repayment made by the Secretary of State for Health, the Scottish Ministers, or the Welsh Ministers, which is analogous to a payment, or repayment mentioned in sub-paragraph (1), but only for a period of 52 weeks from the date of the receipt of the payment or repayment.
43. Any payment made to such persons entitled to receive benefits as may be determined by or under a scheme made pursuant to section 13 of the Social Security Act 1988 in lieu of vouchers or similar arrangements in connection with the provision of those benefits (including payments made in place of healthy start vouchers, milk tokens or the supply of vitamins), but only for a period of 52 weeks from the date of receipt of the payment.
44. Any payment made under Part 8A of the Act (entitlement to health in pregnancy grant).
45. Any payment made either by the Secretary of State for Justice or by Scottish Ministers under a scheme established to assist relatives and other persons to visit persons in custody, but only for a period of 52 weeks from the date of the receipt of the payment.
46. Any payment (other than a training allowance) made, whether by the Secretary of State or any other person, under the Disabled Persons (Employment) Act 1944 to assist disabled persons to obtain or retain employment despite their disability.
47. Any payment made by a local authority under section 3 of the Disabled Persons (Employment) Act 1958 to homeworkers assisted under the Blind Homeworkers' Scheme.
48. (1) Subject to sub-paragraph (2), where an applicant satisfies the conditions in section 131(3) and (6) of the Act (entitlement to alternative maximum council tax reduction), the whole of his capital.  
 (2) Where in addition to satisfying the conditions in section 131(3) and (6) of the Act the applicant also satisfies the conditions in section 131(4) and (5) of the Act (entitlement to the maximum council tax reduction), sub-paragraph (1) shall not have effect.
49. (1) Any sum of capital to which sub-paragraph (2) applies and  
 (a) which is administered on behalf of a person by the High Court or the County Court under Rule 21.11(1) of the Civil Procedure Rules 1998 or by the Court of Protection;  
 (b) which can only be disposed of by order or direction of any such court; or  
 (c) where the person concerned is under the age of 18, which can only be disposed of by order or direction prior to that person attaining age 18.  
 (2) This sub-paragraph applies to a sum of capital which is derived from;  
 (a) an award of damages for a personal injury to that person; or  
 (b) compensation for the death of one or both parents where the person concerned is under the age of 18.
50. Any sum of capital administered on behalf of a person in accordance with an order made under

section 13 of the Children (Scotland) Act 1995, or under Rule 36.14 of the Ordinary Cause Rules 1993 or under Rule 128 of those Rules, where such sum derives from

- (a) award of damages for a personal injury to that person; or
- (b) compensation for the death of one or both parents where the person concerned is under the age of 18.

51. Any payment to the applicant as holder of the Victoria Cross or George Cross.
52. In the case of a person who is receiving, or who has received, assistance under the self-employment route, any sum of capital which is acquired by that person for the purpose of establishing or carrying on the commercial activity in respect of which such assistance is or was received but only for a period of 52 weeks from the date on which that sum was acquired.
53. (1) Any payment of a sports award for a period of 26 weeks from the date of receipt of that payment except to the extent that it has been made in respect of any one or more of the items specified in sub-paragraph (2).
- (2) The items specified for the purposes of sub-paragraph (1) are food, ordinary clothing or footwear, household fuel or rent of the applicant or, where the applicant is a member of a family, any other member of his family, or any council tax or water charges for which that applicant or member is liable.
- (3) For the purposes of sub-paragraph (2) 'food' does not include vitamins, minerals or other special dietary supplements intended to enhance the performance of the person in the sport in respect of which the award was made.
54. (1) Any payment;
- (a) by way of an education maintenance allowance made pursuant to—
    - (i) regulations made under section 518 of the Education Act 1996;
    - (ii) regulations made under section 49 or 73(f) of the Education (Scotland) Act 1980;
    - (iii) directions made under section 73ZA of the Education (Scotland) Act 1980 and paid under section 12(2)(c) of the Further and Higher Education (Scotland) Act 1992;
  - (b) corresponding to such an education maintenance allowance, made pursuant to;
    - (i) section 14 or section 181 of the Education Act 2002 (power of Secretary of State and National Assembly for Wales to give financial assistance for purposes related to education or childcare, and allowances in respect of education or training); or
    - (ii) regulations made under section 181 of that Act ;
- or in England, by way of financial assistance made pursuant to section 14 of the Education Act 2002.
- (2) Any payment, other than a payment to which sub-paragraph (1) applies, made pursuant to;
  - (a) regulations made under section 518 of the Education Act 1996;
  - (b) regulations made under section 49 of the Education (Scotland) Act 1980; or
  - (c) directions made under section 73ZA of the Education (Scotland) Act 1980 and paid under section 12(2)(c) of the Further and Higher Education (Scotland) Act 1992, in respect of a course of study attended by a child or a young person or a person who is in receipt of an education maintenance allowance or other payment made pursuant to any provision specified in sub-paragraph (1).
55. In the case of an applicant participating in an employment zone programme, any discretionary payment made by an employment zone contractor to the applicant, being a fee, grant, loan or otherwise, but only for the period of 52 weeks from the date of receipt of the payment.
56. Any arrears of subsistence allowance paid as a lump sum but only for the period of 52 weeks from the date of receipt of the payment.
57. Where an ex-gratia payment of £10,000 has been made by the Secretary of State on or after 1st

February 2001 in consequence of the imprisonment or interment of–

- (a) the applicant;
- (b) the applicant's partner;
- (c) the applicant's deceased spouse or deceased civil partner; or
- (d) the applicant's partner's deceased spouse or deceased civil partner,

by the Japanese during the Second World War, £10,000.

58. (1) Subject to sub-paragraph (2), the amount of any trust payment made to an applicant or a member of an applicant's family who is
- (a) a diagnosed person;
  - (b) the diagnosed person's partner or the person who was the diagnosed person's partner at the date of the diagnosed person's death;
  - (c) a parent of a diagnosed person, a person acting in place of the diagnosed person's parents or a person who was so acting at the date of the diagnosed person's death; or
  - (d) a member of the diagnosed person's family (other than his partner) or a person who was a member of the diagnosed person's family (other than his partner) at the date of the diagnosed person's death.
- (2) Where a trust payment is made to;
- (a) a person referred to in sub-paragraph (1)(a) or (b), that sub-paragraph shall apply for the period beginning on the date on which the trust payment is made and ending on the date on which that person dies;
  - (b) a person referred to in sub-paragraph (1)(c), that sub-paragraph shall apply for the period beginning on the date on which the trust payment is made and ending two years after that date;
  - (c) a person referred to in sub-paragraph (1)(d), that sub-paragraph shall apply for the period beginning on the date on which the trust payment is made and ending–
    - (i) two years after that date; or
    - (ii) on the day before the day on which that person–
      - (aa) ceases receiving full-time education; or
      - (bb) attains the age of 20,whichever is the latest.
- (3) Subject to sub-paragraph (4), the amount of any payment by a person to whom a trust payment has been made or of any payment out of the estate of a person to whom a trust payment has been made, which is made to an applicant or a member of an applicant's family who is–
- (a) the diagnosed person's partner or the person who was the diagnosed person's partner at the date of the diagnosed person's death;
  - (b) a parent of a diagnosed person, a person acting in place of the diagnosed person's parents or a person who was so acting at the date of the diagnosed person's death; or
  - (c) a member of the diagnosed person's family (other than his partner) or a person who was a member of the diagnosed person's family (other than his partner) at the date of the diagnosed person's death,
- but only to the extent that such payments do not exceed the total amount of any trust payments made to that person.
- (4) Where a payment as referred to in sub-paragraph (3) is made to–
- (a) a person referred to in sub-paragraph (3)(a), that sub-paragraph shall apply for the period beginning on the date on which that payment is made and ending on the date on which that person dies;
  - (b) a person referred to in sub-paragraph (3)(b), that sub-paragraph shall apply for the period beginning on the date on which that payment is made and ending two years after that date; or
  - (c) person referred to in sub-paragraph (3)(c), that sub-paragraph shall apply for the period beginning on the date on which that payment is made and ending–
    - (i) two years after that date; or

- (ii) on the day before the day on which that person
  - (aa) ceases receiving full-time education; or
  - (bb) attains the age of 20,whichever is the latest.

- (5) In this paragraph, a reference to a person—
  - (a) being the diagnosed person’s partner;
  - (b) being a member of a diagnosed person’s family;
  - (c) acting in place of the diagnosed person’s parents,at the date of the diagnosed person’s death shall include a person who would have been such a person or a person who would have been so acting, but for the diagnosed person residing in a care home, an Abbeyfield Home, or an independent hospital on that date.
- (6) In this paragraph— ‘diagnosed person’ means a person who has been diagnosed as suffering from, or who, after his death, has been diagnosed as having suffered from, variant Creutzfeld- Jakob disease;  
‘relevant trust’ means a trust established out of funds provided by the Secretary of State in respect of persons who suffered, or who are suffering, from variant Creutzfeld-Jakob disease for the benefit of persons eligible for payments in accordance with its provisions;  
‘trust payment’ means a payment under a relevant trust.

- 59. The amount of any payment, other than a war pension, to compensate for the fact that the applicant, the applicant’s partner, the applicant’s deceased spouse or deceased civil partner or the applicant’s partner’s deceased spouse or deceased civil partner
  - (a) was a slave labourer or a forced labourer;
  - (b) had suffered property loss or had suffered personal injury; or
  - (c) was a parent of a child who had died,during the Second World War.
- 60. (1) Any payment made by a local authority, or by the Welsh Ministers, to or on behalf of the applicant or his partner relating to a service, which is provided to develop or sustain the capacity of the applicant or his partner to live independently in his accommodation.  
  
(2) For the purposes of sub-paragraph (1) ‘local authority’ includes in England a county council.
- 61. Any payment made under regulations made under section 57 of the Health and Social Care Act 2001 or under section 12B of the Social Work (Scotland) Act 1968, or under section 12A to 12D of the National Health Service Act 2006 (direct payments for health care).
- 62. Any payment made to the applicant pursuant to regulations under section 2(6)(b), 3 or 4 of the Adoption and Children Act 2002.
- 63. Any payment made to the applicant in accordance with regulations made pursuant to section 14F of the Children Act 1989 (special guardianship support services).
- 64. Any payments to a claimant made under section 49 of the Children and Families Act 2014 (personal budgets and direct payments),
- 65. Any Windrush compensation payment.
- 66. Any payment made under the We Love Manchester Emergency Fund.
- 67. Any payment made under the London Emergency Trust.
- 68. Any payment made under the Energy Rebate Scheme 2022 is to be disregarded in determining:
  - (a) an applicant’s entitlement to a reduction under the scheme; or
  - (b) the amount of any reduction to which the applicant is entitled.“The Energy Rebate Scheme 2022” means the scheme to provide financial support in respect of

energy bills which was announced in Parliament by the Chancellor of the Exchequer on 3rd February 2022.

**69. Provision for all applicants: Homes for Ukraine scheme**

(1) Any payment made in connection with the Homes for Ukraine scheme is to be disregarded in determining—

- (c) an applicant’s entitlement to a reduction under the scheme; or
- (d) the amount of any reduction to which the applicant is entitled.

(2) In this regulation—

“the Homes for Ukraine scheme” means the Homes for Ukraine sponsorship scheme which was announced in Parliament by the Secretary of State for Levelling Up, Housing and Communities on 14th March 2022.



**Schedule 4**

**Class E - Care Leavers**

1. The Council has determined that defined care leavers will have an entitlement under this scheme where they are liable to pay Council Tax.

#### **Definition of a Care Leaver for the purposes of this scheme**

2. The term 'care leaver' is defined in The Children (Care Leavers) Act 2000 and refers to eligible, relevant, and former relevant children:
  - The person is someone for whom a council has acted previously as a corporate parent;
  - Relevant children are those young people aged 16 and 17 who have already left care, and who were 'looked after' for at least 13 weeks from the age of 14 and have been 'looked after' at some time while they were 16 or 17; and
  - Former relevant children are those young people aged 18, 19 or 20 who have been eligible and/or relevant.
3. Care leavers can also be classified as a 'qualifying' care leaver. This category applies to young people who:
  - (a) Left care after 1st October 2001, after they had turned 16, but who are not 'eligible' or 'relevant' because they did not fulfil the 13-week criteria;
  - (b) Were accommodated, but in residential education, mental/health provision private fostering or Special Guardianship; or
  - (c) For the purposes of this policy 'qualifying care leavers' will be treated in the same way as 'care leavers'.
4. Additionally former care leavers born before 2001 will be designated as a qualifying care leaver for the purposes of this policy.

#### **Entitlement to a reduction**

5. Where the care leaver meets the definition as defined above **and** either the care leaver or their partner (if they have one) is liable for Council Tax, all income and capital (of the care leaver and their partner) shall be disregarded.
6. In such cases, the maximum Council Tax Reduction as calculated under Section 48 shall be 100%.

#### **Transition from S13A(1)(C)**

7. Previously the Council provided assistance to care leavers under Section 13A(1) (c) of the Local Government Finance Act 1992. Where the care leaver is moved to this scheme, any claim for reduction received no later than 30th June 2024, shall be treated as effective from 1st April 2024. Section 52.10 shall not apply to care leavers defined in this schedule.

<b>MIDDLESBROUGH COUNCIL</b>	
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<b>Report of:</b>	Director of Finance and Transformation (s151 officer)
<b>Relevant Executive Member:</b>	Executive Member for Finance
<b>Submitted to:</b>	Executive
<b>Date:</b>	5 February 2025
<b>Title:</b>	Customer Strategy
<b>Report for:</b>	Decision
<b>Status:</b>	Public
<b>Council Plan priority:</b>	A Successful and Ambitious Town; A Health Place' Delivering Best value
<b>Key decision:</b>	Yes
<b>Why:</b>	Decision(s) will incur expenditure or savings above £250,000
<b>Subject to call in?:</b>	Yes
<b>Why:</b>	Non Urgent Report

<b>Executive summary</b>	
<p>The Customer Strategy supports the Mayors vision, as set out in the <a href="#">Council Plan</a> priorities 2024-27 and forms an integral part of the Council's wider Target Operating Model and overall transformational approach as set out in <a href="#">The Approach to Transformation of Middlesbrough Council</a> report, dated 27 March 2024 and the <a href="#">Transformation of Middlesbrough Council</a> report, approved by Council in April 2024.</p> <p>Forecast expenditure for the Transformation Portfolio was set out in the <a href="#">Budget and Medium Term Financial Plan (MTFP)</a> report, approved in March 2024. The report outlined the high level phase 1 expenditure for transformation and redundancy totalling c£26.7m over 3 years which could be capitalised under the Flexible Use of Capital Receipts (FUoCR). <a href="#">Transformation Governance Arrangements</a> were subsequently approved by Executive in March 2024.</p> <p>The Customer Strategy is one of a number of transformation programmes as set out in the April 2024 report to Council. The programme is cross cutting across all existing directorates and services to the community. The business case has been developed and assured through the Transformation Programme Governance and is now presented for</p>	

Executive approval to progress to implementation. It offers a brand new approach that seeks to fundamentally review, redesign, and reshape all of the Council's customer-facing and business service solutions and complements the Neighbourhood Model.

Overall, the strategy is designed to provide customers with a significantly improved experience and address some of the fragmentation and limitations that currently exist around the Council's current customer services. Consequently, as business processes are redesigned through consolidation and streamlining of similar, duplication is removed and modern technologies are introduced, this is likely to reduce the Council's overall costs and realise financial and non-financial benefits to help achieve longer term progression and sustainability for the organisation.

The Strategy will be phased in across Council Directorates, delivered through the newly designed customer model which promotes a 'one council' approach to delivering customer services. It is underpinned by a clear set of design principles and key objectives and sets out how the Council will:

- a) Reorganise services to reduce the multiple 'front doors' whilst ensuring that services are accessible to all;
- b) Aim to get it right first time;
- c) Integrate systems where possible to remove the current fragmented approach across services;
- d) Redesign business processes to consolidate and streamline similar tasks and remove duplication and reduce costs;
- e) Provide a 'digital first' approach where appropriate to ensure online channels are convenient and simple to use; accessible 24/7 and user friendly for residents to use on multiple devices;
- f) Use modern technology and automation to improve the delivery of services and speed up processes;
- g) Work towards creating a 'single view' of the customer by managing data across the organisation more effectively;
- h) Use performance and intelligence data to optimise service delivery capabilities and productivity;
- i) Utilise data insights to predict customer behaviours and trends in demand, to inform policy development and respond more effectively to emerging issues.

Customers are defined in the strategy as anyone who interacts/engages with the Council e.g. residents, visitors, businesses, vulnerable groups, council employees, service users, partners, suppliers etc and is further defined in the Customer Strategy. The commitment to customers will be further formalised through the introduction of a Customer Charter.

Delivery of the change programme will take place over a two year period following approval of the Customer Strategy. There are a number of dependencies that may impact delivery and timescale, one of which is the development of the Council's new [Target Operating Model](#) approved by Executive on 13 November 2024.

Further dependencies include Neighbourhood and Digital strategies, subsequently the Customer approach may need to make some small alterations to complement the Council's approach to these areas as they evolve.

Digital technology and data management will underpin the delivery and operation of the Customer model. The introduction of new technology will be subject to the completion of a business case with appropriate sign off through the corporate governance process. ICT; will be responsible for the development of the Council's Digital Strategy and the Digital Blueprint that will form the basis of the Customer Strategy and allow access to Council services which are secure, practical, convenient, sustainable, and affordable.

To achieve consistency and to standardise the approach the Council's corporate values will form the basis of staff training and development and will be aligned to the Council's [People Strategy](#) with a strong emphasis on culture, customer excellence and continuous improvement.

## **Purpose**

- 1.1 The Customer Strategy supports the Mayors vision, as set out in the [Council Plan 2024-27](#) and is an integral part of the Council's wider Target Operating Model.
- 1.2 The strategy offers a new approach that seeks to fundamentally review, redesign, and reshape all of the Council's customer-facing and business process solutions as part of the Council's Customer programme which forms part of the Transformation Portfolio approved by Council in April 2024 as outlined in the Executive Summary.

## **2 Recommendations**

- 2.1 That Executive approve the new Customer Strategy 2024-27.
- 2.2 That Executive approve the commitment of the estimated customer programme budget of £1.975m for inclusion within the 2025/26 to 2028/29 capital programme and Flexible Use of Capital Receipts strategy that will be incorporated into the 2025/26 Budget and MTFP report to be considered by Council on 19 February 2025.

## **3 Rationale for the recommended decision(s)**

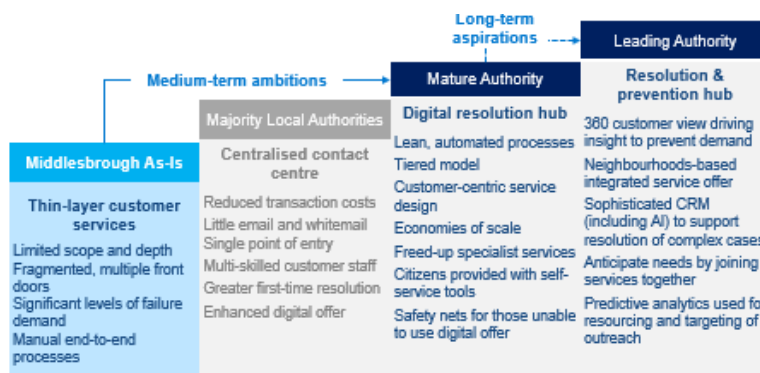
- 3.1 The Customer Strategy is one of six transformation programmes, it has an approved business case (programme delivery document) and is now seeking Executive approval. It offers a brand new approach which aims to fundamentally review, redesign, and reshape all of the Council's customer-facing and business process solutions that complements the Neighbourhood Model.
- 3.2 The approach meets the requirements of the Council's transformation portfolio and forecast expenditure as outlined and agreed in the Budget and Medium Term Financial Plan (MTFP), the Transformation Report and the Transformation Governance Arrangements (as outlined in the Executive Summary).
- 3.3 The strategy is a key decision that will incur expenditure/savings of over £250,000 and impacts all wards and as such requires Executive approval.
- 3.4 The strategy supports the desire to move towards neighbourhood working and is part of the proposed new Target Operating Model. The customer approach will ensure early resolve and thus reduce/avoid more complex matters from forming and

escalating into services or the Neighbourhood model which would be both timely and costly.

- 3.5 Delivering excellent customer services requires significant change in our operating model. With a shift in the town's demographic and a growing diverse and relatively young population, the opportunity to meet the expectations of customers and modern day requirements demand a new approach.
- 3.6 The Council needs to provide efficient, timely, personalised, proactive, connected and affordable services. The strategy will seek to redesign and streamline business processes to provide a more efficient service for customers and ensure staff receive the quality training and an increased knowledge base to be able to provide early resolve and intervention at any point of contact.
- 3.7 The strategy will align the multiple 'front doors' that can lead to an inconsistent customer experience. To achieve this, some employee reporting lines and structures may change. Any changes will be subject to appropriate Human Resources (HR) policies and procedures and relevant Trade Union consultation when necessary.
- 3.8 The approach is intended to reduce duplication and minimise handovers between services to provide a steady shift to early resolution of customer enquiries. To achieve this the approach also seeks to make best use of modern technologies and automation where appropriate whilst providing a route for customers to transact with the Council in a clear and concise way.
- 3.9 The strategy is supported through the better use of data to help predict demand trends and inform delivery solutions which provides an ideal opportunity for the Council to shape the customer journey. Over a period of time, the Council intends to progress to a 'single view of the customer' which in turn will provide a more advanced approach to responding to and planning for the needs of customers.
- 3.10 Utilising the principles of the new customer tiered operating model will enable processes to be organised around the customer, help gain a deeper understanding of the root cause of issues and provide end to end solutions that will significantly improve the customer experience. Consequently, this is intended to reduce costs and provide a more affordable long-term approach than our current arrangements.

#### **4. Background and relevant information**

- 4.1 A recent review highlighted that the Council significantly lags behind a number of Local Authorities. The Strategy will shift the Council from the current 'As Is' position, advancing to a Majority Local Authority and progressing over time to a Mature Authority as described below:



- 4.2 In 2023/24 over 125,000 calls were made to the Council’s Customer Centre. There were over 4,700 in-person visits and the website attracted over 2.9 million visitors. This is only a small proportion of the Council interactions with customers. There are many more interactions that occur directly with service departments and are managed outside of the Customer Centre telephony system, however this data is limited.
- 4.3 Work is currently underway to explore the possibility of extending the existing telephony solution corporately to ensure all calls are managed through a single solution, where appropriate. This will further assist with the monitoring of call volumes, understanding the call purpose, identifying alternative channels, better call signposting and reducing unnecessary calls.
- 4.4 Further features could also be introduced within the telephony solution which would immediately support services such as automatic call distribution, call routing, interactive voice responses are amongst some of the potential improvements.
- 4.5 The telephony system would run alongside the Council’s Customer Relationship Management system (CRM) or Case Management System (CMS) which would be further developed and used as a ‘front door’ to supporting customers accessing web based and digital solutions.
- 4.6 Data management and digital technology will underpin the Customer model. The introduction of new technology will be subject to the completion of a business case with appropriate sign off through the corporate governance process. As the owner of the digital theme - ICT will be responsible for the development of the Council’s Digital Strategy and the Digital Blueprint that will form the basis of the Customer Strategy and allow access to Council services which are secure, practical, convenient, sustainable, and affordable. Whilst indicative costs for the relevant technology are outlined in the Finance Section, further additional costs may be incurred at a later date and will be subject to an approved business case.
- 4.7 Alongside the use of data and technology, the Strategy has been developed using the delivery model that exists within the Councils Revenues and Benefits Service (holders of the Customer Service Excellence Accreditation at elite standard). The service is one of a few services that have access to all businesses and residents across the town and having excellent customer services underpinned by effective, consistent and value add business processes is fundamental to ensuring the Service continues to retain the Customer Service Excellence Accreditation.

4.8 This service is independently assessed annually against the following criteria: Customer Insight, Culture of the Organisation, Information and Access Delivery and the Timeliness and Quality of Service. In most recent assessments the service has progressed beyond excellence and moved to 'elite' status. The Council has a proven track record of delivering excellence in this area, creating a firm foundation from which to build and raise standards across the wider Council.

## **5. Other potential alternative(s) and why these have not been recommended**

5.1 The strategy provides a clear vision of how the Council can provide and deliver improved customer service, benefits whilst realising savings through the intended approach.

5.2 If the strategy was not implemented e.g. do nothing or scaled back, the Council will not be able to implement the change necessary to transform customer services and may only be able to achieve partial benefits and savings.

## **6. Impact(s) of the recommended decision(s)**

### **6.1 Finance**

#### Expenditure

6.1.1 The Council's approach to transformation is a key driver of the Council Plan 2024-27 and the Council's Transformation Portfolio. It is critical to delivering a robust Medium-Term Financial Plan (MTFP) that secures the Council's financial recovery and financial resilience over the period of the MTFP.

6.1.2 The Council's high level financial plan for the wider transformation programme was approved by Council on 8 March 2024 as part of the 2024/25 Revenue Budget, Medium Term Financial Plan. The report outlined the phase 1 expenditure for transformation and redundancy cost totalling up to £26.7m over 3 years.

6.1.3 An initial budget of £0.904m was approved in the Transformation of Middlesbrough Council report in two tranches: £0.191m to start to develop the business case, followed by a further £0.713m as the vision for the Customer Programme was further developed. The 2024/25 budget allocation was further approved by Council within the report.

6.1.4 The Customer Project Definition Document and approval through the Corporate Transformation Board, leading to this strategy, identifies a budget over the life of the 3 year implementation programme of £1.975m from 2024/25 to 2027/28. the proposed budget by programme phase and financial year is summarised in Table 1 below. Further detail of the resource plan is included at Appendix 2



Table 1 Financial Summary Resource Plan 2024/25 to 2027/28

Financial Summary	2024/25 £m	2025/26 £m	2026/27 £m	2027/28 £m	Total £m
Phase 0 - Business Case & Strategy to Executive Approval	0.230				0.230
Phase 1 - Resident and Business Support and Customer Service	0.104	0.074			0.177
Phase 2 - Adult Social Care		0.316			0.316
Phase 3 - Childrens		0.343	0.074		0.417
Phase 4 - Environment & Communities / Regeneration			0.411		0.411
Phase 5 - Legal & Governance / Finance			0.196	0.228	0.424
<b>Total</b>	<b>0.334</b>	<b>0.733</b>	<b>0.681</b>	<b>0.228</b>	<b>1.975</b>

6.1.5 The total budget for Phase 0 was £0.230m, expenditure forecast to the 31 March 2025 is £0.334m. Expenditure to 30 November 2024 is £0.217m.

6.1.6 Indicative annual ICT capital costs to support the ambitions of the Customer Strategy identified to date are estimated at this stage to be **Year 1 (25/6)** £1.5m, **Year 2 (26/7)** £1.5m, **Year 3 (27/8)** £0.5m. As highlighted in para 4.6, the introduction of any new technology will be subject to an approved business case.

6.1.7 The programme's progress and planned expenditure has been assured by the Council's Transformation Board, utilising the 'Flexible Use of Capital Receipts' (FUoCR). This is in line with Phase 2 of the FUoCR Strategy and in accordance with the regulations and application of capital receipts - as approved by the Ministry of Housing, Communities and Local Government (MHCLG). The Customer programme budget will be committed against the overall Transformation Programme budget subject to approval of this strategy for inclusion within the approved 2025/26 capital programme and FUOCR strategy.

### Financial Benefits

6.1.8 Financial benefits are anticipated to range from c£1.5m - £2m (low), to c£2.5m - £3m (high), resulting in a return on investment from £0.51p to £1.02 (£Savings / £Expenditure). Early indication suggests that a large proportion of the savings will be delivered through a review of policy, practice, and process. The return on investment does not include any costs in relation to new technology - this will rest with ICT as previously mentioned and be subject to approved business cases. Any savings generated against the Customer Transformation Programme are not at this time built into the Medium Term Financial Plan.

6.1.9 At each phase of the programme savings will be quantified (and by Directorate) with current suggested savings based on the low range of **Year 1 (25/6)** £0, **Year 2 (26/7)** £1m, **Year 3 (27/8)** £0.5m - £1m.

### Non - Financial Benefits

6.1.10 Non-Financial Benefits are included in the table below:

Business (main) Customer Process People	Increase in the number of services available via the Customer 'Front Door'	Clear routes into the council via online, web, social media, telephony, face to face first contact, access to back-office processes as required. Routing through to specialist services/ Neighbourhoods.	% increase in improved first contact % reduction in councillor enquiries via councillor portal (formerly OSS) Increase in the number of services available via the Customer 'front door' i.e. the services being taken out of Directorates and under Customer Customer satisfaction ratings Online customer accounts created Website visitors	Staff surveys & feedback Resident surveys & feedback Telephony systems Case Management Systems Website back-office system
Process (main) Business Customer People	Improved process efficiencies and timelines	Efficient processes and clear communication channels. By having improved processes means we can do more for the same. Improved Response Times for customers. Reduced need for customer to make an in person visit. Increased number of enquiries processed first time.	% staff overall satisfaction % Increase in customer satisfaction Number of website interactions % increase in enquiries resolved at first point of contact Average time taken to resolve enquiries. Customer / Department feedback No of in person visits -including repeat contact Timely responses - using KPI's and tracking methods.	Staff surveys & feedback Resident surveys & feedback Telephony systems Case Management Systems Website back-office system
Customer (main) Business Process People	Increased levels of customer satisfaction	Improved confidence in Council. Less touchpoints. More informed.	% reduction in complaints % Increase in customer satisfaction Maintain Customer Service Excellence Accreditation	Staff surveys & feedback Resident surveys & feedback Customer Service Excellence Monitoring Case Management System
Process (main) Business Customer People	Increased use of modern technology	Providing digital solutions that customers can interact with 24/7 on multiple devices. Introduction of AI/new technologies where possible. Explore opportunities to expand existing systems. Digital Register. Aligned and compatible systems across the Council.	Reduced failure demand - % complaints and % customer satisfaction Increase in no of website visitors Introduction of AI to deliver services such as webchats/ instant messaging Expansion of telephone solutions to support more complex enquiries Using voice recognition to support customers navigation services	Staff surveys & feedback Resident surveys & feedback Website stats Customer Service Excellence Monitoring Digital Register (not yet implemented) Telephony systems
People (main) Process Business Customer	Increase customer centric training	Motivated and well-trained staff. Knowledgeable staff. Customer facing staff well equipped to manage and resolve queries at first contact where possible. Minimised Handovers Between Services.	% staff overall satisfaction % retention of trained staff % absence / sickness levels Number of training and qualifications accessed Experience in business processes. Leaders leading customer. Likeminded staff with same ambitions and goals. Customer and business process skills. Harnessed and evolved. Opportunity for progression, extended knowledge. Retention of skilled officers.	Staff survey & feedback HR / OD systems Middlesbrough Learns

## 6.2 Legal, Risk (including procurement and Social Value)

Topic	Impact
<b>Legal</b>	The delivery of the Customer Transformation programme will enable the Council to deliver planned transformation programmes and make best use of the resources available to continue to meet its statutory duties, including the overarching duty of Best Value.
<b>Risk</b>	<p>The programme will comply with all relevant legislation to ensure that the Council does not breach governance requirements or fail to deliver organisational priorities (Risk 08-054As a thematic programme and key business-change project within the Transformation Portfolio the programme will be one of the actions in place which will mitigate the likelihood of the following risk: 'SR-13 - Failure to deliver transformation successfully'.</p> <p>The programme reports frequently to the Customer Transformation Board and Independent Transformation Advisory Board. Each phase will be reviewed, tracked, and reported by a dedicated Customer Transformation programme manager to mitigate risk and ensuring resources are in place to deliver the programme.</p> <p>The strategy is aligned to the Council's new Target Operating Model with clear dependencies on a number of directorates and support services, such as Digital/ICT, Finance, Data Protection, Data Analysis, Human Resources. It is essential that these dependencies do not create delays/slippage to the delivery of the strategy, all of which will be closely monitored through the customer programme. Where delays are foreseen or occur, appropriate mitigations will be introduced to minimise the impact on the programme.</p> <p>Any financial risk will be managed through the customer programme. Business cases where they relate to the introduction of technology will be led by ICT and signed off through the appropriate Thematic Board.</p>
<b>Human Rights, Public Sector Equality Duty and Community Cohesion</b>	An impact assessment has been completed (see attached). The programme is intended to improve the customer experience across all services to ensure that it is inclusive and accessible for all. Where the needs of customers are linked to a protected characteristic, supporting services will be engaged to ensure the programme will accommodate those needs to ensure they do not experience disproportionately adverse impacts.
<b>Climate Change Environmental</b>	There are no disproportionate adverse impacts on the aspirations of the Council to achieve net zero, net carbon neutral or be the lead authority on environmental issues.
<b>Children and Young People Cared for by the Authority and Care Leavers</b>	The Council has a key role in supporting Children and Young People, Care Leavers and Special Guardians; as with all customer cases any financial review may involve a referral to welfare rights for independent advice and support to ensure any state benefits or exemptions can be applied for if available.

Topic	Impact																
<b>Data Protection</b>	<p>The strategy will lead to significant changes in how the Council gathers, handles, and ultimately uses personal data. The aim is to create a consolidated and secure customer record to create a single view of a customer's data, so it is located in one place and does not have to be repeated for different transactions. Data will also be able to be better used to predict trends and plan the shape and size of the Council's services according to need and demand.</p> <p>This will require a high degree of business analysis in order to identify and assess the operational processes and systems affecting that data. This has been achieved to good effect in other Local Authorities - working examples will be utilised to find the appropriate solution that will not compromise sensitive data or its intended purpose and to future proof the data to enable it to be reused. The advice of the Data Protection Officer will be sought through timely, detailed data protection impact assessments and more generally on compliance with the data protection legislation and the data protection principles set out below:</p> <table border="0"> <tr> <td>Lawfulness</td> <td>There must be a legal duty or power or a documented consent enabling use of the data</td> </tr> <tr> <td>Fairness</td> <td>The <i>person</i> would reasonably expect their data to be used in this way</td> </tr> <tr> <td>Transparency</td> <td>The person was told in advanced of all of the uses of their data through a privacy notice</td> </tr> <tr> <td>Purpose limitation</td> <td>If data was originally gathered for a specific purpose, it is <i>not</i> reused for an incompatible one</td> </tr> <tr> <td>Data minimisation</td> <td>The minimum amount of data is used or shared to achieve the identified purpose</td> </tr> <tr> <td>Accuracy</td> <td>If data is still in operational use, including matching, it is kept accurate, complete, and up to date</td> </tr> <tr> <td>Storage limitation</td> <td>The data is not held for longer than is needed and justifiable</td> </tr> <tr> <td>Security</td> <td>The person's data is only accessed or shared if it does not interfere with their legal rights</td> </tr> </table>	Lawfulness	There must be a legal duty or power or a documented consent enabling use of the data	Fairness	The <i>person</i> would reasonably expect their data to be used in this way	Transparency	The person was told in advanced of all of the uses of their data through a privacy notice	Purpose limitation	If data was originally gathered for a specific purpose, it is <i>not</i> reused for an incompatible one	Data minimisation	The minimum amount of data is used or shared to achieve the identified purpose	Accuracy	If data is still in operational use, including matching, it is kept accurate, complete, and up to date	Storage limitation	The data is not held for longer than is needed and justifiable	Security	The person's data is only accessed or shared if it does not interfere with their legal rights
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**Actions to be taken to implement the recommended decision(s)**

Action	Responsible Officer	Deadline
Strategy published on the website	Janette Savage	28 Feb 2025

**Appendices**

1	Customer Strategy
2	Resource Plan 2024/25 to 2027/28
3	Impact Assessment

**Background papers**

Body	Report title	Date
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Executive	2024/25 Revenue Budget, Medium Term Financial Plan, and Council Tax setting	February 2024
Council	Transformation Governance Arrangements	March 2024
Council	The Approach to Transformation of Middlesbrough Council	April 2024
n/a	<p>A series of videos have been created as part of the development of the Customer Strategy to provide examples of how customers will benefit from the new approach:</p> <p>Council Tax Debt: <a href="https://youtu.be/gG65kLBiVK8">https://youtu.be/gG65kLBiVK8</a></p> <p>Planning Query: <a href="https://youtu.be/kfnP14hNVYI">https://youtu.be/kfnP14hNVYI</a></p> <p>Waste Collection Query: <a href="https://youtu.be/mWmFoaov5ts">https://youtu.be/mWmFoaov5ts</a></p>	

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# Middlesbrough Council Customer Strategy

Every Contact Matters - Delivering Excellence



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# Foreword

As a Council our focus is on working with local people, businesses, and partners to deliver the best possible services in a rapidly changing world.

Like councils up and down the country, Middlesbrough faces many challenges, but my administration is committed to recovering, resetting, and delivering for the people of the town.

Work to reduce the cost of delivering our services and recover our financial position is well under way, and that will enable us to reset our priorities and focus on delivering what matters to local people.

To do that we need to engage with and listen to local residents and the business community and that approach is at the heart of our new Customer Strategy.

We are transforming and modernising to meet the changing needs, expectations, and aspirations of our customers, delivering services that are efficient, timely, personalised, proactive and connected.

That means ensuring people can engage with us at their convenience, on any device and we will be there to support those who need extra help to access services.

When things do go wrong we will act quickly, courteously acknowledge, and aim to resolve the issue.

Central to this will be the effective use of technology to speed up and simplify transactions and make 'self-service' available wherever possible, while retaining the appropriate points of contact for those in need.

The customer will, of course, remain at the heart of everything we do, from how we design services to how we respond to feedback, enabling us to work smarter, deliver better value for money and provide the first-class customer experience the people of Middlesbrough deserve.

**Chris Cooke**  
Elected Mayor of Middlesbrough





# Customer Strategy On a Page

Our brand-new customer strategy will provide high quality and modern customer services based on the following core themes to achieve our key objectives:



# Introduction

Excellent customer service is not just a service, it's a mindset, an attitude even! Delivering excellent customer service is very important to us and to do this we need to change. Our Customer Strategy is designed to harness our people, process, and technology to create an excellent experience across all our services that is recognised and valued by our customers.

We define our customers as anyone who interacts with us: our residents, businesses, vulnerable groups, Council employees, service users, partners etc.

Aligned to the Council Plan priorities and the Mayor's vision, our new strategy aims to ensure that 'Every Contact Matters'. We will organise our services around the needs of our customers, providing consistent high-quality affordable services

that optimises the thousands of day-to-day interactions that we have with our customers by following a 'one council' approach.

Connecting with us will be timely and more convenient, we will aim for every interaction to be a positive one; better, simpler, providing resolution at the earliest opportunity. Our business processes will be designed around our customers and provide consistency in accessing information, through the route which best suits customer needs. With access to the latest digital technology too, all of this will be aligned to our brand-new Target Operating Model.



# Customer and The Relationship With Neighbourhood and Services

The new strategy sits alongside our other operating models and strategies to transform the way we work. For example, our Customer Strategy will provide appropriate resource to support our Neighbourhood model whilst retaining an overarching centralised customer service delivery model to ensure opportunities continue to support residents in the most appropriate way and efficiencies within our operations are optimised.

The Customer Strategy incorporates our corporate Welfare Strategy, which is an intrinsic element of the customer journey as it is also designed to provide the most appropriate support to residents, when necessary, who may be experiencing financial issues. This ensures we can provide early interventions and avoid financial issues escalating.

The new approach will also provide clear routes to be able to escalate more complex issues into our services and Neighbourhood through a tiered approach as outlined in the Target Operating Model as shown.

Where matters are raised directly with services and/or Neighbourhood directly, early assessment of the individual needs are essential to determine if it is a wider complex issue, or whether resolution can be managed and delivered through the customer model. The majority of interactions with the Council will be managed through the Customer model and where appropriate, escalation/routes to services/Neighbourhood will take place to respond to complex and deep set matters that may often require a multi service response.

For example - where a resident approaches the Council with a number of requests, needs, issues etc. these will be assessed at the first point of interaction e.g. the customer approaches the Council with four issues that need resolving (1) Applying for planning permission online, (2) speaking about their council tax bill (3) Making a claim (4) Struggling with a health/family matter. The first 3 issues will be dealt with under the Customer model, the 4th Matter will be referred to the relevant Service. The Service may have a presence in the Neighbourhood and as such the matter will be referred to the Neighbourhood through an appropriate escalation route.

Contact with the Council will be on the basis of the customer need. The majority of interactions will continue to be online or over the phone, with face-to-face interactions offered where vulnerabilities are identified, or the matter requires multi disciplined teams to collectively respond. Direct engagement of customers may also be undertaken by the Council as services seek to engage with hard to reach groups or reach out to vulnerable customers.

# Where We Are Now

In 2023/24 over 125,000 calls were made to the Council's Customer Centre. There were over 4,700 in-person visits. Our website had over 2.9 million visitors (although only 120,000 customer accounts have been created using our online system to date – this is an area we need to explore further). 90% of our customers rated us as very helpful when feedback was requested through some of our phone calls and digital services. However, this is only a small proportion of the Council interactions with customers that are captured through systems that are utilised by the Customer centre, we do so much more.

Across the organisation we know that we have multiple 'front doors', inconsistency with information and messages, services working in isolation and only partial joint working. Technology is limited and not always fit for purpose and our customer and business processes are not always customer focused which may in part have contributed to the increase in complaint levels seen over the last few years.

Council resources have reduced which has led to overstretched services and some of our customers who are in need have not been able to access the specialist support required.

Whilst we accept we can do better; we do in places get it right! The Council's Revenues and Benefits Service has held Customer Service Excellence for over 25 years – a national quality mark that seeks to recognise organisations that have a truly customer focused culture.

The service is independently assessed annually against the following criteria: Customer Insight, Culture of the Organisation, Information and Access Delivery and the Timeliness & Quality of Service. In the most recent assessments, the service retained their accreditation and progressed to an 'elite' level standard.

Further evidence of good practice can be seen within our Neighbourhood teams for the support they provide to the people in Middlesbrough in our localities and our Register Office team for their continual exceptional feedback.

# Why We Need To Change

We acknowledge this level of service is not consistent across the whole organisation, however it is a firm foundation from which to build and raise our standards across all service areas.

Understanding the demographic profile is also important and informs how we manage and deliver services. Middlesbrough has a young, diverse and growing population and plays a huge part in how we meet the needs of the community and maintain community cohesion. High levels of economic inactivity and low numbers of owner occupied properties increase pressure on services, furthermore high levels of child poverty continue to provide a fundamental challenge in how we improve families' lives as well as maintain our financial sustainability.

With thousands of contacts each year from residents, businesses, vulnerable households, and the ability to use this contact to support, signpost, deliver, advise, whilst understanding the needs of our customers comprehensively provides an ideal opportunity to make every contact matter and improve the way we support our residents in this changing landscape. In addition, understanding the makeup of our communities and considering how we engage with hard-to-reach groups and those customers in our community that need public services but where there are barriers in the way such as language will be important to identify.

Reducing unnecessary effort, avoiding duplication, and providing streamlined business processes will also support the Council to contain its costs within its available income and to achieve a position of financial sustainability over the medium-term financial plan.

# Current Economic & Social Characteristics

Middlesbrough has a significant proportion of wards within the Indices of Multiple Deprivation (IMD) most 10% deprived communities. This creates a disproportionate reliance on public services and a much lower resilience to hardship or economic impacts than experienced in other areas as illustrated in the demographic's key facts diagram.

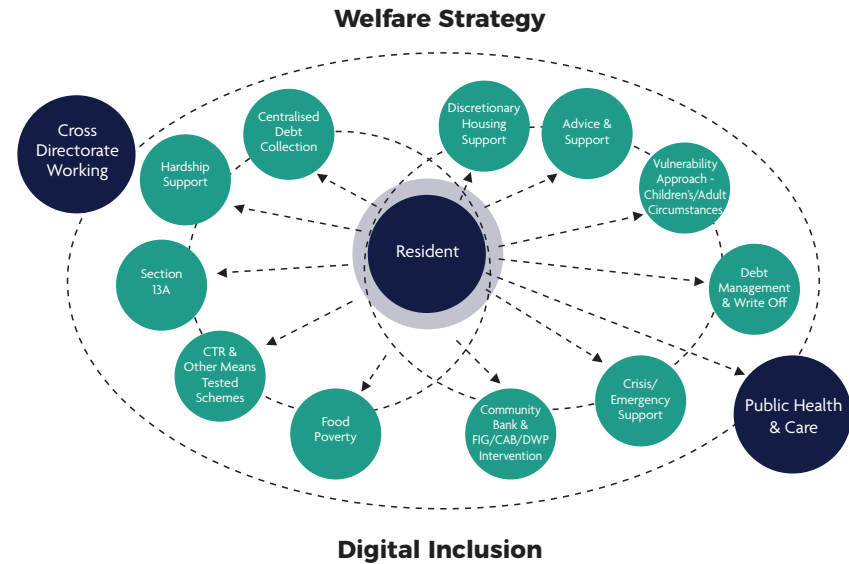
Our new Customer Strategy forms an integral part of the Council's approved Transformation Portfolio, aligning with the strategic priorities of our Mayor and the Council Plan (2024-27). It links with several of the Council's strategies including Corporate Vulnerability Policy, Equality, Diversity and Inclusion, Economic and Business Support Strategy, Digital Inclusion, People and ICT Strategy, and the Public Health South Tees Strategy and the Corporate Welfare Strategy.

The Welfare Strategy is a 'toolbox' which is designed to trigger support when necessary for residents who may be experiencing financial issues. The basis of this Strategy is to prevent wider financial issues from forming. Through a comprehensive strategy which provides financial assistance, advice and support early resolve is fundamental. Through proven delivery successes this approach is already working extremely well.

Middlesbrough has a resident population of over 140,000 but serves as a district centre for the wider Tees Valley region, which has a population of 664,000, rising to circa 2.7 million, within 60 minutes' drive time.

Through the Council's Customer Strategy and every step of the customer journey, the needs of our

customers will be evaluated against the Welfare Strategy, as shown:



Remember - all of the strategies and the Council Plan can be downloaded from our website [www.middlesbrough.gov.uk](http://www.middlesbrough.gov.uk)

## How We Are Going To Deliver This

The strategy is an integral part of the Council's wider Target Operating Model (TOM) and closely linked with our Neighbourhood approach as mentioned above.

We will achieve change by working with existing services to fundamentally review, redesign and reshape all of our customer-facing services in line with our customer led principles and against a backdrop of our key objectives.

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### Demographics

143,900 Population 4% increase (3rd largest % increase in NE), 60,262 Households. Most densely populated Local Authority area in North East

### Homes and Education

55.6% of properties owner occupied, 21.2% private rented, 23.2% social rented. Compared to 80% owner occupied in areas with similar property numbers. 59.5% pass rate at % and above (49.6% national pass rate), 26.6% children in poverty (one of the highest in North East)

### People & Community

No of people (65 - 74yrs) rose by around 2800 in 2021 (an increase of 26.2%) No of residents (35 - 49yrs) fell by just under 1700 (6.2% decrease) and 20.8% of the population are aged 0-15yrs. Most ethnically diverse Local Authority area in the Tees Valley, with a British Minority Ethnic population of 17.6% (increase of 51% since 2011)

### Economy

63,000 jobs (41,000 FT and 22,000 PT) 64.4% (16-64 yrs) Employment Rate (decreased from 2022) 29.2% Economic Inactivity (16-64 yrs) highest in NE 5.3% Unemployment Rate (16+) (one of highest in NE but has decreased since December 2022 from 5.9%) 4,040 active businesses increased.

# Customer Target Operating Model

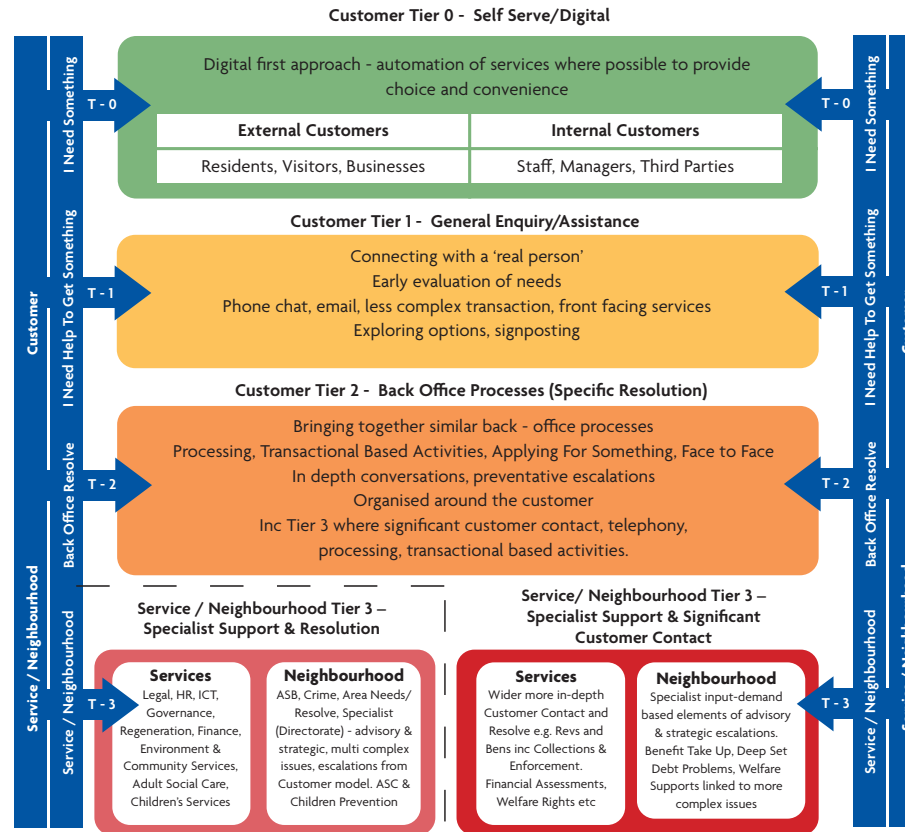
The tiered model, as shown, will aim to provide an improved journey for our customers and work closely with our Neighbourhood approach to provide customers with a more consistent and streamlined experience.

**Tier 0 (I need something)** will ensure that we provide choice and convenience for our customers by analysing our processes and providing an automated easy to use service where possible.

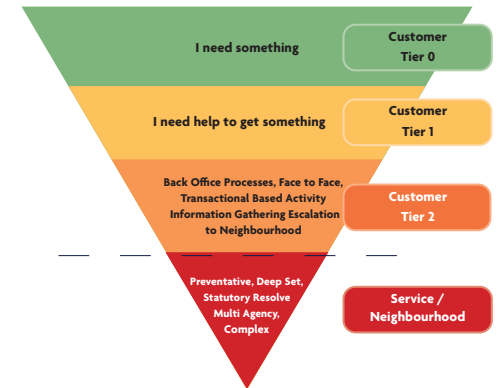
**Tier 1 (I need help to get something)** provides a person to chat over the phone, email, front facing staff etc where needed to assist you with your enquiry.

**Tier 2 – (I need specific help from back office processing teams)** our high volume transactional, processing and assessment services will be brought together in one place where we can provide a deeper level of back-office processing, identifying, and addressing early triggers to avoid escalations of more fundamental issues/matters. This is often by appointment or pre-arranged discussion.

**Tier 3 (I need help from specialist services)** – will involve access to our specialist support /statutory services, and prevention & complex delivery teams. The teams will be located where there is demand and need, this could be with other delivery partners, in our centralised offices or based in our Neighbourhood localities to provide support directly to our communities.



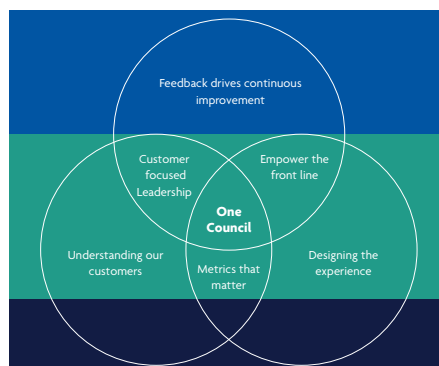
Providing quick and easy online/digital capabilities – ensures the cost of delivery is kept to a minimum. Online channels can be accessed 24/7, customers are not constrained to business hours when wanting to engage with the Council. Where more specific contact is needed for more complex matters, Customers can access our services quickly. Note: over a period of time some of our Services will also be present in our Neighbourhood.



The Council will consistently review demand within Tier 3 to determine if more cost-effective methods can be introduced and that customer issues, needs etc are not escalated unnecessarily to ensure our Neighbourhood services are not overwhelmed and can continue to deliver their high quality services. The tiers and where they fit into your customer experience is explained simply in our 'Simplified Target Operation Model illustration:

# One Council

Using a customer centric approach will mean that we will put our customers at the centre of everything we do. We will ensure that our customers become the focal point for every business decision we make from process design, marketing, and communications to service delivery, our customer journey will be as 'one council'. This ethos will be embedded across all our services. Our ambition is to provide a more positive experience to all our customers at every step of the journey. The diagram illustrates this concept further:



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# Design Principles

Our design principles will underpin the way we deliver our business:

**Process** – We will centralise and streamline customer services & business processes to design the experience. We will only retain processes and solutions which are demonstrably effective; that add value to customers; and/or are essential, legally required and/or linked to the Council Plan priorities, all of which will be maintained through robust governance and appropriate controls.

**Automate, Eliminate, Rationalise** – We aim to only enter data once and where appropriate re-use this data multiple times. We will eliminate redundant process steps, minimise the number of times customers are transferred through to other services, eliminate duplication of effort and reduce non value work such as repeated contact for unresolved issues.

**Shape Demand** – We will use data to identify insights and trends, develop policies, interventions, and mechanisms from customer evidence, for future service delivery that meets the needs of the town and our customers.

**Digital by Design** – We will develop and implement self-service capabilities or online channels to provide a 'digital first' approach to ensure online channels are convenient and simple to use; accessible 24/7 and user friendly for residents to access on multiple devices, whilst providing the opportunity for face to face or telephone support solutions where appropriate.

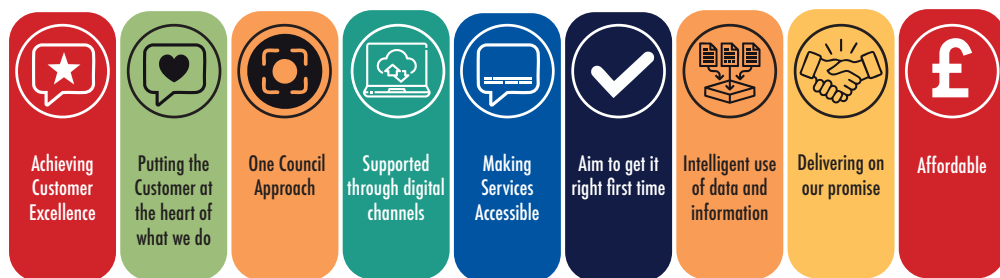
**Gain economies of scale** – We will consolidate similar tasks to activity group specialists, where maximum efficiency and productivity can be leveraged.

**Data and Intelligence** – Metrics matter. We will use performance and intelligence data to maximise delivery capabilities and productivity. Utilising data to provide an insight into behaviours and trends across the town which will inform our policies and how we can respond better to emerging issues. Predictive analytics will also be explored to be able to pre-empt demand and need based upon past resident data and trends.

**Optimise Resources** – We will utilise our talent and provide suitably qualified staff to ensure work is performed correctly the first time around by deploying the right people, at the right level, and in the right place. Our solutions will be designed around our customer and will empower our front line.

**Service Capacity and Demand** – We will ensure that our staff are well equipped to undertake tasks, with operational management ensuring resource capacity is planned to meet demand effectively.

# Our Key Objectives



These are essential as we move towards delivering excellence. Designed to run alongside our Design Principles they will provide clear direction, focused outcomes, and consistency in delivery through our

**Achieving Customer Excellence:** Through a comprehensive approach to delivering customer excellence, we will place the customer at the heart of all our decisions. We will seek to consistently deliver exceptional experiences to customers across all our touchpoints and throughout the customer journey. We will understand our customers, anticipate our customer needs, and consistently deliver value. We will bring together all our customer and business processes (where it improves the customer experience) utilising the Customer Services Excellence standards of Insight, Culture, Information and Access and Timeliness and Quality of Service to apply our 'elite' working practices corporately and not just in one service area:

- Our customers will receive the appropriate outcome; delivered with their best interests in mind.
- Our customers will be heard, appreciated, and valued.
- Our customers will be dealt with in a professional manner.
- Our customer experience will be designed around the needs of our customers.

customer centric approach. The key objectives also make sure that the strategy aligns with the overall aims of the Council:

- Our approach to customer excellence will be an inherent part of the culture of our organisation.

### Putting the Customer at the Heart of What We Do:

Our customers will be at the heart of what we do. Our customer services will be designed from the perspective of the customer, making our services accessible, easy to use, clear and easy to engage with. We will:

- Redesign our processes, reducing the number of times we transfer customers between teams and focused on resolving issues at the first point of contact;
- Make our services inclusive to all – considering how we engage with customers, hard to reach groups and those customers in our community that need public services but where there are barriers in the way such as language.
- Ensure our policies are customer focussed and impact assessments are carried out to ensure that vulnerable groups or customers that have links to protected characteristics are supported appropriately;
- Encourage feedback from our customers to support improvements;

- Create focus groups, seeking feedback to understand where we need to make changes to better improve our customer journey;
- Provide value for money services, removing inefficient processes to reduce costs;
- Continually review the quality of the customer service and business process solutions we deliver;
- Reduce the amount of paper we use and promote digital solutions where appropriate as we respond to our declaration of a climate emergency.

**One Council Approach:** Through our operating models the customer will underpin the way we deliver customer services and business process solutions across the organisation.

**Supported Through Digital Channels** We will provide digital solutions so that customers can interact with the Council 24/7 and without the need for manual interaction. To make this happen we will:

- Make our online channels convenient and easy to use;
- Improve our online forms to ensure system integration and improve automation;
- Utilise new technology, such as artificial intelligence to deliver services;
- Introduce instant messaging such as webchat if appropriate;
- Increase our use of social media channels;
- Provide telephony solutions that can support more complex enquiries;
- Use voice recognition to support customers navigating services more quickly.

As we implement well designed and accessible digital services. We will:

- Reduce and eventually remove the use of unformatted email as a method of customer contact;
- Reduce the use of telephone contacts for low need and simple transactions where digital channels would be more beneficial.
- Reduce printing, such as letters and move to electronic methods where appropriate to do so;

- Reduce face to face contacts for simple customer enquiries and transactions and divert to digital channels where appropriate to do so.

With the pace of digital change continuing to increase and the Council's increased focus on providing access to services through digital and online channels the Council will continue to explore automation and artificial intelligence. Increased and enhanced use of technology is becoming part of our everyday lives and with new technology emerging this is changing the way customers want to engage with councils. To keep pace the Council will continue to increase and evolve solutions all of which will be supported through our Customer Relationship Management system (CRM). Our CRM will provide workflow capabilities to ensure that compatible and comparable business processes are delivered through end-to-end solutions. Technology and digital solutions will be comprehensively assessed and introduced at the right time to ensure they are fit for purpose. Introducing technology in advance of the process redesign can result in technical solutions becoming redundant or out of date. We will ensure these solutions are deployed at the right time to provide an effective customer experience and aligned to good business processes. In all instances we will continue to provide solutions that are supportive of residents who are not able to engage with digital channels.

**Making Services Accessible:** We will ensure our services are accessible by all and where customers are digitally excluded appropriate solutions will be available. We will provide assisted digital support, helping customers with low digital skills or limited access to the internet to engage with the Council. Where digital channels and self-serve solutions are not possible, customers can access specialist services as required and in line with Government guidelines.

**Aim to Get it Right First Time:** We will aim to get things right first time every time and where this is not possible aim to do so at the earliest opportunity. We will provide end-to-end solutions that will reduce the number of repeat calls, reduce the number of complaints, ensure customers only need to tell us once and ensure we provide quality customers services that we can be proud of.

**The Intelligent Use of Data and Information:**

We will improve services in a meaningful and more strategic way through the use of data. We will use data to help us shape customer solutions, understand customer needs, trends, identify trouble spots, and help us anticipate future developments. We will consolidate data in an appropriate way to gain a single view of our customers to help provide more tailored solutions, which will help us spot emerging issues, inform policies and support early interventions and planning.

We will continue to maintain appropriate and relevant data protection measures to retain the confidentiality, integrity, and availability of personal data to ensure that the data is used for its intended purpose, however our aim is start to:

- Bring together data we hold in different places to create a single 'Smart Record'.
- Analyse our data better; creating a culture where it is integral to our decision making processes.
- Break down the barriers by sharing our data across services to benefit the customer.
- Use data to shape our services according to need and demand.
- Ensure that the data we hold is accurate, up to date and well governed.
- Develop a data strategy through a dedicated data work stream within the new approach to ensure we protect our customers rights and follow the law.

**Delivering on Our Promise:** Our promise will be developed through the creation of a corporate Customer Charter which will be published on completion. Our staff training programme will be focused on this promise and will aim to enhance the customer experience and our commitment to customers. Our corporate values (as shown) will form the basis of any training and development with our staff and will be introduced into the Charter.

# Why Our Customer Strategy Is Important

The Customer Strategy means we can maximise opportunities to respond to the challenges by embedding consistent customer and service delivery which is supported through the Council's key measures of success. Our strategy is based on an early preventative approach which is designed to avoid more complex issues developing in the future.

Equally, focusing on opportunities to improve both customer and business process solutions through redesign, efficiencies and reducing the 'multiple touch points' minimises duplication and encourages more collaboration between services to connect decisions and strengthen working relationships.

In addition, understanding our data has huge benefits. It will:

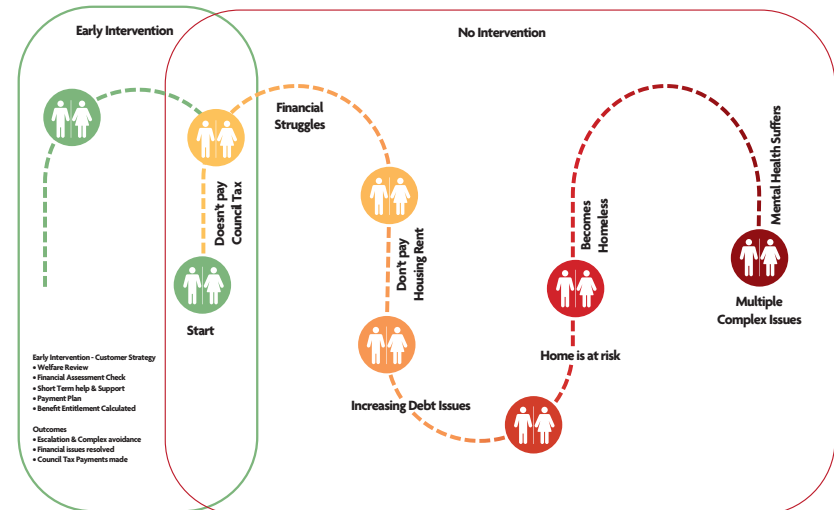
- Target needs more effectively;
- Allocate resources to where we can create the biggest impact;
- Reduce processing time;

- Provide an insight into the causes of and the solutions to costly social challenges;
- Use the data to inform how services are designed and delivered.

Linking up our data means that we can also intervene earlier to provide support and prevent potentially distressing and costly issues arising for our customers. Research and experience suggest that if an individual cannot pay a bill such as Council Tax it is very likely that other bills are not getting paid. This may result in debt spiralling and leave an individual or family in a much worse position than anticipated. In some circumstances this could also lead to a homeless situation or criminality.

Identifying root cause problems at the earliest opportunity and applying appropriate early interventions can therefore avoid more serious issues from occurring. This is illustrated in the following diagram:

 <p><b>Passion</b></p> <p>We will ensure that our customers have a positive experience, and their needs are met. We aim to address all matters with the first contact 'One and Done'</p>	 <p><b>Collaboration</b></p> <p>We will adopt a 'one organisation' approach simplifying processes and providing consistency. We will shape our services around the needs of our customers and involve customers in service improvements</p>	 <p><b>Integrity</b></p> <p>We will be open and transparent and treat everyone with respect. Customers can expect communication and updates on active queries. Where we cannot resolve your issue, we will provide an explanation</p>	 <p><b>Creativity</b></p> <p>We will respond to feedback and try new ideas and new ways of working. We will adopt new technologies communication channels and we will streamline as many processes as possible, making life simpler for you</p>	 <p><b>Focus</b></p> <p>We will be ambitious. We will adopt performance measures to track how we are meeting your needs, and we will change where change is needed. We will aim for excellence and to achieve Customer Service Excellence standard across all of our customer facing services</p>
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# Outcomes

The success of the strategy will be measured on the following outcomes:

Outcomes	Indicator	Measure
Enhanced Customer Experience	<ul style="list-style-type: none"> <li>Increased levels of customer satisfaction</li> <li>Improved confidence in Council service</li> </ul>	<ul style="list-style-type: none"> <li>Staff / resident surveys</li> <li>Number of customer complaints</li> <li>Neighbourhood / Community hub feedback</li> <li>Number of phone calls to contact centre</li> <li>Customer Service Excellence Accreditation</li> </ul>
Reduced Repetition	<ul style="list-style-type: none"> <li>Resolutions</li> </ul>	<ul style="list-style-type: none"> <li>Customer feedback</li> <li>Number of end to end solutions in place</li> <li>Reduced number of repeat calls / complaints</li> </ul>
Clear Routes into the Council	<ul style="list-style-type: none"> <li>Clear messaging and consistent information</li> <li>Increase in the number of services available via the Customer 'front door' i.e. the services being taken out of Directorates and under Customer</li> </ul>	<ul style="list-style-type: none"> <li>Quality of online information</li> <li>Response times</li> <li>Number of phone calls to contact centre</li> <li>Number of in person visits</li> <li>Customer feedback</li> </ul>
Optimisation of Modern Technology	<ul style="list-style-type: none"> <li>Introduction of AI/new technologies</li> <li>Improving existing systems</li> <li>Digital Register</li> </ul>	<ul style="list-style-type: none"> <li>Reduced failure demand</li> <li>Number of website visitors</li> <li>Engagement with AI</li> <li>Increased and simplified opportunities for online and telephone payments</li> </ul>
Efficient Business Processes	<ul style="list-style-type: none"> <li>Implementation and alignment with the wider Target Operating Model (TOM)</li> </ul>	<ul style="list-style-type: none"> <li>Contribution to the Medium Term Financial Plan</li> <li>Online e-form feedback</li> <li>Response and waiting times</li> </ul>
Minimised Handovers Between Services	<ul style="list-style-type: none"> <li>Aligned and compatible systems across the Council</li> </ul>	<ul style="list-style-type: none"> <li>First time resolution,</li> <li>Speed of processing</li> </ul>
Informed Services Able to Respond Pro-actively to Demand	<ul style="list-style-type: none"> <li>Data managed and tracked using aligned or one CRM system</li> <li>Secure services which protect user privacy</li> <li>Demand for statutory services</li> </ul>	<ul style="list-style-type: none"> <li>One CRM system or aligned systems to manage data 'single view of customer'</li> <li>Appropriate tools in place to analyse data track/monitor and identify trends to provide customer insights</li> </ul>
Improved Response Times	<ul style="list-style-type: none"> <li>Reduced need for customer to make an in person visit</li> <li>Increased number of enquiries processed first time</li> </ul>	<ul style="list-style-type: none"> <li>Customer / Department feedback</li> <li>Number of in person visits</li> <li>Timely responses</li> </ul>
Long Term Sustainability of the Council	<ul style="list-style-type: none"> <li>Contribution to the Medium Term Financial Plan</li> </ul>	<ul style="list-style-type: none"> <li>Affordability</li> <li>Budget control</li> </ul>
Motivated and Well Trained Staff	<ul style="list-style-type: none"> <li>Recruitment and Retention</li> <li>Delivery of services</li> </ul>	<ul style="list-style-type: none"> <li>Staff Survey</li> <li>Retention of trained staff</li> <li>Opportunities for staff development</li> <li>Staff well-being data (sickness etc)</li> <li>Training and qualifications accessed</li> </ul>

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# What Our Customers Can Expect

We will continue to assess and monitor our approach using customer insights and market technology to evolve the customer journey. This is a fundamental change to the way the Council delivers its customer services and will involve some short term changes; however, some of the actions may take longer to implement.

We aim for you to:

- Contact us more easily;
- Transact with us using timely, efficient, and easy-to-use online/digital solutions;
- Locate easy, clear, and accessible information on our website;
- Have an enquiry resolved at the first point of contact or at the earliest opportunity;
- Use mobile technology to find information quickly and carry out your request on the go, at a time that suits; and where assisted digital support is needed know that this will be provided;
- Receive face to face/telephone support where appropriate and need to speak to someone;
- Escalate issues easily should something go wrong;
- Expect departments to link systems to share that information across your records;
- Know that we will act on requests first time;
- Leave with a feeling of satisfaction about the service received;
- Complete a transaction or request for service without fuss, simply and quickly;
- Feel that you have been treated professionally, fairly, listened-to, and respected;

# What We Expect From Our Customers

The Council understands and appreciates that with this level of change things may go wrong from time to time as we transition to our new way of working. Our staff will do all they can to minimise any inconvenience. We will provide timely communications and keep customers fully informed.

We expect customers to help us by:

- Being polite and respectful to all our staff;
- Being patient whilst we transform our customer services and business processes;
- Providing us with feedback;
- Letting us know when we get it wrong;
- Providing us with information when requested so we can get things right first time;
- Using our on-line and digital services;
- Being open honest and transparent about needs so we can provide the best possible support and outcomes;
- Helping us to help you.



## Evaluation and Review

The strategy will be implemented initially over a 2 year period through a phased approach as we work across service areas. A number of indicators are already in place to help monitor the objectives of the strategy, and further performance indicators will be added during the life of this strategy. Some of the actions we will be able to implement relatively quickly however more detailed work may be needed around the technology or process related changes therefore this may take longer.

Having adopted the strategy, the existing measures will be reviewed, and if necessary further measures will be added. This action will be completed within 6 months of the strategy going live.

The implementation and effectiveness of this strategy and its supporting policies will be checked and monitored by the Customer Transformation Lead and associated management team. The team will continue to work closely with key services such as Organisational Development, ICT, Communications etc to maintain continuous improvement and ensure the principles of the strategy become embedded into the way we work.

The strategy will be reviewed periodically after 12, 24 and 36 months and if required further plans put in place to continue to be able to deliver our long-term objectives.

Welfare Strategy | Middlesbrough Council | Open Data (arcgis.com)

<https://moderngov.middlesbrough.gov.uk/documents/s24032/Report.pdf>

How life has changed in Middlesbrough: Census 3 2021 (ons.gov.uk)

Middlesbrough (E06000002) - ONS

Facts & figures - North East Child Poverty Commission | Every child deserves an equal chance in life. (nechild-poverty.org.uk)

Content correct at the time of print.



# Contact details

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Email [marketing@middlesbrough.gov.uk](mailto:marketing@middlesbrough.gov.uk) if you would like a copy of this document in another format or language.

## Appendix 2 Customer Resource Plan 2024/25 to 2027/28

Customer Resource Plan	Q1 24/25 April - June	Q2 24/25 Jul- Sep	Q3 24/25 Oct- Dec	Q4 24/25 Jan - Mar	Q1 25/26 Apr - June	Q2 25/26 Jul- Sep	Q3 25/26 Oct- Dec	Q4 25/26 Jan - Mar	Q1 26/27 Apr - Jun	Q2 26/27 Jul - Sep	Q3 26/27 Oct - Dec	Q4 26/27 Jan - Mar	Q1 27/28 Apr - Jun	24/25 April - Mar	25/26 April - Mar	26/27 April - Mar	27/28 April - Jun	TOTAL Programme £m
Programme Lead	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.011	0.011	0.011	0.003	0.036
Internal Programme Lead backfill	0.011	0.011	0.011	0.011	0.011	0.011	0.011	0.011	0.011	0.011	0.011	0.011	0.011	0.042	0.042	0.042	0.011	0.137
Programme Manager	0.000	0.011	0.016	0.016	0.016	0.016	0.016	0.016	0.016	0.016	0.016	0.016	0.016	0.043	0.064	0.064	0.016	0.186
Internal Workstream Manager	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.003	0.013	0.013	0.013	0.003	0.044
Internal Workstream Lead Tier 1	0.000	0.000	0.000	0.009	0.014	0.014	0.014	0.014	0.014	0.014	0.014	0.014	0.014	0.009	0.056	0.056	0.014	0.136
Internal Workstream Lead Tier 2	0.000	0.000	0.000	0.009	0.014	0.014	0.014	0.014	0.014	0.014	0.014	0.014	0.014	0.009	0.056	0.056	0.014	0.136
Internal Workstream Lead Tier 3	0.000	0.000	0.000	0.009	0.014	0.014	0.014	0.014	0.014	0.014	0.014	0.014	0.014	0.009	0.056	0.056	0.014	0.136
Internal Analyst Support (Business support/solution architects)	0.000	0.000	0.000	0.004	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.004	0.052	0.052	0.013	0.122
Internal Analyst Support (Business support/solution architects)	0.000	0.000	0.000	0.004	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.004	0.052	0.052	0.013	0.122
Internal Analyst Support (Business support/solution architects)	0.000	0.000	0.000	0.004	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.004	0.052	0.052	0.013	0.122
Internal Business Analyst Support	0.000	0.000	0.000	0.004	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.013	0.004	0.052	0.052	0.013	0.122
ICT Support (ICT specialist to support Tier 0 development of Firmstep)	0.000	0.000	0.000	0.005	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.015	0.005	0.060	0.060	0.015	0.140
Project Support	0.001	0.001	0.001	0.001	0.001	0.001	0.001	0.001	0.001	0.001	0.001	0.001	0.001	0.002	0.002	0.002	0.001	0.008
Training and Misc	0.000	0.000	0.000	0.007	0.000	0.000	0.000	0.005	0.000	0.000	0.000	0.005	0.007	0.007	0.005	0.005	0.007	0.025
<b>Total Internal Costs</b>	<b>0.017</b>	<b>0.028</b>	<b>0.033</b>	<b>0.091</b>	<b>0.143</b>	<b>0.143</b>	<b>0.143</b>	<b>0.148</b>	<b>0.143</b>	<b>0.143</b>	<b>0.143</b>	<b>0.148</b>	<b>0.150</b>	<b>0.169</b>	<b>0.577</b>	<b>0.577</b>	<b>0.150</b>	<b>1.473</b>
Consultancy Costs	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
Senior Consultant	0.037	0.000	0.000	0.019	0.019	0.056	0.000	0.037	0.019	0.019	0.037	0.000	0.056	0.056	0.112	0.074	0.056	0.298
External Business Analyst Support	0.029	0.000	0.000	0.007	0.007	0.022	0.000	0.015	0.007	0.007	0.015	0.000	0.022	0.037	0.044	0.029	0.022	0.132
<b>Sub Total Consultancy</b>	<b>0.067</b>	<b>0.000</b>	<b>0.000</b>	<b>0.026</b>	<b>0.026</b>	<b>0.078</b>	<b>0.000</b>	<b>0.052</b>	<b>0.026</b>	<b>0.026</b>	<b>0.052</b>	<b>0.000</b>	<b>0.078</b>	<b>0.092</b>	<b>0.156</b>	<b>0.104</b>	<b>0.078</b>	<b>0.430</b>
March to May Activity	0.072	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.072	0.000	0.000	0.000	0.072
<b>OVERALL TOTAL</b>	<b>0.156</b>	<b>0.028</b>	<b>0.033</b>	<b>0.117</b>	<b>0.169</b>	<b>0.221</b>	<b>0.143</b>	<b>0.200</b>	<b>0.169</b>	<b>0.169</b>	<b>0.195</b>	<b>0.148</b>	<b>0.228</b>	<b>0.334</b>	<b>0.733</b>	<b>0.681</b>	<b>0.228</b>	<b>1.975</b>

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Template for Impact Assessment Level 1: Initial screening assessment

<b>Subject of assessment:</b>	<b>Customer Transformation Strategy</b>			
<b>Coverage:</b>				
<b>This is a decision relating to:</b>	<input checked="" type="checkbox"/> <b>Strategy</b>	<input type="checkbox"/> <b>Policy</b>	<input type="checkbox"/> <b>Service</b>	<input type="checkbox"/> <b>Function</b>
	<input checked="" type="checkbox"/> <b>Process/procedure</b>	<input checked="" type="checkbox"/> <b>Programme</b>	<input type="checkbox"/> <b>Project</b>	<input type="checkbox"/> <b>Review</b>
	<input checked="" type="checkbox"/> <b>Organisational change</b>	<input type="checkbox"/> <b>Other (please state)</b>		
<b>It is a:</b>	<b>New approach:</b>	<input checked="" type="checkbox"/>	<b>Revision of an existing approach:</b>	<input checked="" type="checkbox"/>
<b>It is driven by:</b>	<b>Legislation:</b>	<input type="checkbox"/>	<b>Local or corporate requirements:</b>	<input checked="" type="checkbox"/>
<b>Description:</b>	<p>The Customer Strategy supports the Mayors vision, as set out in the Council Plan priorities 2024-27 <a href="#">Council Plan   Middlesbrough Council</a>, and forms an integral part of the Council's wider Target Operating Model and overall transformational approach as set out in the Transformation Portfolio approved by Council in April 2024 <a href="#">20240424 COUNCIL Transformation of Middlesbrough Council.pdf</a>.</p> <p>Forecast expenditure for the Transformation Portfolio was set out in the Budget and Medium Term Financial Plan (MTFP) and approved by Council in March 2024 (<a href="#">budget and medium-term financial plan report.</a>) The report outlined the high level phase 1 expenditure for transformation and redundancy totalling c£26.7m over 3 years which could be capitalised under the Flexible Use of Capital Receipts (FUoCR). Transformation Governance Arrangements were subsequently approved by Executive in March 2024 <a href="#">05) 20240313 EXEC Transformation Governance Arrangements</a></p> <p>The Customer Strategy is one of a number of transformation programmes, it has an approved business case and now seeks Executive approval. It offers a brand new approach that seeks to fundamentally review, redesign, and reshape all of the Council's customer-facing and business process solutions that complements the Neighbourhood model.</p>			
<b>Live date:</b>	February 2025			
<b>Lifespan:</b>	February 25 – December 2027			
<b>Date of next review:</b>	February 2026			

Screening questions	Response			Evidence
	No	Yes	Uncertain	
<b>Human Rights</b> Could the decision impact negatively on individual Human Rights as enshrined in UK legislation?	☒	☐	☐	The Customer Transformation programme is the Council's internal approach to better engaging with residents and providing a 'single view' of our customer data and ensure the Council develops a customer centric end to end journey to provide an improved service and a streamlined customer journey across all directorates. It is linked directly to the Council plan and is part of the Council's approved transformation portfolio. It is part of the Council's wider Target Operating Model. The approach will be delivered in phases across Directorates to streamline services, create efficiencies and promotes a 'one organisation' approach to delivering customer services. It is underpinned by a clear set of design principles and key objectives and sets out how the Council will provide a comprehensive and accessible 'front door' that is appropriate to engage with all customers. It is intended to provide an improved experience for residents and will not adversely impact individuals in terms of human rights.

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\* Consult the Impact Assessment further guidance for details on the issues covered by each of these broad questions prior to completion.

Screening questions	Response			Evidence
<p><b>Equality</b>            Could the decision result in adverse differential impacts on groups or individuals with characteristics protected in UK equality law?            Could the decision impact differently on other commonly disadvantaged groups?*</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The Public Sector Equality Duty (PSED) requires that when exercising its functions the Councils must have due regard to the need to:-</p> <ul style="list-style-type: none"> <li>eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;</li> <li>advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and</li> <li>foster good relations between persons who share a relevant protected characteristic and persons who do not share it.</li> </ul> <p>In having due regard to the need to advance equality of opportunity, the Council must consider, as part of a single equality duty:</p> <ul style="list-style-type: none"> <li>removing or minimising disadvantages suffered by persons who share a relevant protected characteristic that are connected to that characteristic;</li> <li>taking steps to meet the needs of persons who share a relevant protected characteristic that are different from the needs of people who do not share it; and</li> <li>encouraging people who share a protected characteristic to participate in public life or in any other activity in which participation is low.</li> </ul> <p>The Act requires that the needs of people with a disability are considered and that steps should be taken to take these into account. As this proposal relates to a service whose primary focus is on adult service users who require sheltered accommodation because of disability or frailty due to age, then this proposal is particularly relevant to the equality duties and the protected characteristics of age and disability.</p> <p>The Customer Transformation programme is the Council's internal approach to better engaging with residents and providing a 'customers centric end to end journey to provide an improved service and a streamlined customer journey across all directorates' The approach will be delivered in phases across Directorates to streamline services, create efficiencies and promotes a 'one organisation' approach to delivering customer services. It is underpinned by a clear set of design principles and key objectives and sets out how the Council will provide a comprehensive and accessible 'front door' that is appropriate to engage with all customers. It is intended to provide an improved experience for residents and will not adversely impact individuals in terms of human rights. It is intended to provide an improved experience for residents and will not adversely individuals in terms of equal rights</p>

Screening questions	Response			Evidence
<p><b>Community cohesion</b>            Could the decision impact negatively on relationships between different groups, communities of interest or neighbourhoods within the town?*</p>	☒	☐	☐	<p>The Customer Transformation programme is the Council's internal approach to better engaging with residents and providing a 'single view' of our customer data and ensure the Council develops a customer centric end to end journey to provide an improved service and a streamlined customer journey across all directorates. It is linked directly to the Council plan and is part of the Council's approved transformation portfolio. It is part of the Council's wider Target Operating Model. The approach will be delivered in phases across Directorates to streamline services, create efficiencies and promotes a 'one organisation' approach to delivering customer services. It is underpinned by a clear set of design principles and key objectives and sets out how the Council will provide a comprehensive and accessible 'front door' that is appropriate to engage with all customers. It is intended to provide an improved experience for customers and will not adversely impact individuals. It is intended to provide an improved experience for and will not adversely impact the town in terms of community cohesion</p>
<p><b>Armed Forces</b>            Could the decision impact negatively on those who are currently members of the armed forces of former members in the areas of Council delivered healthcare, compulsory education and housing policies?*</p>	☒	☐	☐	<p>The Customer Transformation programme is the Council's internal approach to better engaging with residents and providing a 'single view' of our customer data and ensure the Council develops a customer centric end to end journey to provide an improved service and a streamlined customer journey across all directorates. It is linked directly to the Council plan and is part of the Council's approved transformation portfolio. It is part of the Council's wider Target Operating Model. The approach will be delivered in phases across Directorates to streamline services, create efficiencies and promotes a 'one organisation' approach to delivering customer services. It is underpinned by a clear set of design principles and key objectives and sets out how the Council will provide a comprehensive and accessible 'front door' that is appropriate to engage with all customers. It is intended to provide an improved experience for residents and will not adversely impact individuals in terms of human rights. It is intended to provide an improved experience for residents and will not adversely impact members of the Armed Forces</p>



Screening questions	Response			Evidence
<p><b>Care leavers</b>            Could the decision impact negatively on those who are care experienced?*</p>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>The Customer Transformation programme is the Council's internal approach to better engaging with residents and providing a 'single view' of our customer data and ensure the Council develops a customer centric end to end journey to provide an improved service and a streamlined customer journey across all directorates. It is linked directly to the Council plan and is part of the Council's approved transformation portfolio. It is part of the Council's wider Target Operating Model. The approach will be delivered in phases across Directorates to streamline services, create efficiencies and promotes a 'one organisation' approach to delivering customer services. It is underpinned by a clear set of design principles and key objectives and sets out how the Council will provide a comprehensive and accessible 'front door' that is appropriate to engage with all customers. It is intended to provide an improved experience for residents and will not adversely impact individuals in terms of human rights. It is intended to provide an improved experience for residents and will improve services across the Council and therefore will not adversely affect individuals who are care experienced.</p>
<p><b>Next steps:</b></p> <ul style="list-style-type: none"> <li>➤ If the answer to all of the above screening questions is No then the process is completed.</li> <li>➤ If the answer of any of the questions is Yes or Uncertain, then a Level 2 Full Impact Assessment must be completed.</li> </ul>				

<b>Assessment completed by:</b>	DI	<b>Head of Service:</b>	JS
<b>Date:</b>	18.11.24	<b>Date:</b>	18.11.24

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