



NORTHAMPTON
BOROUGH COUNCIL

CABINET AGENDA

Wednesday, 12 June 2019

The Jeffrey Room, The Guildhall, St. Giles
Square, Northampton, NN1 1DE

6:00 pm

Members of the Cabinet:

Councillor: Jonathan Nunn (Leader of the Council)

Councillor: Phil Larratt (Deputy Leader)

Councillors: Mike Hallam, Tim Hadland, Stephen Hibbert, Brandon Eldred, Anna King and James Hill.

Chief Executive

George Candler

If you have any enquiries about this agenda please contact
democraticservices@northampton.gov.uk or 01604 837722

PORTFOLIOS OF CABINET MEMBERS

CABINET MEMBER	TITLE
Councillor J Nunn	Leader
Councillor P Larratt	Deputy Leader
Councillor M Hallam	Environment
Councillor B Eldred	Finance
Councillor T Hadland	Regeneration and Enterprise
Councillor S Hibbert	Housing and Wellbeing
Councillor A King	Community Engagement and Safety
Councillor J Hill	Planning

SPEAKING AT CABINET MEETINGS

Persons (other than Members) wishing to address Cabinet must register their intention to do so by 12 noon on the day of the meeting and may speak on any item on that meeting's agenda.

Registration can be by:

Telephone: (01604) 837722
(Fax 01604 838729)

In writing: Democratic Services Manager
The Guildhall, St Giles Square, Northampton NN1 1DE
For the attention of the Democratic Services Officer

By e-mail to democraticservices@northampton.gov.uk

Only thirty minutes in total will be allowed for addresses, so that if speakers each take three minutes no more than ten speakers will be heard. Each speaker will be allowed to speak for a maximum of three minutes at each meeting. Speakers will normally be heard in the order in which they registered to speak. However, the Chair of Cabinet may decide to depart from that order in the interest of hearing a greater diversity of views on an item, or hearing views on a greater number of items. The Chair of Cabinet may also decide to allow a greater number of addresses and a greater time slot subject still to the maximum three minutes per address for such addresses for items of special public interest.

Members who wish to address Cabinet shall notify the Chair prior to the commencement of the meeting and may speak on any item on that meeting's agenda. A maximum of thirty minutes in total will be allowed for addresses by Members unless the Chair exercises discretion to allow longer. The time these addresses take will not count towards the thirty minute period referred to above so as to prejudice any other persons who have registered their wish to speak.

KEY DECISIONS

 denotes the issue is a 'Key' decision:

- Any decision in relation to the Executive function* which results in the Council incurring expenditure which is, or the making of saving which are significant having regard to the Council's budget for the service or function to which the decision relates. For these purpose the minimum financial threshold will be £250,000;
- Where decisions are not likely to involve significant expenditure or savings but nevertheless are likely to be significant in terms of their effects on communities in two or more wards or electoral divisions; and
- For the purpose of interpretation a decision, which is ancillary or incidental to a Key decision, which had been previously taken by or on behalf of the Council shall not of itself be further deemed to be significant for the purpose of the definition.

NORTHAMPTON BOROUGH COUNCIL

CABINET

Your attendance is requested at a meeting to be held:
in The Jeffrey Room, The Guildhall, St. Giles Square, Northampton, NN1
1DE

on Wednesday, 12 June 2019

at 6:00 pm.

George Candler
Chief Executive

AGENDA

- 1. APOLOGIES**
- 2. MINUTES**
- 3. INTENTION TO HOLD PART OF THE MEETING IN PRIVATE IF NECESSARY**
- 4. DEPUTATIONS/PUBLIC ADDRESSES**
- 5. DECLARATIONS OF INTEREST**
- 6. ISSUES ARISING FROM OVERVIEW AND SCRUTINY COMMITTEES**
- 7. PROPERTY TRANSACTIONS RELATING TO ADULT SOCIAL CARE PROVISION**
- 8. PERFORMANCE OUTTURN REPORT QUARTER 4**
- 9. DERNGATE CONSERVATION AREA REVIEW**
- 10. CORPORATE RISK REGISTER**
- 11. FINANCE AND MONITORING - PROVISIONAL OUTTURN REPORT 2018/2019**
- 12. EXCLUSION OF PUBLIC AND PRESS**

THE CHAIR TO MOVE:

“THAT THE PUBLIC AND PRESS BE EXCLUDED FROM THE REMAINDER OF THE MEETING ON THE GROUNDS THAT THERE IS LIKELY TO BE DISCLOSURE TO THEM OF SUCH CATEGORIES OF EXEMPT INFORMATION AS DEFINED BY SECTION 100(1) OF THE LOCAL GOVERNMENT ACT 1972 AS LISTED AGAINST SUCH ITEMS OF BUSINESS BY REFERENCE TO THE APPROPRIATE PARAGRAPH OF SCHEDULE 12A TO SUCH ACT.”

NORTHAMPTON BOROUGH COUNCIL

CABINET

Wednesday, 22 May 2019

PRESENT: Councillor Nunn (Chair); Councillor Larratt (Deputy Chair); Councillors Eldred, Hadland, J Hill, Hibbert and King

1. APOLOGIES

Apologies were received from Councillor Hallam.

2. MINUTES

The minutes of the meeting held on 3rd April 2019 were agreed and signed by the Leader.

3. INTENTION TO HOLD PART OF THE MEETING IN PRIVATE IF NECESSARY

There were no items to be considered in private.

4. DEPUTATIONS/PUBLIC ADDRESSES

There were none.

5. DECLARATIONS OF INTEREST

Item 8: Delegation of Enforcement Powers - Councillor Hibbert declared an interest as Deputy Chair of the Countywide Traveller Unit (CTU). Councillor Larratt declared an interest as a Member of the CTU Board.

6. ISSUES ARISING FROM OVERVIEW AND SCRUTINY COMMITTEES

There were none.

7. EXCLUSION OF PUBLIC AND PRESS

There were no items to be considered in private, so the public and press were not excluded from any part of the meeting.

8. DELEGATION OF ENFORCEMENT POWERS

Councillor King as the relevant Cabinet Member submitted a report seeking an arrangement with Northamptonshire County Council to deal with unauthorised traveller encampments in relation to land within Northampton Borough Council's area. This was an urgent issue, because the correct powers were not currently in place.

Councillor Birch stated that she supported the recommendation, although a more permanent solution was needed. Were the Council considering a temporary site with water and toilet facilities? Councillor Nunn suggested that a ward by ward approach would be the best solution.

Councillor Birch was pleased to note that the police were using Section 61 notices, and asked if they would continue to be proactive. Councillor King pointed out that the Chief Executive currently received daily updates from the police in respect of this.

In relation to the implications for NBC of the court upholding a challenge to Bromley Council's traveller ban, Councillor King stated that NBC's legal team were in agreement with

the current arrangements.

Councillor Eldred pointed out that there was a stop-gap traveller site at Ecton. He also reported that Plymouth Council had previously been one of the areas worst affected by unauthorised encampments. However, as a result of employing bailiffs, acting in a professional rather than forceful manner, they now had one of the lowest levels of unauthorised encampments in the country. Could this approach be considered for NBC?

Councillor Larratt stated that the CTU provided an excellent service, had a good working relationship with travellers, and processed legal work quickly to get eviction notices. He considered that the CTU should be a 7 day a week operation in order to be able to undertake assessments in a more timely manner.

Councillor Hadland expressed concern that social media evidence suggested Northamptonshire was viewed as a soft touch by travellers. A robust approach was needed.

Councillor Nunn suggested there should be further officer investigation into the cost and viability of a 24/7 CTU operation, and confirmed that the existing arrangements would now continue until 31 March 2021 (rather than 2020 as stated in 1.1).

RESOLVED:

- 2.1 Cabinet agreed that Northampton Borough Council enter into an arrangement with Northamptonshire County Council to discharge the powers under sections 77 and 78 of the Criminal Justice and Public Order Act 1994 and Part 55 of the County Court Procedure Rules, in relation to unauthorised occupation of land within Northampton Borough Council's area and for it to arrange for delegation of those powers to specified officers of the County Council.

9. PUBLIC SPACES PROTECTION ORDER – JEYES JETTY

Councillor King as the relevant Cabinet Member submitted a report and pointed out that Jeyes Jetty had been a problem area for anti-social behaviour for a number of years.

Councillor Larratt noted that the issue had been raised by Overview and Scrutiny in 2015 and it was encouraging to see progress being made. There were successful precedents of gating in other towns, such as Market Harborough.

RESOLVED:

2.1

- a) Cabinet approved a 12 week statutory public consultation on the proposal to make a Public Spaces Protection Order (see Appendix 1 of the report) that will gate the public highway known as Jeyes Jetty, between The Drapery and College Street, Northampton; and
- b) Cabinet agreed to receive a further report, following completion of the statutory public consultation, which considers any representations received and, if appropriate, seeks approval of the Public Spaces Protection Order.

10. RECTORY FARM COMMUNITY CENTRE - EXTENSION

Councillor Hadland as the relevant Cabinet Member submitted a report seeking approval to appoint the main construction contractor to improve the facilities at Rectory Farm Community Centre. The timescale was tight, with work planned to start during the school summer holiday.

Councillor McCutcheon welcomed the project, but expressed concern at the risks associated with delegation to an individual. In response, it was pointed out that there would be consultation with the Borough Secretary and the Cabinet Member for Regeneration, and normal processes of tenders and due diligence would be followed – although due to tight timescales, the decision would not come back to Cabinet for approval.

Councillor Larratt expressed congratulations to those responsible for negotiating the release of the covenant, facilitating the newly-established Co-op on the site of the pub and reinvesting in the community.

Councillor Hill was delighted that the project was to proceed, since it would bring great benefit to the community.

RESOLVED:

- 2.1 Cabinet delegated authority to the Head of Economy, Assets and Culture, in consultation with the Borough Secretary and the Cabinet Member for Regeneration, to finalise the contract terms and appoint the main construction contractor for the Rectory Farm Community Centre project, within the approved budget sum of £250,000.

The meeting concluded at 6:25 pm

Appendices 4



NORTHAMPTON
BOROUGH COUNCIL

CABINET REPORT

Report Title	Property Transactions relating to Supported Living Provision
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AGENDA STATUS: PUBLIC

Cabinet Meeting Date:	12 th June 2019
Key Decision:	Yes
Within Policy:	No
Policy Document:	Yes
Service Area:	Head of Housing and Wellbeing
Accountable Cabinet Member:	Cllr Stephen J Hibbert
Ward(s)	All Wards

1. Purpose

- 1.1 Officers from the Council, Northampton Partnership Homes (NPH) and Northamptonshire County Council (NCC) have been exploring ways in which the three organisations can work together to increase the supply of supported living accommodation for vulnerable adults in Northampton.
- 1.2 To seek Cabinet approval to vary the Management Agreement, if required, made between the Council and NPH, on 5 January 2015, for the delivery of housing management and other services – to enable NPH to provide NCC with housing management support and other services.
- 1.3 To seek Cabinet approval for the Council to acquire, from NCC, the property known as Moray Lodge, to enter into a lease, a sub-lease and tenancy agreements in relation to NCC's Eleanor Lodge and progress construction on the site known as Billing Brook Road.

2. Recommendations

- 2.1 Approves the Scheme known as Eleanor Lodge, as detailed in Appendix B.
- 2.2 Approves the Scheme known as Moray Lodge, as detailed in Appendix C.
- 2.3 Approves the scheme known as Billing Brook Road, as detailed in appendix D.
- 2.4 Delegates to the Head of Housing and Wellbeing in consultation with the Cabinet Member of Housing and Wellbeing, the Borough Secretary and Chief Finance Officer the authority to approve the terms of the lease and any associated documentation.
- 2.5 Delegates to the Head of Housing and Wellbeing in consultation with the Cabinet Member for Housing and Wellbeing, the Borough Secretary authority to regularise and to create a pathway through which property transactions, such as is proposed herein and related to Adult Social Care in the community can be appropriately managed and support by both authorities.
- 2.6 Delegates to the Borough Secretary in consultation with the Cabinet Member for Housing and Wellbeing, the Head of Housing and Wellbeing and the Chief Finance Officer, the authority to approve any variations required to be made to the Management Agreement between Northampton Borough Council and Northampton Partnership Homes dated 5 January 2015 that may be required to implement any Cabinet approvals arising from this report.

3. Issues and Choices

3.1 Report Background

- 3.1.1 In light of the positive and close working relations the Council has with NCC and in light of the wider unitary agenda. Northamptonshire County Council (NCC) has approached the Council and NPH seeking the assistance of both in helping NCC to provide supported living accommodation in Northampton at properties known as Billing Brook Road, Thorplands, Moray Lodge, Duston Northampton and Eleanor Lodge in Delapré. This will be for the benefit of Adult Social Care Customers who have either Acquired Brain Injury, Mental Health Issues, Autism and/or highly complex learning disabilities or physical disabilities. The provision of supported living accommodation with the support of the Council will improve the quality of care provision locally as well as providing significant cost savings for NCC.
- 3.1.2 NCC are keen to utilise the Council's Registered Provider status in order to access available grant funding from Homes England and/ or NHS England (where appropriate) for the development of the supported living accommodation which NCC would not otherwise be able to access.
- 3.1.3 In relation to NPH; - NCC are keen to utilise the services of NPH to build and for NPH to manage the supported living accommodation on behalf of the Council as the Registered Provider. In relation to Eleanor Lodge this will be managed through a lease with the Council and in relation to Moray Lodge and Billing Brook Road

these properties are intended to form part of the Council's housing portfolio with NCC retaining nomination rights for a period of 30 years unless or until (subject to a notice period) there is a change of use with respect to either property, and it can no longer be used for its intended purpose.

3.2 Issues

3.2.1 NCC has identified there is a lack of appropriate supported living for a number of Adult Social Care client groups within the Northampton area.

3.2.2 Appendix A provides a summary of schemes and the client groups these supported living schemes seek to support. With Appendices B to D providing additional detail for each of the schemes.

3.3 Choices (Options)

3.3.1 Cabinet has the following choices:

1. Not to approve any of the schemes, this would limit the opportunity for residents within the Borough and County to access suitable housing for their needs and continue to drive Social Care costs through the need to place clients with complex needs out of area.

2. To approve selected schemes, this would limit the opportunity for residents within the Borough and County to access suitable housing for their needs and continue to drive Social Care costs through the need to place clients with complex needs out of area.

3. To approve all three schemes, with associated delegations to officers to enable progression on all three schemes. This will improve provision of specialist supported living accommodation within the Borough and contribute to the financial sustainability of Adult Social Care, which will in addition assist with the financial sustainability of the new Unitary Authority West Northamptonshire Council.

3.3.2 Cabinet are recommended to approve option 3 above.

4. Implications (including financial implications)

4.1 Policy

4.1.1 The action that the Council is proposing to take is in line with Council policy and reflects the priorities in the Corporate Plan 2018-2020. *"Housing for Everyone - Helping those that need it to have a safe and secure home"*.

4.2 Resources and Risk

4.2.1 The resource and risk aspects of these schemes are detailed in the appendices to this report.

- 4.2.2 Council at its meeting on 3rd June 2019 approved the increase in HRA borrowing and the total cost of all three schemes to the HRA Capital Fund should not exceed £6.000M.
- 4.2.3 The requirements of both Councils under the Prudential Code, referred to in paragraph 4.3.4 has been considered. NCC will achieve value through transfer of an asset in return for nomination rights and the Council will achieve value for money through the creation of capital assets. The HRA analysis of affordability and pay back is identified in each of the Appendices relating to each scheme.

4.3 Legal

- 4.3.1 The Agreement for the delivery of housing and management of other services dated 5th January 2015 and made between (1) Northampton Borough Council and (2) Northampton Partnership Homes (NPH) may need to be varied if the role and activities of NPH need be expanded so that they are able to provide their services to Northamptonshire County Council but only in so far as is necessary to achieve that purpose.
- 4.3.2 The Head of Housing and Wellbeing pursuant to Part 8, Paragraph B paragraph 4.1 of the Constitution has only the delegated power to manage the Landlord services carried out by NPH and to oversee the exercise of the functions delegated and contracted to NPH. The Head of Housing and Wellbeing does not have the necessary delegation to enter into a Lease with Northamptonshire County Council or the authority to enter into tenancy agreements with the proposed tenants of Eleanor Lodge (to be nominated by NCC) or to provide a sub-lease to Northamptonshire Adult Social Services (NASS) for office accommodation at Eleanor Lodge. Cabinet approval to enter into the Lease, Tenancy Agreements or sub leases and any associated documentation thereto will be required and delegated through this report and approval.
- 4.3.3 In relation to the proposed Lease between the authorities of Eleanor Lodge it is to be noted that there is a potential risk of an additional financial impact on the Council if for any reason, NPH are not in a position to collect the rent in the sums anticipated from Eleanor House, which NPH would expect to receive to cover the cost of their management service.
- 4.3.4 For the reasons noted above at paragraph 4.3.2 in order for the land known as Moray Lodge to be transferred by Northamptonshire County Council into the Council's housing portfolio Cabinet approval to acquire this asset is necessary and approval sought through this report.
- 4.3.5 It is also important that the proposal from NCC is in accordance with The Prudential Code for Capital Finance in Local Authorities and in addition that the proposal is in accordance with Council's Housing Strategy.
- 4.3.6 It is to be recommended that consideration be given to developing a policy and/or joint arrangement between Council and Northamptonshire County Council until such time as West Northamptonshire Council has been established, so as to

regularise and to create a pathway through which property transactions, such as proposed herein and related to Adult Social Care in the community can be appropriately managed and supported by both authorities.

- 4.3.7 It is to be recommended that in addition to the policy and/or joint recommendation noted above at paragraph 4.3.6 or as a standalone policy that consideration be given to the Council and NPH establishing an agreed way of working specifically designed and related to the provision of supported living in the community

4.4 Equality and Health

- 4.4.1 A high level Equality Impact Assessment has been carried out for these schemes by NBC and it is to be noted that NBC is required to provide housing options to all residents, including those with protected characteristics and, these schemes comply with the Council's equality duties and provide specific supported living capacity not currently available in the Borough.
- 4.4.2 NCC will have nomination rights so responsible for ensuring specific equality assessments are conducted, if required for the specific client groups targeted for each scheme.

4.5 Consultees (Internal and External)

- 4.5.1 NCC In respect of the schemes requirements and purpose
- 4.5.2 NPH in respect of the Business Cases for the HRA and ability to deliver future housing and management services to the residents.
- 4.5.3 NBC Cabinet Members for Finance and Housing and wider Cabinet Members.
- 4.5.4 NBC Corporate Management Board

4.6 How the Proposals deliver Priority Outcomes

- 4.6.1 NBC is a Registered Provider for housing and has duties to offer suitable accommodation to all residents. The request to assist from NCC highlights a shortage of specific supported living accommodation for a number of Adult Social Care client groups. These schemes will assist in rebalancing that lack of provision.
- 4.6.2 These schemes support three strands of the NBC Corporate Plan (2018-2020);
- a) More Homes, Better Homes
 - b) Putting the Customer First
 - c) Spending your Money Wisely

4.7 Other Implications

- 4.7.1 There are no other implications.

5. Background Papers

- 5.1 NBC Council Report – HRA Budget 3 June 2019
- 5.2 NPH Management Agreement with NBC 2015.

6. Next Steps

- 6.1 The Council Corporate Management Board will work with NCC and NPH to progress the three schemes.

Stuart McGregor
Chief Finance Officer

NCC : NBC HOUSING SCHEMES – OVERVIEW

BACKGROUND

Northampton Borough Council (NBC) is the main Registered Housing Provider for the Borough and received a request to assist Northamptonshire County Council (NCC) to assist in the provision of additional housing for specific client groups.

These schemes will form part of the Housing Revenue Account (HRA) and will deliver specialist homes that will enable NCC to deliver Social Care services to clients without having to place them out of area. This enables delivery of services closer to the client's families, provides more independent living opportunity and also should reduce the pressures on Social Care budgets through improved local quality care provision.

Northampton Partnership Homes (NPH) as the Council's housing management company will undertake the capital works provided, which vary from reconfiguration to design and new build, within the normal scope of HRA Properties. NPH will also then deliver standard property management and maintenance services, but will not be providing any 'care services'. NCC will commission all care provision separately either through in-house services or other care providers.

NCC will be transferring land/assets to the NBC HRA at minimal cost, gaining value through nomination rights. HRA will benefit from a growth in the stock of homes, individual appraisals have been conducted to support each schemes business case (NBC/NPH/NCC have all contributed and evaluated from the various viewpoints).

SCHEMES

Scheme One – Eleanor Lodge

Outline - Core and Cluster Scheme to provide 18 Units of accommodation in 5 Residential Clusters

Funding – NCC have funded reconfiguration costs (no capital cost to HRA), scheme operationally ready.

NPH – Commissioning of work and Project Management of reconfiguration, Housing management and Lettings management.

NBC – Registered Provider, provision of homes through the HRA.

Care & Support – To be commissioned and provided by NCC Adult Social Care services.

Property Ownership – NCC to lease to NBC for 30 Years (which will fold in the new Unitary Council environment).

Nomination Rights – NCC to have nomination rights for the duration of the lease, NCC liable for excess voids and may change use of building / units if demand reduces.

NCC Client Group – Adults with Learning Disabilities

Scheme Two – Moray Lodge

Outline – New Build to provide 20 apartments, plus support facilities.

Funding – NCC land transfer, Homes England Grant sought, HRA funding

NPH – Commissioning of construction work / Project Management. Housing management and Lettings management.

NBC – Registered Provider, provision of homes through the HRA.

Care & Support – To be commissioned and provided by NCC Adult Social Care services.

Property Ownership – NCC transfer of land NBC Housing Revenue Account (HRA), HRA will own property and land.

Nomination Rights – NCC to have nomination rights in conjunction with NBC Housing. NCC liable for excess voids with no detriment to HRA.

NCC Client Group – 10 Apartments for people with acquired brain injuries and 10 Apartments for clients with Mental Health requirements.

Scheme Three – Billing Brook Road

Outline – New Build to provide 8 bungalows, plus support facilities.

Funding – HRA land, Homes England Grant and NHS England funding sought, underwritten by NCC Capital Funding if required.

NPH – Commissioning of construction work / Project Management. Housing management and Lettings management.

NBC – Registered Provider, provision of homes through the HRA.

Care & Support – To be commissioned and provided by NCC Adult Social Care services.

Property Ownership – Use of existing HRA land, HRA will own property and land.

Nomination Rights – NCC to have nomination rights in conjunction with NHS CCG and NBC Housing. NCC liable for excess voids with no detriment to HRA.

NCC Client Group – 8 Bungalows for adults with Autism.

HOUSING REVENUE ACCOUNT

The Housing Revenue Account (HRA) is a ring fenced aspect of the Councils funding and service delivery. Council approved an increase in borrowing to fund these schemes on 3 June 2019, subject to each scheme being approved by Cabinet.

In assessing these schemes the financial appraisals, whilst acknowledging the NCC service needs, must only consider the costs and income associated with the provision of the homes themselves, the rental they will create (at affordable home rates, capped at Local Housing Allowance) and the costs of maintenance and housing related services along with the associated costs of any borrowing by the HRA to deliver the schemes.

NPH, as with any standard HRA scheme, developed the financial appraisal as part of the business case. This has then been tested by the NBC HRA Finance Team for sensitivities in costs and income. The main mitigation to these schemes, as a result of the nomination rights by NCC would be unavoidable voids. The NBC rent (via NPH) will be protected should the standard void assumption of 4% be exceeded through an underwriting agreement with NCC.

NCC, or its chosen provider, will also be providing a separate income stream to the HRA for those elements of the schemes designated as 'Care Provision Facilities' such as staff accommodation and offices which normal housing rents would not be expected to contribute to.

In all cases using prudent assumptions for construction costs, maintenance costs and the cost of borrowing, the schemes reflect they are financially viable.

NBC Revenue & Benefit Service has been advising NCC and NPH on the levels of Housing Benefit that might be provided to the residents in relation to the Local Housing Allowance values.

NCC : NBC HOUSING SCHEME – ELEANOR LODGE

BACKGROUND

Northampton Borough Council (NBC) is the main Registered Housing Provider for the Borough and received a request to assist Northamptonshire County Council (NCC) to assist in the provision of additional housing for specific client groups.

SUMMARY Scheme One – Eleanor Lodge

Outline - Core and Cluster Scheme to provide 18 Units of accommodation in 5 Residential Clusters

Funding – NCC to fund reconfiguration costs (no capital cost to HRA).

NPH – Commissioning of work and Project Management of reconfiguration, Housing management and Lettings management.

NBC – Registered Provider, provision of homes through the HRA.

Care & Support – To be commissioned and provided by NCC Adult Social Care services.

Property Ownership – NCC to lease to NBC for 30 Years (which will fold in the new Unitary Council environment).

Nomination Rights – NCC to have nomination rights for the duration of the lease, NCC liable for excess voids and may change use of building / units if demand reduces.

NCC Client Group – Adults with Learning Disabilities

DETAILS

This scheme requires no capital funding from the HRA. The building/facility will be leased to NBC from NCC, therefore costs will be revenue and required to be recovered through the HRA as rental income.

The scheme will provide 18 homes in a Core & Cluster format, providing independent supported living for all residents.

NCC will retain nomination rights for homes and it is expected they will nominate adult clients with Learning Disabilities. NCC may change the use/occupancy of this scheme if required and with due notice.

The building is a reconfiguration project, with no 'new build/planning requirements', NCC will remain liable for any major capital expenditure.

As there is no borrowing, the lease of the property from NCC will be at a 'peppercorn' rent and excessive voids will be underwritten by NCC, there is no risk to the HRA. The HRA will have to ensure the costs of maintenance, insurance, administration etc is recovered through tenant rents. Annual costs are anticipated to be in the order of £45,000.00 with annual rent in the order of £65K pa.

Housing Management and Lettings

Once the scheme is complete NPH will manage the scheme delivering the full range of housing management services including:

- Lettings and tenancy sign up
- Housing management
- Rent collection
- Estate services and grounds maintenance
- Responsive, cyclical maintenance and major works

NPH will commission any works that cannot be delivered by its in-house repairs team.

A Care and Support Provider will be commissioned by NCC for each scheme.

NBC through NPH and NCC will agree propose a matrix setting out:

- The demarcation of roles and responsibilities between the Care and Support provider commissioned by NCC and NPH.
- Key Performance Indicators for NPH's delivery of housing management services (such as response times for repairs)

The matrix will be proposed to NCC and will be approved ahead of NCC tendering the care and support services for each scheme. NCC will include the matrix within its tender documentation for support services.

Rents and Service Charges

Rents will be set at 80% of open market rental value but capped at Local Housing Allowance (LHA), inclusive of service charges.

NPH will set reasonable service charges to recover the housing related services that are not covered by the core rent. These will be aligned to those charges on other housing schemes for reasonable costs such as communal grounds maintenance and lift maintenance.

NBC through NPH will set a reasonable rent for the ancillary space that is designated for staff usage, payable by NCC or its Care Provider.

NCC : NBC HOUSING SCHEME – MORAY LODGE



BACKGROUND

Northampton Borough Council (NBC) is the main Registered Housing Provider for the Borough and received a request to assist Northamptonshire County Council (NCC) to assist in the provision of additional housing for specific client groups.

DETAILS

This scheme requires capital funding of £3.000M from the HRA for construction costs, NPH are actively seeking a grant subsidy from Homes England of £1.200M. The building and land will be owned by NBC within its HRA.

The scheme will provide 20 homes in the form of apartments. 10 Apartments for people with acquired brain injuries and 10 Apartments for clients with Mental Health requirements, providing independent supported living for all residents.

NCC will retain nomination rights for the homes for 30 years, in return for transferring the land for £1.00 to the HRA.

NPH are currently undertaking consultation on the scheme, prior to submitting a planning application, there would therefore be some sunk costs relating to the scheme development should the scheme not proceed.

Housing Management and Lettings

Once the scheme is complete NPH will manage the scheme delivering the full range of housing management services including:

- Lettings and tenancy sign up
- Housing management
- Rent collection
- Estate services and grounds maintenance
- Responsive, cyclical maintenance and major works

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NBC through NPH will set a reasonable rent for the ancillary space that is designated for staff usage, payable by NCC or its Care Provider.

Financial Viability

A detailed financial appraisal has been constructed by NPH and reviewed/tested by NBC HRA Finance. Whilst obtaining a Capital Grant for the construction of these homes would improve cashflow. Recognising a residual value at year 30 (assuming simple build value) demonstrates the schemes financial viability if full grant expectation is not achieved.

The assumed rental income exceeds the assumed costs (including interest) so can provide a contribution to repayment of the HRA loan. The extract from the financial appraisal below, highlights that the payback period is currently reflected at 18 years, this would be extended if all funds have to be borrowed.

Moray Lodge	
Estimated Project costs	£3m
Estimated Grant funding	£1.2m
Number of Residential units	20
Number of offices/staff accomm	2
(For modelling purposes 2 units at LHA assumed)	
Special Supported Accommodation	
NCC Asset Transferred to NBC HRA for nomination rights for £1	
Summary Financial Appraisal Output	
	30 Years
Net Present Value	£791
Internal Rate of Return	4.57%
Payback period (Years)	18
Average Net Rate of return	6.04%
Assumed level of Borrowing per unit (£k)	90
Assumes £1.2m of grant funding via Homes England	
NCC undertakes to invest capital if funding not successful ?	
Included office rent estimate only for 2 units , no Management or R&M costs as part of main building	

NCC : NBC HOUSING SCHEME – BILLING BROOK ROAD



BACKGROUND

Northampton Borough Council (NBC) is the main Registered Housing Provider for the Borough and received a request to assist Northamptonshire County Council (NCC) to assist in the provision of additional housing for specific client groups.

SUMMARY Scheme Three – Billing Brook Road

Outline – New Build to provide 8 bungalows, plus support facilities.

Funding – HRA land, Homes England Grant and NHS England funding sought, underwritten by NCC Capital Funding if required.

NPH – Commissioning of construction work / Project Management. Housing management and Lettings management.

NBC – Registered Provider, provision of homes through the HRA.

Care & Support – To be commissioned and provided by NCC Adult Social Care services.

Property Ownership – Use of existing HRA land, HRA will own property and land.

Nomination Rights – NCC to have nomination rights in conjunction with NHS CCG and NBC Housing. NCC liable for excess voids with no detriment to HRA.

NCC Client Group – 8 Bungalows for adults with Autism.

DETAILS

This scheme requires capital funding of £2.500M from the HRA for construction costs, NPH are actively seeking a grant subsidy from Homes England and NHS England, a capital contribution is underwritten by NCC to ensure the scheme remains viable, should the grants not be forthcoming. The building and land will be owned by NBC within its HRA.

The scheme will provide 8 homes in the form of bungalows for adults with Autism, with a separate building for staff and facilities ('rent/service' charged to NCC or their care provider).

NCC will retain nomination rights for the homes for whilst underwriting the void costs.

NPH are currently undertaking consultation on the scheme, prior to submitting a planning application.

Housing Management and Lettings

Once the scheme is complete NPH will manage the scheme delivering the full range of housing management services including:

- Lettings and tenancy sign up
- Housing management
- Rent collection
- Estate services and grounds maintenance
- Responsive, cyclical maintenance and major works

NPH will commission any works that cannot be delivered by its in-house repairs team.

A Care and Support Provider will be commissioned by NCC for each scheme.

NBC through NPH and NCC will agree propose a matrix setting out:

- The demarcation of roles and responsibilities between the Care and Support provider commissioned by NCC and NPH.
- Key Performance Indicators for NPH's delivery of housing management services (such as response times for repairs)

The matrix will be proposed to NCC and will be approved ahead of NCC tendering the care and support services for each scheme. NCC will include the matrix within its tender documentation for support services.

Rents and Service Charges

Rents will set at 80% of open market rental value but capped at Local Housing Allowance (LHA).

NPH will set reasonable service charges to recover the housing related services that are not covered by the core rent. These will be aligned to those charges on other housing schemes for reasonable costs such as communal grounds maintenance and lift maintenance.

NBC through NPH will set a reasonable rent for the ancillary space that is designated for staff usage, payable by NCC or its Care Provider.

Financial Viability

A detailed financial appraisal has been constructed by NPH and reviewed/tested by NBC HRA Finance. Whilst obtaining a Capital Grant for the construction of these homes would improve cashflow. Recognising a residual value at year 30 (assuming simple build value) demonstrates the schemes financial viability, if an HRA loan is required.

The assumed rental income exceeds the assumed costs (including interest) so can provide a contribution to repayment of the HRA loan if a full grant is not available. NCC has committed to underwriting an element of Capital if required.

Billing Brook	
Estimated Project cost (covered fully by grant)	£2.5m
Estimated Grant funding	£2.5m
Number of Residential units	8
Number of offices/staff accomm	2
(For modelling purposes 2 units at LHA assumed)	
Special Supported Accommodation	
HRA Land asset owned by NBC	
Summary Financial Appraisal Output	30 Years
Net Present Value	£855,186
Annual cash inflows per Year estimated	£40K
Internal Rate of Return	-
Payback period (Years)	-
Average Net Rate of return	-
Assumed level of Borrowing per unit (£k)	0
Assumes project funded by £2.5m grant funding via Homes England/NHS	
NHS may require a charge against the asset if granting funding.	
NCC may provide some capital if funding if grants fail	
Level of grant/capital needed to achieve a Zero NPV	£1.645m
Included Office Rental income and R&M and Management costs for 2 units as offices and staff accomm in separate block to residential	



CABINET REPORT

Report Title	Corporate Performance. All Measures and Outturn report Quarter 4 1 January 2019 – 31 March 2019 and Outturn
Agenda Status	Public
Cabinet Meeting Date	12 June 2019
Key Decision:	No
Within Policy:	Yes
Policy Document:	No
Directorate:	Chief Finance Officer
Accountable Cabinet Member(s):	Councillor P Larratt
Ward(s)	n/a

1. Purpose

To inform Cabinet of the council's performance indicators figures for 1 January 2019 – 31 March 2019, and compare where possible with previous year's figures.

2. Recommendations

- 2.1. That Cabinet review the contents of the performance report (Appendix 1) and recommend actions to be taken, if any, to address the issues arising.
- 2.2. The Annual Performance Report will be presented in June of each year to the Audit Committee.

3. Issues and Choices

3.1. Report background

Data is collected across a range of locally developed indicators which are collected on a monthly, quarterly or annual basis. These form the basis of the council's performance

monitoring process. Cabinet members receive information on all the measures through the Corporate Performance All Measures Report (Appendix 1). This enables the monitoring of the Corporate Plan within their portfolios on a regular basis.

This report summarises the council's monthly, quarterly and annual performance indicators figures for 2018 -2019:

The appended report details:

- A performance dashboard overview for each of the corporate themes
- Key Performance Indicator (KPI) results with supporting commentary

3.2. Issues

Progress against Corporate Plan priorities.

61.77% of performance measures where data was available reached their target or performed within agreed tolerances. The figures reported for the quarter and year end unfortunately have shown an increase in the red indicators. This is largely due to the handover of the contract from Enterprise Services to Veolia which impacted on reporting while the new contractor got to grips with how we needed data reporting. Although this means the overall figures appear poor, there have been significant improvements overall in the service now being delivered to residents of Northampton. We have changed some KPIs from four monthly reporting (which didn't line up with quarterly reports in any meaningful way) to monthly. This will give the opportunity to identify areas of concern more promptly and take remedial action.

Because of this it will not be possible to give a full outturn report for 2018/19. Where possible we have given comparable figures year on year, or if relevant for the same quarter in the previous year.

3.3. Overall indicator performance against targets

	2017/2018	2018/2019			
Performance Status	End of year	Q1 %	Q2%	Q3%	Q4
Blue (Exceptional or over performance)	21.21%	20.00%	13.33%	13.79%	14.71%
Green	39.39%	40.00%	46.67%	44.83%	32.35%
Amber (Within agreed tolerance)	9.09%	9.09%	10.00%	10.00%	14.71%
Rounded total	69.69%	69.69%	70.00%	70.00%	61.77%
Red (Outside agreed tolerances)	30.30%	30.04%	30.00%	30.00%	38.24%

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3.4 Exceptions

The below exceptions are to be considered by CMB and Audit as to whether any of these are considered to be classified as corporate risks.

High Performing Highlights (Exceptional or Over Performing)			
KPI No	Detail	Q4	Outturn Commentary
CH11	Number of visits to Abington Park Museum	Blue for Q4 – with the main Museum still closed for major refurbishment the Abington Park Museum footfall and attendance for events has become the main report. After lower than target figures for last year, footfall has improved to above target since December of last year. A full programme of events is now embedded and is being well supported.	No comparable figures available.
ESC01	Total Bins and boxes missed in period	After some initial problems with the change of contract, the number of bins and boxes reported as missing have stabilised and show an improvement on the same	Q4: 2018/19 822 missed bins and boxes reported. Q4: 2017/18 2116 missed

		performance as last year in the last quarter.	bins and boxes reported.
ESC02	% of missed bins corrected within 24 hours.	The contractors are performing well over target. The number of missed bins reported has fallen, and the % corrected has risen.	Q4: 2018/19 100% corrected within 24 hours of being reported Q4: 2017/18 Avr. 82.40% corrected within 24 hours.
ESC04	% household waste recycled and composted	New blue bins have been introduced in suitable households, together with a trial of sacks to replace boxes in households for whom the bin option is not appropriate. There has been an increase in items being recycled which will lead to a decrease in items going to landfill.	Q4:2018/19 – Avr. 61.74% Q4:2017/18 – Avr. 32.98%
ESC06	% of land and highways assessed as falling below acceptable level – detritus	There has been a deep clean on the A45 and during February and March 2019 there was a 2.67% and 0.00% reported against a 4% target. This has brought the overall average down to 3.11%	Q4: 2018/19 Avr. 3.11% Q4: 2017/18 Avr. 3.26%
HML09	No of households for who full homelessness duty is accepted	All decisions to accept a rehousing duty under the homelessness legislation have been made after the Council has discharged its duty to 'relieve' the household's homelessness for 56 days. The figures are stabilising compared to last year.	Outturn 2018/19 - 286 Outturn 2017/18 – 550 The number of acceptances for the year has fallen by 52%.
HMO01 of HMO with mandatory licence	No of HMOs with mandatory licence	The number of HMO with a licence continues to rise. As with the additional licences the team continue to pursue any cases where it is suspected licences are required and have not been applied for.	Outturn 2018/2019 = 456 Outturn 2017/2018 = 405 The trend is still rising on this KPI as more HIMO's apply for licences
NI157c	Minor and Other planning applications	Continues to perform at 100% for this quarter.	2018/19 100% 2017/18 100%

KPI No	Detail	Lower Levels of Reporting (outside agreed targets) Q4	Outturn Commentary
BV012	Average number of days/shifts lost to sickness for rolling 12 month period	Following the increase in sickness absence, CMB were provided with additional sickness data to disseminate to managers in their service areas. HR will be providing monthly sickness reports to CMB to enable effective management to take place.	Comparable data is not available, due to non-reporting in the last quarter of 2017/2018
ESC01n	Total Bins and Boxes reported as missed	The target for the remainder of the year will remain at red due to change of contractor and figures not being available for all months, but there has been a significant improvement from the beginning of this quarter to the end. There was also an issue with change of service during Oct and November, but December's figures show great improvement.	Q4: 2018/19 822 missed bins and boxes reported. Q4: 2017/18 2116 missed bins and boxes reported. Overall for the year the KPI is red, but showing good improvements in last Q.
ESC04	% household waste recycled and composted	Overall the annual figure is red due to problems with the handover, although the last quarter figures are performing over target.	Comparable data not available.
ESC07	% of land and highways assessed as falling below acceptable level of graffiti	Again, problems caused with previous contractors not performing to target, and non-reporting for some months. Reporting recommenced in January 2019, and there is consequently a backlog of inspections and work to be done to rectify instances of graffiti where they are found.	Comparable data is not available.
HML01	Total number of households living in temp accommodation	The numbers continue to remain high, although they appear to have stabilised. It is hoped that the changes Cabinet approved to the Housing Allocations and Choice Based Lettings Policy in the last quarter will prevent the number rising further. The team is doing all it can to prevent the need for a household being placed into temporary accommodation and where this cannot be achieved minimise the stay in temporary accommodation.	Outturn for year 2018/19 = 338 2017/18 = 247
HML07	Number of households that are	Preventing homelessness continues to be difficult It is hoped that as part of the team's Homelessness Reduction	Outturn for year 2018/19 = 338 households

	prevented from becoming homeless	Act delivery plan that a series of changes will mean earlier intervention and give more opportunities for earlier prevention of homelessness.	2017/19 = 799
HMO08	No of HMOs with an additional licence	Since a change in the law there has been a significant number of licences that are now classed as mandatory that would previously have been additional. This means the figures for additional have reduced, together with a drop overall in applications during the quarter.	Comparable data is not available.
MPE01	No of new businesses locating on NWEZ	Overall the scheme is nearly at capacity and the amount of new businesses and therefore jobs created has slowed down. However 5 new businesses have re-located within the NWEZ during the last quarter which was on target with 37 jobs created. Although this is a good last quarter, it still gives an overall red report for the year.	Outturn for year - Businesses 2018/19 11 target of 20 2017/18 13 – target 20.
MPE02	NWEZ New Jobs		2018/19 Jobs created 61 – target 200. 2017/18 Jobs created 55 target 350
PP53a	% Service Requests responded to within 5 working days	Again the number of services requests responded to within deadlines has been affected by two members of staff being on long term sick leave.	2018/19 87.18% (target 92%) 2017/18 41.11% (target of 94%)

3.4. Data Quality

The council has processes in place to ensure that the data and information it provides to support management decision-making is as reliable as possible. The council has a strategy to improve data quality and service areas are working to achieve the objectives within it.

3.5. Governance

Cabinet are asked to review the appended performance report and recommend actions to be taken if any to address the issues arising.

4. Implications (including financial implications)

4.1. Policy

4.1.1. Corporate performance measures are monitored monthly or quarterly to track progress towards delivering the council's priorities as detailed in the Corporate Plan.

4.1.2. Service areas review and develop objectives annually through the service planning process. Measures and targets are identified to help.

4.2. Resources and risks

The risk process includes challenging and confirming capacity and ability to deliver as well as confirming continued priorities. These will be assessed as to whether these are within the levels of accepted risk appetite for the organisation.

4.3. Legal

There are no specific legal implications arising from this report.

4.4. Equality and Health

There is no specific health or equalities implications arising from this report.

4.5. Process and Consultees (Internal and External) - How the Proposals Deliver Priority Outcomes

Performance monitoring (financial and non-financial) to improve performance is good practice, in terms of efficient and effective management. It focuses on the key areas and therefore contributes directly to one of the 2018-20 priorities of the Corporate Plan "Ambitious, Prosperous and Proud" through quality modern services.

4.6. Other Implications

There are no other implications arising from this report

5. Background papers

Appendix 1. Corporate performance all measures and outturn report Q4 (January – March 2019)

Jan Stevenson
Governance and Compliance Support Officer
(Ext 7806)

Corporate Performance

All Measures & Outturn Report

March 2019

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NORTHAMPTON
BOROUGH COUNCIL

Introduction

The report details the full list of performance measures monitoring the Council's Corporate Plan by corporate priority and is published quarterly.

The measures contained within this report are monitored on a monthly, quarterly, half yearly or four monthly basis.

Performance is reported against the latest report period and then by overall performance year to date (YTD). Overall YTD performance is monitored against the current profiled target and helps us to keep track of the progress towards meeting the annual target.

Performance comparison against the same time last year is highlighted where comparative data is available.

Report Key:

-  Exceptional or over performance
-  On or exceeding target
-  Within agreed tolerances
-  Outside agreed target tolerance
-  Good to be low: Better
-  Good to be low: Worse
-  Good to be High: Better
-  Good to be High: Worse
-  No change
-  No data or target available
-  No data available
-  No target available

NORTHAMPTON
BOROUGH COUNCIL

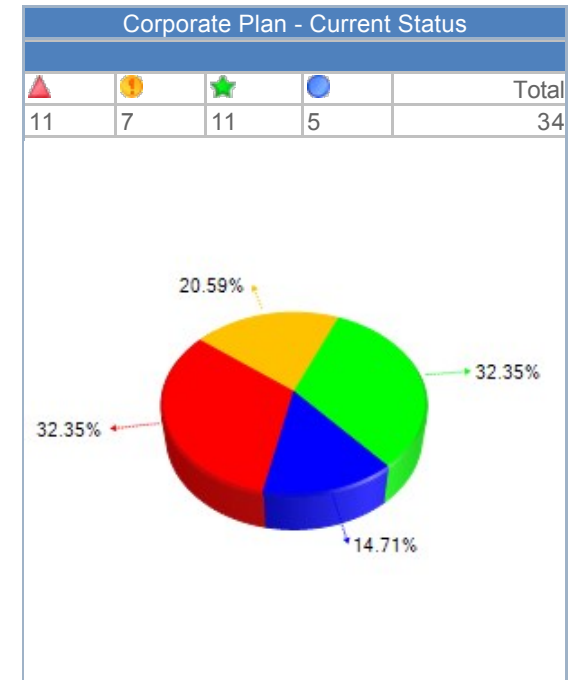
NBC Corporate Plan

The table below has been included for informational purposes, and shows the current year to date performance of each element of the Corporate Plan. The alerts are generated from the Performance Indicators which each service area aligned to the 8 priorities during the service planning process.

Corporate Plan	
	YTD
NBC Corporate Plan - Ambitious, Prosperous, Proud	▲

Theme
Working Hard and Spending your Money Wisely - Delivering quality modern services
Safer Communities - Making you feel safe and secure
Protecting Our Environment - A clean and attractive town for residents and visitors
Northampton Alive - A vibrant successful town for now and the future
Love Northampton - Enhancing leisure activities for local people and encouraging participation
Housing for Everyone - Helping those that need it to have a safe and secure home

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Monthly Measures

Measure ID & Name	Dec 18	Jan 19	Feb 19	Mar 19	Overall perf. to date	YTD	Current Profiled Target	Outturn Target	Polarity	Perf. vs. same time last year	YTD value same time last year
+ AST05a External rental income demanded against budgeted income (M)	100.00 %	100.00 %	100.00 %	100.00 %	100.00 %		95.00 %	95.00%	Bigger is Better		?
We continue to demand all rental income due on properties.											
Source Date 31/03/2019											
+ AST05b % commercial rent demanded within the last 12 months (more than 2 months in arrears) (M)	?	?	?	?	?	?	98.00 %		Smaller is Better		?
Work is still ongoing to ensure that reporting is improved, as part of a larger review of the Asset team This KPI will not be reported on beyond the end of the financial year. In its place will be a KPI on debt recovery and what percentage of outstanding debt is pursued.											
Source Date 31/03/2019											
+ BV008 Local invoices paid within 10 days (M)	83.29	84.49	85.17	89.83	89.83		80.00	80.00	Bigger is Better		91.92
The invoices paid with ten days continues to perform above target.											
Source Date 31/03/2019											
+ BV008 Percentage of invoices for commercial goods & serv. paid within 30 days (M)	99.60 %	98.80 %	99.30 %	99.00 %	99.00 %		99.00 %	99.00 %	Bigger is Better		99.12 %
Continues to perform within targets as an average over the year. Staff are reminded to approve invoices promptly to ensure that the Accounts Payable team can pay invoices on time.											
Source Date 31/03/2019											
+ BV012_ 12r Ave. no. of days/shifts lost to sickness for rolling 12 month period (M)	12.29	11.93	11.70	11.36	11.36		10.20	10.20	Smaller is Better		?
Follow on the increase in sickness absence, CMB were provided with additional sickness data to disseminate to managers in their service areas. HR will be providing monthly sickness reports to CMB to enable effective management to take place.											
Source Date 31/03/2019											
CH11 Number of visitors to Abington Park Museum	2,484	3,397	3,481	3,936	54,102		52,100	52,100	Bigger is Better		52,000
A warmer than usual February and a number of events in March, including five art history lectures, two talks for the over 60's , a Japanese cooking workshop and a Vintage Fair meant a pleasing 63.8% above target for the last quarter of the year. The museum attracted 2,002 visitors more than the projected annual target, which was 3.85% above target.											
Source Date 31/03/2019											
+ CS05 Percentage satisfied with the overall service provided by the Customer Service Officer (M)	75.00 %	100.00 %	100.00 %	0.00 %	94.87 %		90.00 %	90.00%	Bigger is Better		94.88 %
Since the new GDPR regulations came into force in May 2018 it has not been possible to capture information in the same way as we were previously able. We are exploring ways within our new system and plan reinstate this KPI by July 2019.											
Source Date 31/03/2019											
+ CS13a % of calls for NBC managed services into contact centre answered (M)	96.56 %	93.80 %	90.11 %	86.25 %	92.58 %		90.00 %	90%	Bigger is Better		91.32 %
Customer services answered 91.32% of calls during 2018/19 (149,860 calls answered), achieving our target of 90% of calls answered. In addition we saw an increase in calls relating to repairs that had already been reported during these months, which increased demands on staff time. We are confident following the recruitment of vacant posts within the NPH planning team that we will see a reduction in the number of calls in future.											
Source Date 31/03/2019											
+ CS14a % OSS customers with an appointment seen on time (M)	93.5 %	94.0 %	89.2 %	88.6 %	94.9 %		90.00 %	90.00%	Bigger is Better		93.2 %
We saw 93% of customers on our drop in service (19,551) within 15 minutes of their arrival time, achieving target of 90%.											
Due to annual billing we saw an increase of footfall in February and March 2019 which did have an effect on the performance over this period.											
Source Date 31/03/2019											
+ ESC01n Total bins/boxes missed in period (M)	164	311	252	259	3,983		3,294	4,080	Smaller is Better		7,381
After some initial problems with the change of contractor, the number of bins and boxes reported as missed has now stabilised and is well within targets. Under the new contract, boxes are being phased out and have either been replaced with one Wheelie bin & a trial of sacks has proved successful and may now be rolled out to all houses who are unsuitable for a wheeled recycling bin. This has improved the amount of litter being blown away when residents put out recycling as the material is contained.											

Monthly Measures

Measure ID & Name	Dec 18	Jan 19	Feb 19	Mar 19	Overall perf. to date	YTD	Current Profiled Target	Outturn Target	Polarity	Perf. vs. same time last year	YTD value same time last year
Source Date 31/03/2019											
+ ESC02 % missed bins corrected within 24hrs of notification (M)	100.00 %	100.00 %	100.00 %	100.00 %	91.54 %		84.00 %	84.00 %	Bigger is Better		86.86 %
100% of all missed collections that are reported are being corrected within 24 hours. The number of missed collections reported since the contract with Veolia commenced in June of last year has fallen by 50%											
Source Date 31/03/2019											
+ ESC04 % household waste recycled and composted (NI192) (M)	1.83 %	55.56 %	59.86 %	69.82 %	12.93 %		49.00 %	44.00 %	Bigger is Better		45.05 %
We are aiming for a target of 49%, since the implementation of the new blue lidded bins, there has been surge of increased diversion from landfill which has improved the existing recycling percentage.											
Source Date 31/03/2019											
+ ESC05 % of Land and Highways assessed falling below an acceptable level - Litter (NI195a) (4M)	?	4.00 %	2.67 %	0.00 %	2.22 %		2.00 %	2.00 %	Smaller is Better		4.39 %
The introduction of Fixed Notice Penalties is having a significant impact in the town centre. The new contractors have reviewed and re-scheduled the street cleansing methods which, along with undertaking deep cleansing and ground maintenance around Northampton will bring about sustained improvements. We have introduced monthly inspections and reporting with the contractor in a bid to capture the performance indicators.											
Source Date 31/03/2019											
+ ESC06 % of Land and Highways assessed falling below acceptable level - Detritus (NI195b) (4M)	?	6.67 %	2.67 %	0.00 %	3.11 %		4.00 %	4.00 %	Smaller is Better		3.26 %
As well as the improvements mentioned in ESC05 there has also been a thorough removal of detritus on the A45. The contract is going to instigate much more regular cleansing in areas in need.											
Source Date 31/03/2019											
+ ESC07 % of Land and Highways assessed falling below acceptable level - Graffiti (NI195c) (4M)	?	6.67 %	1.33 %	8.00 %	5.33 %		2.00 %	2.00 %	Smaller is Better		0.75 %
A scheme of more regular inspections for Litter, Detritus, Graffiti and Fly tipping has been instigated. This is currently being bedded in but it is expected that there will be improvements in the amount of graffiti that is identified and removed.											
Source Date 31/03/2019											
+ ESC08 % of Land and Highways assessed falling below acceptable level - FlyPosting (NI195d) (4M)	?	0.00 %	0.00 %	8.00 %	2.67 %		2.00 %	2.00 %	Smaller is Better		0.00 %
The adoption of a graffiti and flyposting policy has confirmed NBC's stance on how to deal with flyposting, this along with proactive work by the wardens and street cleansing staff should see a sustained reduction in flyposting.											
Source Date 31/03/2019											
+ ESC09 % of Fly Tipping incidents removed within 2 working days of notification (SO2) (M)	31.29 %	96.00 %	97.98 %	119.11 %	58.48 %		98.00 %	90.00 %	Bigger is Better		99.95 %
A new lower charge for large items to be removed from households is being trialled between April 1st and June 30th. It is hoped that if charges to remove large items like white goods, mattress and the like, this will reduce fly tipping incidents. Due to the contract change it was not possible to record data for the end of 2018-2019, but reporting has now recommenced and it is expected the contractor will clear reported fly tips within prescribed time scales. A new App for reporting issues across the different sectors of the service is now in use and is attracting high volumes of reports.											
Source Date 31/03/2019											
+ HML01 Total no. of households living in temporary accommodation (M)	299	303	323	338	338		180	180	Smaller is Better		247
The Council is required to accommodate homeless households for at least 56 days before it can make a decision whether or not to accept a rehousing duty. The lack of move on accommodation for those who are accepted, coupled with the requirement to accommodate those who are not accepted for a reasonable period is causing a sitting up effect in temporary accommodation. This has been further exacerbated by an issue with evictions in the County Court, whereby the 3 month suspension on bailiff action was lifted in January 2019 resulting in a high number of households approaching for help upon eviction. On 3rd April 2019 Cabinet approved a comprehensive and robust 14 point action plan that aims to reduce the number of households residing in temporary accommodation to 200 after the first 12 months of its implementation. This will be achieved by increasing our preventative work with households threatened with homelessness in the private sector, improving the flow of households through temporary accommodation by ensuring that all homelessness decisions are accurate and issued as soon as practicable, conversions of HRA Council homes used as temporary accommodation into permanent accommodation, maximising the number of council and housing association homes that are let to homeless households through the Housing Register and ensuring that delays in the construction, repair or refurbishment of council and housing association homes do not result in homeless households spending extra time in temporary accommodation.											
Source Date 31/03/2019											

Monthly Measures

Measure ID & Name	Dec 18	Jan 19	Feb 19	Mar 19	Overall perf. to date	YTD	Current Profiled Target	Outturn Target	Polarity	Perf. vs. same time last year	YTD value same time last year
HML07 Number of households that are prevented from becoming homeless (M)	51	55	40	48	424		600	600	Bigger is Better		799
In addition to the households that have been prevented from becoming homeless in the quarter, the team has also helped relieve homelessness for almost 70 households by accessing supported or private rented accommodation or supporting them to rebuild family ties.											
Source Date 31/03/2019											
HML09 Number of households for whom a full homelessness duty is accepted (M)	28	31	25	33	286		960	960	Smaller is Better		550
All decisions to accept a rehousing duty under the homelessness legislation have been made after the Council has discharged its duty to 'relieve' the household's homelessness for 56 days. As expected the number of acceptances has risen slightly over the quarter as the team continues to focus on reducing its large caseloads. The number of acceptances has more than halved when compared to the same period last year.											
Source Date 31/03/2019											
+ IG03 % FOI/EIR cases responded to within 20 working days (M)	100.0 %	99.0 %	99.0 %	99.0 %	99.0 %		100.0 %	100.0 %	Bigger is Better		98.0 %
A firewall issue last year meant that a few emails went into the Spam folder which has pulled the overall figures down slightly over the 12 month period. Apart from this issue all FOI/EIR queries were answered within the 20 day period, unless they were notified of an extension due to the request being a large or complex issue.											
Source Date 31/03/2019											
+ IG04 % Subject Access requests responded to within 40 days (M)	100.0 %	100.0 %	100.0 %	100.0 %	100.0 %		100.0 %	100.0 %	Bigger is Better		100.0 %
All subject access requests were dealt with within timescales.											
Source Date 31/03/2019											
+ NI157a % Major Planning applications determined in 13 weeks or agreed extension (M)	100.00 %	100.00 %	100.00 %	100.00 %	96.08 %		100.00 %	100.00%	Bigger is Better		100%
100% applications determined within agreed time scales for three quarters of the year. The other quarter missed 100% due to large number of applications.											
Source Date 31/03/2019											
+ NI157b % of 'minor' planning apps determined within 8 weeks or agreed extension (M)	100.00 %	100.00 %	100.00 %	100.00 %	99.45 %		95.00 %	100.00%	Bigger is Better		100%
100% applications determined within agreed time scales for the quarter. The other quarter missed 100% due to large number of applications											
Source Date 31/03/2019											
+ NI157c % of 'other' planning apps determined within 8 weeks or agreed extension (M)	100.00 %	100.00 %	100.00 %	100.00 %	99.88 %		95.00 %	95.00%	Bigger is Better		95%
100% applications determined within agreed time scales for 3 out of four quarters but target was achieved.											
Source Date 31/03/2019											
+ PP22 % Hackney Carriage and private hire vehicles inspected which comply with regulations (M)	40.00 %	66.67 %	66.67 %	0.00 %	60.04%		70.00 %	70.00%	Bigger is Better		64.71 %
During the year routine tests are carried out as part of general enforcement duties and some targeted specific operations are carried out with the DVSA and the Police. This is why there are significant month on month variations in the number of checks carried out. In these operations, non compliant vehicles will be issued with appropriate sanctions and requirements to take vehicles off the road until defects are dealt with.											
Routine checks will also reveal instances of technical non compliance with licence conditions, such as failure to have a copy of the licence condition book in the vehicle at all times. These results are considered along with any other licence breaches to determine whether enforcement action is required.											
Whilst efforts are made to carry out random testing of vehicles, there is a likelihood that older, and therefore potentially non compliant vehicles will be tested. This, together with the relatively small sample size, means that the percentage of non complaint vehicles may not accurately reflect the overall condition of vehicles in use in Northampton.											
Source Date 31/03/2019											
+ PP53a % Service Requests responded to within 5 working days (M)	94.48	89.38	90.72	86.54	87.18		94.00	94.00%	Bigger is Better		41.11
There is a reduction in number of service requests dealt with inside deadline due to long term absence of two members of staff.											
Source Date 31/03/2019											

Quarterly Measures

Measure ID & Name	Jun 18	Sep 18	Dec 18	Mar 19	Overall perf. to Date	YTD	Current Profiled Target	Annual Target	Polarity	Perf. vs. same time last year	YTD value same time last year
HMO01 No. HMOs with Mandatory licence (Q)	406	388	414	456	456		340	340	Bigger is Better		405
The number of HMO with a licence continues to rise. As with the additional licences we continue to pursue any cases where it is suspected licences are required and have not been applied for.											
Source Date 31/03/2019											
HMO08 No. of HMOs with an additional licence (Q)	490	376	358	358	358		550	550	Bigger is Better		512
This figure has not changed from the previous quarter.											
Source Date 31/03/2019											
IG01 % LGO cases responded to within 28 days (excl. pre-determined cases) (Q)	50.0 %	100.0 %	100.0 %	66.0 %	66.0 %		100.0 %	100.0 %	Bigger is Better		100.0 %
Over the whole year there were six LGO investigations in 2018-19. Three cases were responded to in time, three exceeded the time (although one did have a 10 working day extension meaning it was responded to within the time allowed by the LGO). The target was 28 days however the average time taken was a little over at 29.83 days.											
Source Date 31/03/2019											
IG02 Av. days to respond to LGO enquiries (excl. pre-determined cases) (Q)	29.50	28.00	0.00	29.83	29.83		28.00	28.00	Smaller is Better		25.00
As previously stated, three cases of six were completed in time. The complexity of the other cases caused a delay in them being completed within prescribed timescales.											
Source Date 31/03/2019											
MPE01 No. of new businesses locating on NWEZ (Q)	2	3	1	5	11		20	20	Bigger is Better		13
Five new business located to the area within the last quarter. We continue to look into ways of bringing new business into the NWEZ.											
Source Date 31/03/2019											
MPE02 No. of new jobs created on NWEZ (Q)	16	6	2	37	61		200	200	Bigger is Better		55
The university funded construction is now complete and is officially open for students. Quarter four figures within the EZ show 5 new businesses opening creating 37 jobs.											
Source Date 31/03/2019											
PP16 % Off licence checks that are compliant (Q)	54.55 %	55.56 %	100.00 %	0.00 %	70.00 %		60.0 %	60.00%	Bigger is Better		44.44 %
No routine checks carried out during the final quarter of the year as staff were involved in other work.											
Source Date 31/03/2019											
TCO05n Town Centre footfall (Q)	3,864,070	3,617,163	3,365,002	3,138,909	13,985,144		14,700,000	14,700,000	Bigger is Better		15,819,292
Footfall in the town centre fell by 11.6% in comparison with the 2017/18 figures. The decline in high street footfall is a national trend and in Northampton the closure of two major high street retailers in Abington Street impacted on footfall figures as one of the town centre footfall cameras is located on M&S building.											
Source Date 31/03/2019											

Major Project update

Delivery of the Northampton Waterside Enterprise Zone

The university funded construction is now complete and is officially open for students. Quarter four figures within the EZ show 5 new businesses opening creating 37 jobs.

Source Date 31/03/2019

Development of the Greyfriars site

Consultants have now reported on the potential use of the site and officers are considering the report prior to making recommendations to Members. The development choices for the site will feed into the wider town centre masterplan which is now being developed. Discussions with NPH and Legal & General regarding the conversion of Belgrave House into residential accommodation are progressing well.

Source Date 31/03/2019

Restoration and regeneration of Delapre Abbey and Park

The project is near completion. All Breedon works are now complete. Health & Safety works which form part of the residual outstanding items are complete and the residual items are underway. Flood drainage works to protect the new car park have been successfully completed.

Source Date 31/03/2019

Delivery of the Business Incentive Scheme and account management to key businesses

Three new businesses were supported in Q4 creating 30 additional jobs and attracting £1,070,318 of private sector investment. Overall for 2018-19 17 new and existing businesses have been supported with £135,555 committed grants, 76 jobs created that leveraged £1,336,772 of private sector investment.

Source Date 31/03/2019

Delivery of the Four Waterside Development

Kier were appointed as developers for this site by WNDK. They have failed to secure any significant development and we have now issued notice that we are terminating the development agreement. Architects and agents have been appointed to do a commercial review of site potential and produce a masterplan and development brief. This will then be used to attract a development partner. The capital programme for 19/20 includes significant resource to enable us to pump prime developments on this site.

36

Source Date 31/03/2019

Development of the Cultural Quarter

Museum - Demolition works now complete together with external piling. New extension works have commenced with scaffolding erected and roof works underway. Internal refurbishment and remodelling progressing as planned. The project is currently within budget and quality of work remains satisfactory with no accidents or near misses reported.

Source Date 31/03/2019

Development of the Cultural Quarter - Vulcan Works

Vulcan Works - The project plans to build opportunities for start-ups and young businesses in the creative and IT sectors, with a total of 59 letting units of variable sizes and levels of specification. Project started on site in March 2019 with commencement of roof removal and demolition of the Angel Street Cottage

Source Date 31/03/2019

Delivery of the Castle Station development

Network Rail and the train operator are now keen to develop the station site. Phase 1 will be a new 1330 space multi-storey car park, with following phases including residential and office uses. We are in discussion with Network Rail and their development partners ROK to see how we might participate in the funding of the car park.

Source Date 31/03/2019

Appendices 2



CABINET REPORT

Report Title	DERNGATE CONSERVATION AREA RE-APPRAISAL AND MANAGEMENT PLAN
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AGENDA STATUS: PUBLIC

Cabinet Meeting Date:	12 th June 2019
Key Decision:	No
Within Policy:	Yes
Policy Document:	Yes
Directorate:	Planning services
Accountable Cabinet Member:	Councillor James Hill
Ward	Castle

1. Purpose

- 1.1 To seek Cabinet approval to adopt a review of Derngate Conservation Area, following public consultation in January & February 2019.

2. Recommendations

It is recommended that Cabinet:

- 2.1 approves the adoption of the Derngate Conservation Area Re-appraisal and Management Plan (Appendix B).

3. Issues and Choices

3.1 Report Background

- 3.1.1 A conservation area is defined in Section 69 of the Planning (Listed Buildings and Conservation Areas) Act 1990 as “an area of special architectural or historic interest, the character or appearance of which it is desirable to preserve or enhance”. There are 21 conservation areas in Northampton.

- 3.1.2 The purpose of a conservation area is not to prevent new development but to manage change in order to maintain, reinforce and, where possible, enhance the special character and quality that justifies designation. Conservation area designation introduces controls over the way owners can alter or develop their properties and controls work to trees. Section 72 of the Act requires the Council, when considering planning applications, to pay special attention to the desirability of preserving or enhancing the character or appearance of a conservation area.
- 3.1.3 The Act also requires the Council to periodically review conservation areas to ensure that they still justify their special status and to determine whether boundary revisions are necessary. It also places a duty on the Council to formulate and publish proposals for the preservation and enhancement of its conservation areas.
- 3.1.4 Planning policy on conservation areas is contained in the National Planning Policy Framework (NPPF). This states (paragraph 186) that local planning authorities should ensure that an area justifies conservation area status because of its special architectural or historic interest and that the concept is not devalued through the designation of areas that lack special interest. Local planning authorities should also maintain and make publicly accessible up-to-date evidence about the historic environment (paragraph 187 & 188)
- 3.1.5 To meet the Council's statutory obligations, Conservation Area Appraisal and Management Plans are prepared and periodically reviewed. These aim to identify those features that contribute to the special character and appearance of a conservation area and provide the basis for making informed and sustainable planning decisions that aim to preserve and enhance the special quality. The documents are material considerations when the Council considers planning applications.

3.2 Derngate Conservation Area Review

- 3.2.1 Derngate Conservation Area was designated in 1986. It was extended to include Guildhall Road, Hazelwood Road and part of St Giles' Street in the last review of the Conservation Area in 2006. An Article 4(2) Direction, requiring planning permission for alterations to the front of properties, was made in 2008.
- 3.2.2 As part of an on-going review of Northampton's conservation areas, a re-appraisal of Derngate Conservation Area has been undertaken. This takes into account changes in the area since the previous appraisal and changes in planning legislation (notably the introduction of the NPPF) and guidance on the content of conservation area appraisals issued by Historic England in 2016. Public consultation on the draft re-appraisal was held between 14th January and 24th February 2019. Letters and explanatory leaflets were sent to all properties in the area and the appraisal was available for viewing on the Council's web site, at the One-Stop Shop in the Guildhall and in the Central library.

3.3 Issues Arising

3.3.1 Written responses were received from the Town Centre Conservation Area Advisory Committee and from one individual. A summary of the comments received and the officer response is included at Appendix A. Where appropriate, suggestions and factual corrections have been incorporated into the Dergate Re-appraisal and Management Plan that is recommended for adoption (Appendix B). The responses can be summarised as follows:

3.3.2 Conservation area designation

Although the level of public response was low, the responses confirm support for the continuation of the Conservation Area and recognise its value in maintaining the special character of the area. It is therefore proposed that the Conservation Area be retained.

3.3.3 Conservation area boundary

The main issue arising is whether the Conservation Area should be extended? The boundary was previously extended in 2006 to include part of St Giles' Street, Castilian Terrace, Hazelwood Road, Guildhall Road/Angel Street. The Town Centre Conservation Committee suggest a further extension to the south-west to incorporate St John's Street and along Victoria Promenade to the Plough Hotel, thereby including St John's Hall of Residence and One Angel Square as examples of modern architecture and several other buildings of local interest, such as Swiss Cottage and railway worker's houses at Victoria Gardens. The suggestion has been considered by officers but the conclusion is that the historic character and appearance that defines Dergate Conservation Area would be diluted by including areas of lesser historic interest or, in the case of Victoria Gardens, properties that have previously been extensively altered. It should also be noted that individual buildings of merit could be considered for inclusion in the Local Heritage List for Northampton that is presently being formulated, whilst "Swiss Cottage" (No.1 Victoria Gardens) is a statutorily listed building. It is therefore proposed that the existing Dergate Conservation Area boundary be retained without alteration.

3.4 Choices (Options)

3.4.1 Cabinet could choose to:

- a) adopt the Dergate Conservation Area Re-appraisal and Management Plans with changes made as a result of the consultation, as recommended;
- b) adopt the Re-appraisal and Management Plans with other changes, or;
- c) adopt the Re-appraisal and Management Plans with no changes.

3.4.2 Option a) is considered the most appropriate as it would provide an up-to-date Appraisal and Management Plan for Dergate Conservation Area that has been subject to public consultation.

4. Implications (including financial implications)

4.1 Policy

- 4.1.1 Section 69 of the Planning (Listed Buildings and Conservation Areas) Act 1990 states that it is the duty of a local planning authority from time to time to review conservation areas and to determine whether any further parts of their area should be designated as conservation areas.
- 4.1.2 The re-appraisal is in accordance with policy contained in the National Planning Policy Framework and recent guidance produced by Historic England. Policy E26 of the Northampton Local Plan is also relevant.

4.2 Resources and Risk

- 4.2.1 Designating and reviewing conservation areas is a statutory duty and is part of the remit of the Policy, Heritage and Environment group. The costs associated with any possible future enhancement projects will be considered separately and would be the subject of a separate report
- 4.2.2 Adoption of the Appraisal and Management Plan will assist the Council in safeguarding the special character and appearance of the Conservation Area as it is a material consideration in the determination of planning applications and planning appeals. Without an up-to-date Appraisal, there is a danger that the special interest and character that justified designation could be eroded.

4.3 Legal

- 4.3.1 The Conservation Area Review will be a material planning consideration but there are no legal notices or advertising required to adopt the review as a statutory planning document.

4.4 Equality and Health

- 4.4.1 No significant adverse impacts on those with protected characteristics have been identified. An Equality Impact Assessment Screening has been undertaken and approved.

4.5 Consultees (Internal and External)

- 4.5.1 Individual letters and a leaflet summarising the draft appraisal were sent to all properties in the Conservation Areal. The ward members were also consulted.

4.6 How the Proposals deliver Priority Outcomes

4.6.1 The appraisals relate to strategies in the Corporate Plan to protect the environment and Love Northampton by celebrating the town's history and heritage.

4.7 Other implications

4.7.1 None

5. Background Papers

5.1 Planning (Listed Buildings and Conservation Areas) Act, 1990 Section 69;

5.2 Paragraphs 186,187 & 188 of the National Planning Policy Framework (published by HM Government, July 2018);

5.3 Historic England Advice Note 1 – Conservation Area Designation, Appraisal and Management (Historic England, February 2016).

6.0 Appendices

Appendix A: Summary of responses received

Appendix B: Draft Derngate Conservation Area Re-appraisal and Management Plan

Derngate Conservation Area Re-appraisal - Summary of consultation responses

Results of public consultation held between 14th January - 24th February 2019 (Officer's response, where appropriate, is in italics).

Town Centre Conservation Area Advisory Committee

1 The boundary to incorporate St John's Street to The Plough Hotel and along the bottom of Victoria Promenade, thus incorporating the new St John's Hall of Residence as a modern inclusion and the new Angel Square as they are iconic architecture of our time, the area also has several buildings of local interest ie Swiss Cottage and railway workers' cottages.

(Officer response: This suggestion is considered in the main report but the conclusion is that the proposed extension would potentially devalue the historic character and appearance of Derngate Conservation by including parts of the town centre that do not reflect its historic character or which lack special interest and would include properties whose appearance has been previously altered; individual buildings of merit could be considered for inclusion on a Local Heritage List for Northampton).

2. Photos should be updated; the cover photograph is bland and does not show the area to its best

(Noted – it is proposed that the photos referred to be re-taken)

3. Emphasis should be made to the presence of Art Deco styles in this Conservation Area which makes it different to the others in the town centre

(The Summary of Special Interest (Section 8) does refer to the importance of "highly distinctive and individually designed 20th century buildings that are good examples of architectural fashion")

Individual response

The character of this historic and visually appealing area is in danger of being downgraded due to increasing unsympathetic changes to gardens and other green spaces; any changes/new development should require a landscape plan; use of gardens for parking is not appropriate (reference is made to the use of the garden of No.3 Albion Place for parking); tree planting should be approved by the Council's Landscape Architects to ensure appropriate species and spacing. The Council should discourage the use of cars in the town centre

(The importance of green spaces in the area is recognised in the Review and the Derngate Conservation Area Article 4 Direction also requires planning permission be obtained to hard-surface front gardens; the front garden of No.3 Albion Place was already in use for office parking before the Article 4 Direction was introduced – the recent planning consent for conversion to residential aimed to improve the overall visual impact by reinstating a front boundary wall with some planting and the access re-located to the side). Work to trees within a Conservation Area requires consent and the arboricultural officer employed by the Planning service comments on planning applications but consent is not required to plant trees or to restrict the species proposed; measures to discourage the use of cars are beyond the scope of a Conservation Area Appraisal).

DERNGATE CONSERVATION AREA RE-APPRAISAL AND MANAGEMENT PLAN



June 2019



1. Introduction

1.1 A conservation area is defined as “an area of special architectural or historic interest, the character or appearance of which it is desirable to preserve or enhance” (Planning (Listed Buildings and Conservation Areas) Act, 1990 Section 69.

The Act requires local planning authorities to review conservation areas from time to time to determine whether new areas should be designated, boundaries revised or whether designation should be cancelled if an area no longer possesses special interest. The Council is also required to formulate and publish proposals for the preservation and enhancement of conservation areas.

Conservation areas were introduced under the Civic Amenities Act of 1967 and there are now 21 designated conservation areas in Northampton. Dergate Conservation Area was designated in June 1986 and the boundary extended in 2006, when the last review was undertaken. The boundary of the Conservation Area is shown as Map 1. An Article 4(2) Direction (which means that planning permission is required to make alterations to the front elevation of houses) came into effect on 10th March 2008; for reference, the existing Article 4 direction is attached as Appendix 1.

1.2 The purpose of a conservation area

“The contribution that historic areas make to our quality of life is widely recognised. They are a link to the past that can give us a sense of continuity and stability and they have the reassurance of the familiar which can provide a point of reference in a rapidly changing world. The way building traditions and settlement patterns are superimposed and survive over time will be unique to each area. This local distinctiveness can provide a catalyst for regeneration and inspire well designed new development which brings economic and social benefits. Change is inevitable.”

Historic England: “Conservation Area Designation, Appraisal and Management”, February 2016

Change is inevitable and it is not the purpose of a conservation area to prevent new development but to manage change, in order to maintain, reinforce and enhance the special character and quality of the area that justifies its special status. It requires that new work in or adjacent to a conservation area either preserves or enhances the character or appearance of the area.

The controls within Dergate Conservation Area can be summarised as:

- Most demolition requires permission and will be resisted if the building makes a positive contribution to the character and appearance of the area;
- Some minor works affecting the external appearance of houses requires planning permission. Examples are side extensions,, replacement of windows and doors, alterations to the roof, such as replacement roof material, insertion of rooflights or dormer windows, removal of chimneys, addition of porch, removal or alteration of front boundary walls and gates, cladding or painting the walls of buildings and the installation of satellite dishes on the front elevation;
- A higher standard of design applies for new buildings and for extensions and alterations to existing buildings;
- The Borough Council is required to be notified of most work to trees six weeks before the work is due to take place.

In addition to statutory legislative and local planning controls, the following opportunities for the enhancement have been identified:

- Encourage the preservation and reinstatement of historic detailing on buildings within the Conservation Area.
- Promote the sympathetic management of open space and the public realm.
- Establish a list of locally significant buildings.

-
- Promote retention of trees which contribute to the appearance of the area.

1.3 Derngate Conservation Area Appraisal and Management Plan, 2006

An Appraisal and Management Plan for the Conservation Area was adopted by Northampton Borough Council in September 2006, when the Conservation Area was considerably extended to include Guildhall road, the central part of St Giles Street, Hazelwood Road and Castilian Terrace. This review updates the previous Appraisal and Management Plan to comply with guidance now contained in Historic England's Advice Note No.1 "*Conservation Area Designation, Appraisal and Management*", issued in February 2016. The review also re-assesses the Conservation Area to ensure that it continues to justify its status as an area of special architectural or historic interest.

The Appraisal and Management Plan is intended to provide guidance for owners and occupiers on how the preservation and enhancement of the character and appearance of the area can be achieved. It will also provide a sound basis for the assessment of planning applications and will be a material consideration when Northampton Borough Council, as local planning authority, considers planning applications within the Conservation Area or which impact upon its appearance or setting.

2. Planning policy context

Conservation areas sit within national planning legislation, regional policy and local planning policies

2.1 National planning policy

Section 72 of the Planning (Listed Buildings and Conservation Areas) Act requires the local planning authority to pay special attention to the desirability of preserving or enhancing the character or appearance of conservation areas when considering planning applications.

The major change to planning legislation since the previous appraisal was adopted is

the introduction of the National Planning Policy Framework (NPPF) in 2012. This document in itself was revised in 2018.

The NPPF identifies conservation areas as designated heritage assets. The following paragraphs in the new NPPF are relevant:

Paragraph 186: local planning authorities should ensure that an area justifies conservation area status because of its special architectural or historic interest and that the concept is not devalued through the designation of areas that lack special interest.

Paragraph 188: local planning authorities should make information about the significance of the historic environment publicly accessible.

Paragraph 189: applicants for planning permission should describe the significance of any heritage asset affected.

Paragraph 192: in determining planning applications, the desirability of sustaining and enhancing the significance of heritage assets should be taken into account.

Paragraph 193: when considering the impact of a proposed development on the significance of a designated heritage asset, great weight should be given to the asset's conservation, irrespective of the level of harm; significance can be harmed through development within its setting.

Paragraph 195: substantial harm to a designated heritage asset should be refused consent unless necessary to achieve substantial public benefit.

Paragraph 196: less than substantial harm should be weighed against the public benefits of the proposal.

Paragraph 200: local planning authorities should look for opportunities for new development within conservation areas to enhance or better reveal their significance.

Paragraph 201: loss of a building that makes a positive contribution to the significance of a conservation area should be treated either as substantial harm or less than substantial harm, taking into account the significance of

the building and its contribution to the conservation area.

2.2 Regional policy

The West Northamptonshire Joint Core Strategy 2014 sets out the long-term vision and objectives for the area until 2029, including strategic policies for steering and shaping development. Policy BN5 states: designated and non-designated heritage assets and their settings and landscapes will be conserved and enhanced in recognition of their individual and cumulative significance and contribution to West Northamptonshire's local distinctiveness and sense of place.

2.3 Northampton Local Plan, 1997

Saved Policy E26: new development to preserve or enhance the character and appearance of conservation areas.

3. Assessment of special interest

3.1 Location and setting

Derngate Conservation Area is located in the heart of Northampton town centre and forms part of the historic core. It covers a diverse area of approximately 9.5 hectares stretching from St Giles' Street in the north, which has a predominantly retail base, to the tree lined Victoria Promenade in the south and including Derngate, Castilian Street, and Guildhall Road, which have a mix of professional, leisure and residential uses. Guildhall Road forms part of the town's cultural quarter and is home to the Central Museum and the Royal and Derngate Theatre.

The Conservation Area also includes primarily residential properties on Hazelwood Road, Albion Place and modern development at Scholar's Court.

The Conservation Area shares boundaries with All Saints Conservation Area to the west and St Giles Conservation Area to the east.



4. Archaeology and historic development

4.1 Derngate Conservation Area lies within the medieval walled area of Northampton's historic core, with Victoria Promenade being the line of defence. Some archaeological investigation has taken place during development works which have revealed the survival of buried archaeological remains associated with the development of the town from the 12th century onwards.

4.2 In the 12th century, only London and Lincoln were bigger towns than Northampton and during the 13th century Northampton was considered the most important town in the Midlands, by then a Royal Burgh with its own constitution. Northampton was the administrative centre of the surrounding Shire, a function first recorded in the Anglo-Saxon Chronicle of 921.

4.3 Derngate, known until the 19th century as "*Darn*gate", is the only road in Northampton to retain its original gate name. East Gate was reputedly the finest of the gates, both large and high and embellished with coats of arms and other stone work ornamentation. Darn, or Darn, is derived from the old English word for water – Derngate being the gateway to the river and wells. Derngate has also been known as Swineswell Street and the eastern section as Waterloo. Many of the original buildings in the town centre were destroyed by the Great Fire of 1675 and most of the buildings in the Conservation Area now date from the 19th century, when it developed as a high quality residential area, reflecting the wealth generated by the town's boot and shoe industry.



Victoria Dispensary, Albion Place – sadly demolished in the 1960s - epitomised the quality of 19th century building in the area; the site is now a car park.

5. Prevailing Uses

Historically, the area was primarily residential and there are many fine examples of late Regency and early Victorian terraces. Some properties remain in single family occupation but many have been converted to business use. A recent trend has seen the conversion of a number of properties and upper floors back to residential use, mainly as apartments and flats.

The northern part of the Conservation Area around St Giles' Street comprises mainly retail, leisure and cultural uses, with professional offices intermixed. The range of uses within the Conservation Area creates a diverse and vibrant character, with both day and night time activity that distinguishes it from the adjoining All Saints and St Giles' Conservation Areas.

6. Street analysis and built form

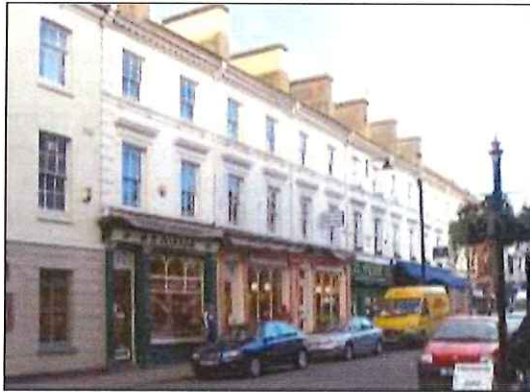
The following analysis aims to identify the Conservation Area's main architectural and historic qualities, areas of distinctive townscape value and notes the changes within the area since the last review in 2006

A number of buildings are statutorily listed as being of special architectural or historic interest. However, the Conservation Area also includes a number of other buildings that, although not of national importance, are of local interest and make a positive contribution to the character and appearance of the area; these will be considered for inclusion in a proposed Local Heritage List for Northampton. The list is not exhaustive and the absence of a particular building does not imply that it is not of significance within the Conservation Area. The location of the statutorily listed and potentially locally listed buildings is shown on Map 1.

6.1 St Giles' Street

The central section of St Giles' Street was included within the Conservation Area in the previous review. Since then, the street has retained a number of small, mostly independently owned shops with an increased number of bars and restaurants to create a distinctive character; it was voted Best British High Street in 2015. There has also been a number of proposals to convert upper floors into residential use.

The street was re-surfaced and repaved to a high standard in 2016 and complements the quality of the area. On the north side, there is an elegant grade II listed, mid-19th century terrace faced in stucco (Nos.33-45 St Giles' Street) that was rebuilt from earlier buildings that formed part of St Thomas' Hospital Charity. Most retain original 19th century shop fronts, while consent has been granted to convert some of the upper floors to flats.



33-45 St Giles Street

Buildings to the west of Fish Street are more diverse in character and, while not listed, some are distinguished enough to be candidates for inclusion on the Council's list of buildings of local importance. These include No. 21 St Giles' Street (below), built in 1872 in Gothic style as the Borough Weights and Measures office and exhibiting the town's crest carved into its gable; the building was vacant for several years but has recently been granted consent to operate as a gin bar. The building next to it – now a public house – was built in 1865 as a Working Men's Club & Institute, with money donated by Major Whyte-Melville of Wootton Hall.



On the south side, the Head Post Office, built in 1915 to a design by A.R. Myers is a landmark – a good example of an early 20th century commercial building with an imposing neo-Classical elevation. Part of the ground floor has been converted to retail, with flats on the upper floors and the scheme has successfully brought the whole building into use.



Head Post Office, 21 St Giles Street

Variety in architectural styles is reflected in several good, relatively unaltered examples of 1930s Art Deco, notably the block at the corner of St Giles' Street and Castilian Street -with distinctive chevron-patterned steel windows on the upper floor - and the faience tiled façade of the former Northampton Co-operative Society store; residential use of the upper floors has been granted consent. Alongside, No.65 St Giles' Street is a fine, early 19th century office building with a particularly attractive bay window at first floor level.

The 2006 review identified the health centre building at the east end of the street as not reflecting the imposing frontages that make a significant contribution to the character of the area and stated that sympathetic redevelopment of the site would be a benefit. The building became vacant and has been demolished, with planning permission granted for a four storey development incorporating retail units and apartments that will occupy the whole site.



1936-built former Health Centre, demolished since the last review.

6.2 Fish Street

Fish Street is a narrow, intimate pedestrianised street comprising primarily food takeaways, restaurants and pubs in a variety of styles and quality of frontages. The street is dominated by City Buildings – an imposing five-storey predominantly stone building designed by Alexander Ellis Anderson in 1900 as a leather showroom for Malcolm Inglis & Co. of Glasgow; the upper floors are now in residential use with a takeaway on the ground floor.



City Buildings, Fish Street

Across the street, the building at the corner of Dychurch Lane dates from 1895 and was also designed by Anderson as a leather warehouse; it subsequently became the offices for Northampton Water Department and has now been converted into a restaurant with student accommodation above.

6.3 Derngate

Historically, Derngate formed the busy south-eastern approach to the town from the Bedford road. Although most traffic now follows Victoria Promenade, it still forms an important link to the heart of the town centre and has a variety of quality architectural styles along its length. Since the last review, a notable change has been an increase in residential uses along the street.

The south-eastern section is dominated by finely proportioned 19th century terraces with the exception of two buildings on the north side – Bedford Mansions built in typical 1930's Art Deco style and the former Sun Alliance house by architects Leach, Rhodes and Walker, built in 1972. Bedford Mansions

was originally built as 40 luxury flats and has remained in residential use. The building has a symmetrical frontage, with a central balcony, tapering upwards, to each of its three upper floors and an entrance in curved reveals at either end. The building was extensively and sensitively refurbished in 2001 and makes a significant contribution to the street scene.



Bedford Mansions

The western end of Derngate beyond Castilian Street has a markedly different character, with the street dominated by large buildings, notably Derngate Theatre and its fly tower, built on the site of the former bus station. Whilst the theatre offers an important landmark and focal point for cultural activities in the town, the inactive frontage to Derngate adversely affects the character and quality of the street scene. Opposite is Newilton House by R. A. Barker built 1961-3; this building has an active frontage with shop units on the ground floor and residential accommodation above. Alongside, the former Newspaper House has been converted to apartments, with a two-storey rooftop extension a dominant addition.



Derngate, looking towards the town centre

Of national significance within the Conservation Area is 78 Derngate, an early 19th century house remodelled by Charles Rennie Mackintosh for W J Bassett-Lowke; the building has been carefully restored to recapture its 1917 appearance and is a unique attraction to Northampton. No. 80 Derngate has been converted as a public entrance.



Art Nouveau detailing at 78 Derngate

6.4 Castilian Street

The street is characterised by well-proportioned Victorian properties, most of which are now in office use. Many retain their architectural detailing such as sash windows, original doors and boundary railings which adds to the attraction of the street.



Castilian Street

On the western side is the highly distinctive former Taylor Memorial Hall, built as an addition to the adjoining YWCA in 1921 to a design by Alexander Anderson in Scottish Baronial style as a memorial to Ralph Paten Taylor. The building is now a bar/restaurant

with flats on the upper floors and was recently listed as part of a nationwide survey to commemorate the centenary of the First World War. It forms an eloquent landmark within the Conservation Area.



17 Castilian Street

Other buildings along Castilian Street have been subject to alterations which have had a damaging effect on the character of the area. Advertisements, whilst essential for a vibrant centre, can be damaging to the area if insensitive; care should be taken to ensure signage is appropriate to both the building it is on and to the surrounding area. As opportunities arise it is essential to ensure high quality development to enhance the Conservation Area.

6.5 Castilian Terrace

Castilian Terrace (below) is a short cul-de-sac that provides rear access to properties in St Giles' Street and Hazelwood Road. On the north side is a short row of typical red brick Victorian terraced properties which culminate in an elegant double fronted red brick building (6 Castilian Terrace). Some properties have retained original timber sash windows, which contribute to the appearance of the area, although since the last review there has been some insertion of upvc windows and consequent loss of historic character.



6.6 Guildhall Road

Guildhall Road is one of the town centre's most elegant streets, lined either side by buildings of grander scale. The street is particularly wide, which adds to the overall grandeur, with impressive views of the Guildhall when approaching from the south.

Castilian Terrace

The street benefits from buildings of varying periods and design, which individually and cumulatively make an important contribution to the character of the area.

The northern part is within the town's Cultural Quarter and contains the Royal and Derngate Theatre and the Museum and Art Gallery. The street has been repaved to a high standard with street trees introduced. Of particular note is No. 9 Guildhall Road, formerly Franklins Hotel, by E. F. Law who designed a number of buildings in Northampton. The building dates from the mid-19th century and is constructed over four floors, of red brick with stone dressing and slate roof. The Royal Theatre, built in 1884 by C J Phipps, has a modest frontage and a highly decorated interior, with the facade of the converted warehouse alongside enclosing the Derngate theatre.

Opposite the theatre is the Museum and Art gallery, built in 1883 and subsequently remodelled in 1934. Adjacent and being incorporated into the museum are the former offices of Northamptonshire County Council, built in 1934 by G H Lewin and F A Gotch in Neo-Georgian style.

As the street drops down towards the Nene, Vulcan Works was built in 1875 for Henry Mobbs, engineers, who provided machinery for the boot and shoe industry; the grade II listed building is being converted into business units. Opposite, No. 27 Guildhall Road are prominent offices built for the Co-op in 1936, a grade II listed building now converted to residential use; the architectural interest derives from the faience tiled façade over a steel frame and the glazed tower over the Guildhall Road entrance, which provides an important focal point.



Royal Theatre, Guildhall Road

The curve in the road is emphasised by a fine terrace of red brick former houses properties (Nos. 40—56 Guildhall Road) dating from 1860 with mansard roofs. The terrace was designed by Alexander Milne and incorporates a considerable degree of pre-fabricated elevational elements and delicate detailing.



40-56 Guildhall Road; a number of the properties are now in multiple occupation

6.7 Albion Place

Albion Place forms a peaceful row of early to mid-19th century Georgian houses in a quiet backwater adjacent to Derngate Theatre. The street is characterised by large town houses set behind front gardens, forming an elegant street scene. The properties are bounded by red brick walls, some with ornamental railings which add to the local character. Whilst the properties form a terrace, there are subtle differences in detailing ranging from canted and box bays, door hoods and key stones to window lintels,

with more flamboyant Regency styling to houses at the southern end (below).



18 Albion Place

Some of the properties always remained in residential use, whilst a welcome trend is the conversion of others from offices to single dwelling houses. Most of the properties are listed, protecting them from unsympathetic alteration.

On the east side of Albion Place is a short Victorian terrace and at its southern end a relatively new residential development. Whilst there has been an effort to emulate the design of the Victorian terraces as part of this development, the detailing and rather small size of windows and doors has resulted in a rather 'pinched' elevational appearance, which lacks the architectural quality of the adjacent terraces.

6.8 Hazelwood Road

The street was included in the Conservation Area at the last review and is characterised by Victorian terraced properties fronting directly onto the street, many of which retain their original features such as timber sash windows and doors and offering a visually pleasing street scene. Here again, several properties have been converted back to residential use, although due to the scale of the properties, this has mainly been into multiple occupation rather than as single dwelling houses.

6.9 Victoria Promenade

Not laid out until the middle of the 19th century, when it was part of Cattle Market



Lower part of Hazelwood Road

Road – the Cattle Market was relocated to the south side of the road in 1876 - Victoria Promenade was the name given to a walkway along the north side of the street, but has now been appropriated for the whole highway; it forms part of the central ring road and is therefore heavily trafficked.

The Conservation Area is marked by the stone and red brick boundary wall of the former Northampton Girls High School and adjacent gardens, redeveloped as Scholars Court in 1996. The three-storey town houses, set back behind the footway and with mature trees and vegetation within the highway verge, provide an attractive frontage overlooking Becket's Park.

7. Trees and greenery

Since the last review, the Northampton Filmhouse has been constructed on a large part of the previous green space next to Derngate Theatre. Whilst adding to Northampton's Cultural Quarter, there are now few areas of open space within the Conservation Area and the town centre location means that there is limited opportunity to provide additional greenery.

The contribution made by the trees (many protected by a Tree Preservation Order) on the former High School site, bounded by Derngate and Albion Place and along Victoria Promenade is therefore significant, creating a distinctive character.

The front gardens of Albion Place in particular are well-vegetated, while trees alongside the Derngate theatre and at the southern end of

Castilian Street combine to soften and break up the line of buildings at the heart of the area.



Important greenery along Albion Place

8. Summary of special interest

The preceding sections indicate that the distinctive character of Derngate Conservation Area and its townscape is almost wholly derived from the quality of its buildings and the diverse range of uses. The special interest can be summarised as:

- The area developed over a relatively short period in the early-mid 19th century, primarily with good quality and finely proportioned town houses in uniform terraces for Northampton's trade and professional families, reflecting the prosperity generated by the town's boot and shoe industry at that time.
- The Conservation Area also contains several highly distinctive and individually designed 20th buildings that are good examples of architectural fashion of the time, including neo-classical and moderne. Several of these are either statutorily listed as being of special architectural or historic interest or are identified as being of local significance.
- The area has visual unity that results from the scale, mass and use of simplified classical detailing and the consistent use of a limited range of building materials – primarily red brick with stone detailing for the Victorian properties with stone and stucco render used for some of the earlier Regency buildings. Roofs are traditionally Welsh slate or clay tile, with timber sash windows and doors and steel windows

for 20th century buildings. A sense of enclosure is created by the majority of terraces fronting directly onto the street.

- The area features a diverse mix of uses, including the busy shopping area of St Giles' Street, leisure in terms of bars, restaurants and theatres and, increasingly, residential uses, resulting in contrasting areas of vibrant activity and quiet backwaters.

9. Summary of changes within Derngate Conservation Area since the last review

Change is inevitable in any conservation area, particularly one located in the town centre and subject to commercial pressures. Since the last review, the following changes are apparent:

- an increase in the number of food and drink establishments replacing shops, notably in St Giles Street; this has secured occupation of premises but it is important that balance is achieved;
- an increase in the number of residential conversions, particularly of the upper floors of buildings and with some new-build, often for student occupation. This has been generally welcome within the area as a means of securing full occupation of buildings and an increased level of activity and surveillance, particularly in the evenings;
- some increase in conversion of offices back to residential use; this has usually been to multiple-occupation (which can increase pressures within the area) but, also to single family occupation;
- Some loss of architectural detail, notably replacement of timber windows with upvc.

10. The Conservation Area boundary

Section 69 of the Planning (Listed Buildings and Conservation Areas) Act requires the local authority to consider whether an area still retains sufficient architectural or historic interest to justify its special status or whether extension of the boundary, or, in extreme cases, cancellation of the designation, is appropriate.

Derngate Conservation Area was first designated in 1986 and was extended in 2006. Although there has inevitably been change since then, the preceding sections indicate that the special interest that originally justified designation still remains. It is not therefore proposed to cancel the Conservation Area designation.

Consideration has also been given as to whether further amendments to the boundary are required. However, the existing boundary is judged to be correctly located, marking the point at which a distinct change in character and/or appearance occurs and no alterations to the boundary are proposed.

11. Derngate Conservation Area Management Plan

The above survey identifies features that contribute to the special character and appearance of Derngate Conservation Area and identifies issues that could erode the special interest of the area. In order to safeguard the character and appearance of the area, the following measures are proposed.

11.1 Derngate Article 4(2) Direction

Owners of dwelling houses can undertake some alterations to the external appearance without the need to apply for planning permission – this is known as “permitted development” (permitted development rights only apply to buildings in single residential use, and not to flats or businesses).

In view of the potential erosion to the character and appearance of the area through unrestricted alterations, an Article 4 direction was made in 2008 and requires that planning permission be obtained for alterations to the external appearance of dwelling houses when viewed from the street. This allows the Council to consider the impact on the appearance of the area of alterations that could otherwise be undertaken without consent.

Within Derngate Conservation Area, planning permission is required for the following alterations to houses where visible from the street:

- ◆ Changing to windows and external doors (eg from timber to upvc)
- ◆ Construction of new porches, or alterations to existing ones
- ◆ Removal or alteration of fences, railings or boundary walls
- ◆ Changes in roof coverings (e.g. from slate to concrete tiles) or inserting rooflights
- ◆ External painting or rendering of previously untreated walls and surfaces
- ◆ Alterations to chimney stacks
- ◆ Provision of off-road parking
- ◆ Installation of satellite dishes.

A photographic survey was carried out concurrently with the introduction of the Article 4(2) Direction, in order to produce an accurate database. Comparison of the record taken at the time of the making of the order indicates that the Article 4 has largely been successful in preventing further loss of architectural details, although enforcement action will be recommended where necessary against any future unauthorised alterations.

In view of the contribution that surviving original features make to the character and appearance of the Conservation Area, it is proposed that the Article 4 direction be retained.

11.2 Windows and front wall database

The replacement of original sliding sash wooden windows, often with top-hinged uPVC units, is highly detrimental to the conservation area. The proportions, details and thickness of glazing bars on replacement windows seldom replicate the intricacy of the originals. Outward opening, top-hung window units when opened at an angle, visually disrupt the clean lines of the Victorian terraces and adversely affect the streetscene.

Equally, the existing boundary walls make up an important part of the character of the conservation area. Not only do they define the public and private spaces, but they also visually frame the properties. A replacement wall in non-traditional materials or the removal of a wall can substantially damage

the uniform appearance of a terrace from the street.

A comprehensive list of these details would provide both planners and developers with information on what parts of the historic fabric are most worthy of retention, and what parts should be replaced in order to improve the character and appearance of the conservation area.

11.3 Unauthorised development

By comparing the latest photographic survey with those taken within the last four years it should be possible to identify any unauthorised development that adversely affects the conservation area and where it is possible to carry out enforcement action. Due to the pressures of the four year immunity rule on development, action should be taken within a reasonably short timescale.

11.4 Demolition in Conservation Areas

Conservation Area Consent is required for certain demolition work within a Conservation Area:–

- ◆ The demolition of a building with a cubic content of more than 115m³.
- ◆ The demolition of wall, fences or gates above 1 metre in height and abutting the highway (2 metres elsewhere)
- ◆ Buildings subject to a statutory order or notice.

In the case of a listed building a separate Listed Building Consent is also required. Demolition of buildings or structures such as boundary walls considered to make a positive contribution to the conservation area will normally be opposed.

11.5 Listed Building Consent

Listed Building Consent is required for the demolition of, or any works of alteration or extension which would affect the character or appearance of a Listed Building. The regulations apply to both external and internal alterations. For the purposes of Listed Building control any object or structure which is fixed to the building or has formed part of the land since before 1st July 1948 are also treated as part of the Listed Building.

The Council will consider enforcement action in respect of unauthorised work to listed buildings.

Repair works do not normally require listed building consent. However, it is always advisable to consult the Council's Conservation Officers before commencing work to a Listed Building.

11.6 Buildings of Local Interest

The Council is also undertaking the preparation of a Local Heritage List for Northampton. It is likely that a number of buildings within the Conservation Area that make a contribution to its character and appearance but which are not of national significance will be considered for inclusion and the Council will endeavour to secure the long term future of these buildings.

11.7 Trees

The Town and Country Planning Act 1990 makes provision for the protection of trees in the interests of amenity and the Act makes special provision for trees within Conservation Areas. Well-established trees make an important and positive contribution to the local environment and therefore it is essential to safeguard these features for the benefit of the community. Trees over 76mm (3") in diameter within the Conservation Area are automatically protected from damage or felling. Six weeks prior written notice must be given to the Local Authority for any works likely to affect a tree within a Conservation Area (this includes work which may affect the roots). Within that time the Local Authority may decide to make a Tree Preservation Order. Once a tree is protected by a Tree Preservation Order it is an offence to cut down, uproot, prune, damage or destroy a tree without the written consent of the Council.

11.8 Design guidance

Within Conservation Areas, detailed examination of the design, siting and layout of development proposals of all types will be undertaken to achieve as a high standard as possible, in order to preserve or enhance the character or appearance of the area.

Appendix 1:

Useful Contacts

info@spab.org.uk

www.spab.org.uk

Conservation Officers

Northampton Borough Council

The Guildhall,

St Giles Square

NORTHAMPTON

NN1 1DE

Tel: (01604) 837634 and 837637

conservation@northampton.gov.uk

www.northampton.gov.uk

Georgian Group

6 Fitzroy Square

LONDON

W1T 5DX

Tel: 020 7529 8920

info@georgiangroup.org.uk

www.georgiangroup.org.uk

Historic England (Midlands Region)

10 Holliday Street,

Birmingham

B1 1TF

Tel: 0121 625 6870

midlands@HistoricEngland.org.uk

The Victorian Society

1 Priory Gardens

Bedford Park

LONDON

W4 1TT

Tel: 020 8994 1019

admin@victorian-society.org.uk

www.victorian-society.org.uk

Ancient Monuments Society

St Ann's Vestry Hall

2 Church Entry

LONDON

EC4V 5HB

Tel: 020 7236 3934

office@ancientmonumentsociety.org.uk

www.ancientmonumentsociety.org.uk

The Twentieth Century Society

70 Cowcross Street

LONDON

EC1M 6EJ

Tel: 020 7250 3857

coordinator@c20society.org.uk

www.c20society.org.uk

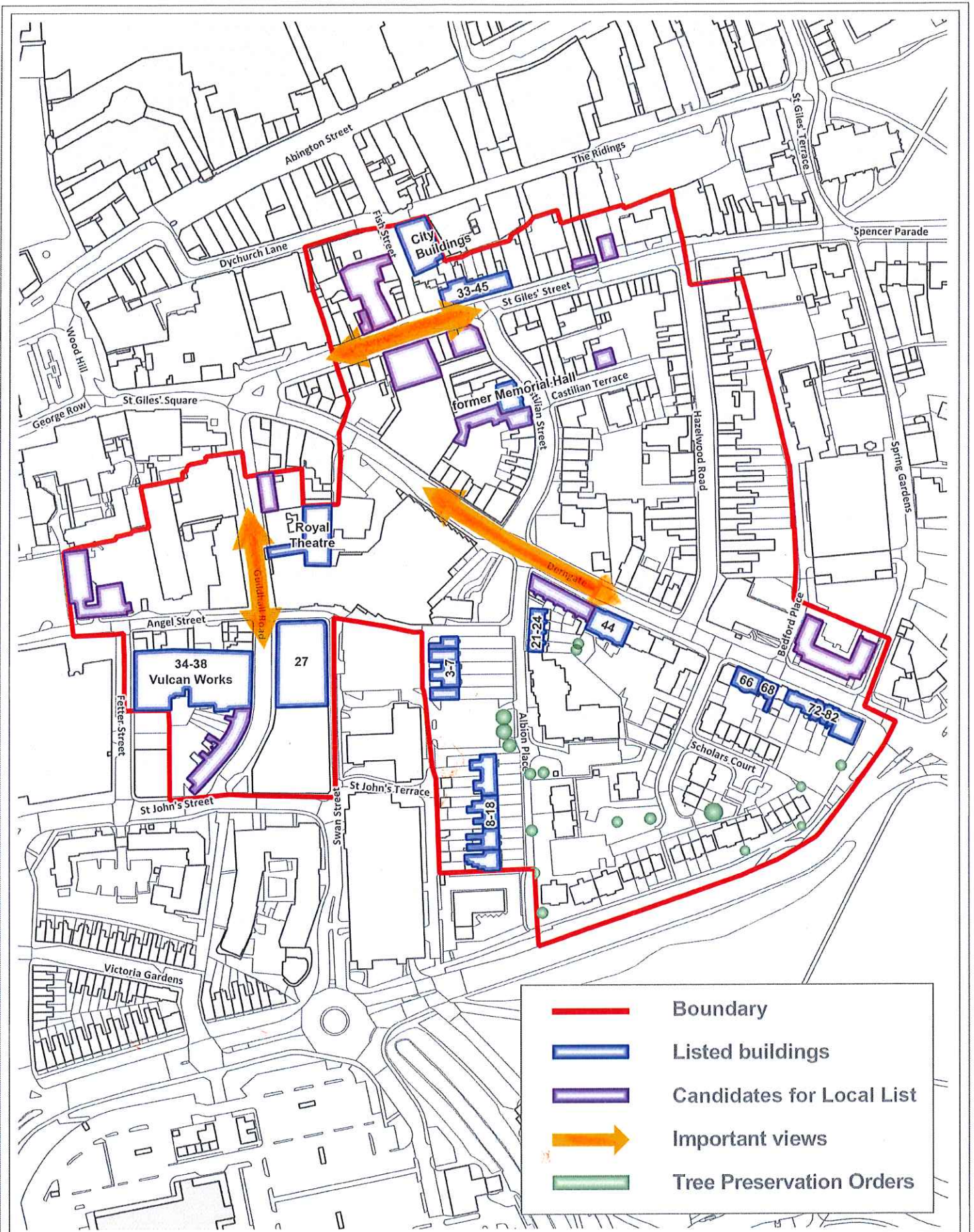
Society for Protection of Ancient Buildings

37 Spital Square

LONDON

E1 6DY

Tel: 020 7377 1644



Appendices
1. Corporate Risk Register – Q4



NORTHAMPTON
BOROUGH COUNCIL

CABINET REPORT

Report Title	Corporate Risk Register
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AGENDA STATUS: PUBLIC

Cabinet Meeting Date:	12 th June 2019
Key Decision:	No
Within Policy:	Yes
Policy Document:	No
Service Area:	Chief Finance Officer (S151)
Accountable Cabinet Member:	Jonathan Nunn
Wards:	All

1. Purpose

- 1.1 This report sets out the update of the Council's corporate risk register for Q4 2018/19 as at 31st March 2019.
- 1.2 Corporate Management Board on 20th May 2019, have collectively reviewed, considered, and where appropriate, confirmed, challenged and/or moderated the risks identified.
- 1.3 The corporate risk register is an important strategic document which captures those risks that could potentially be a barrier, a constraint or a threat (or in equal and opposite terms alternatively a positive opportunity) to the achievement of the Council's strategic objectives as outlined in the Corporate Plan.

2. Recommendations

- 2.1 That Cabinet review, comment and where appropriate, confirm the risks contained in the register and the related risk exposures and mitigating actions are relevant.

3. Issues and Choices

3.1 Report Background

- 3.1.1 Risk management is a key priority for the Council. Critical to the development of better risk management is the development of a tighter culture of risk identification, assessment and mitigation at all levels of the Council, including at the corporate level, with proper and regular updates to assessments of potential risks.
- 3.1.2 This report captures those risks identifiable at the corporate level of the Council which, should they impact, would have a corporate-wide impact and effect.

3.2 Issues

- 3.2.1 17 risks are recorded on the corporate risk register as of March 2019. Of these 12% are rated red, 76% amber and 12% rated green.
- 3.2.2 Two items have had the risk rating reduced in Q4.

Risk #1: Failure to deliver a balance budget - reduced from 12 to 4 to reflect the involvement from Officers and Members in relation to budget away days and workshops and also to reflect the balanced budget for 19/20.

Risk #7: Regeneration of Northampton – reduced from 12 to 8 as a reaction to the Town Centre regeneration strategy being developed by new partnership 'Northampton Forward' and the expression of interest submitted to the Government for town centre funding.

- 3.2.5 The corporate risk register will be updated for Q1 2019/20 during June/July 2019. Any significant changes will be reported to Cabinet.

4. Implications (including financial implications)

4.1 Policy

- 4.1.1 The update of the corporate risk register is a key aspect of procedures required by the Council's risk management policy. The next review of the Risk Management Framework policy will be January 2020.

4.2 Resources and Risk

- 4.2.1 There is no additional capacity required for the completion and continuous update of the corporate risk register. The Governance and Risk Manager will update the register on a quarterly basis with the Heads of Service. Any significant changes will be reported through to Corporate Management Board.

4.3 Legal

4.3.1 The Council has various legal duties and obligations to ensure it facilitates the effective exercise of its functions and the achievement of its aims and objectives. The risks identified in the Corporate Risk Register and the related actions to mitigate them will directly address identified barriers to the achievement of the Council's corporate priorities and will also assist in enabling the Council to demonstrate that it is complying with its legal duties.

4.4 Equality and Health

4.4.1 There are no equality and health implications to this report.

4.5 Consultees (Internal and External)

4.5.1 The Council's Management Board and Executive Programme Board have been internally consulted to date on the update of corporate risk register attached.

4.5.2 PWC conducted a review of the corporate risk register in April/May 2018. Recommendations made as a result of the review were acknowledged and, where relevant, have been incorporated into the register.

4.6 Other Implications

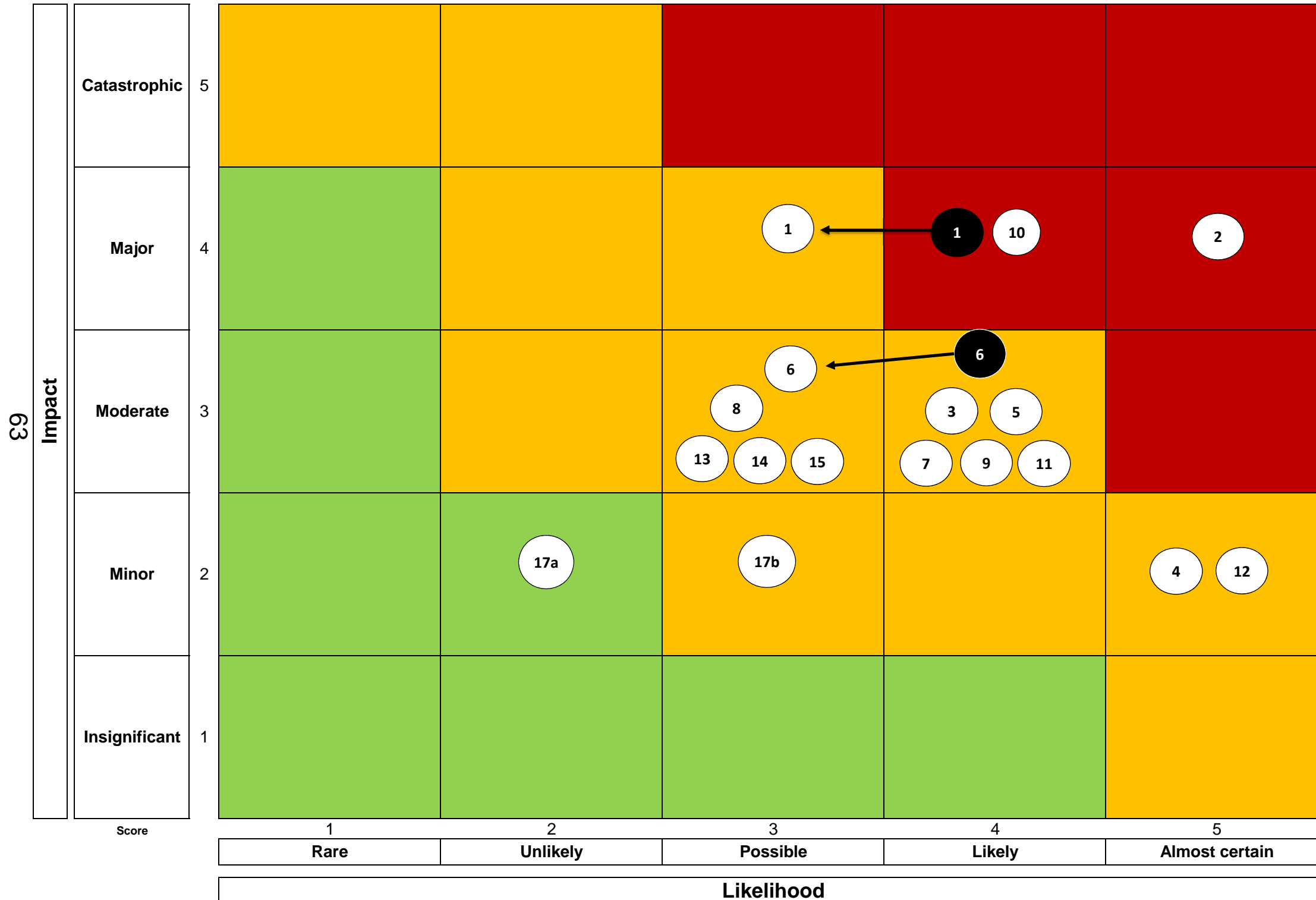
4.6.1 None

5. Background Papers

5.5.1 None

Joanne Bonham
Governance & Risk Manager
01604 837886

CORPORATE RISK REGISTER
Q4 MARCH 2019



Q2 rating
 Q3 rating
 Direction of movement

Risks

1. Failure to deliver a balanced budget.
2. Insufficient clarity around Member and Officer roles.
3. Inadequate succession planning and staff retention.
4. Inability to meet and manage the demands of homelessness.
5. Failure to manager or failure to deliver or expose new risks as a result of poor project management practice.
6. Legal obligations under GDPR are breached.
7. Plans for improving the economic prosperity and regeneration of Northampton are not delivered.
8. NBC fails to manage its partnerships (LGSS, NPH, NLT).
9. Major or large scale incident causes business interruption.
10. Impropriety or improper business activities leading to fraud or malpractice.
11. Decisions made at Council or Cabinet level are not robust to withstand legal challenge..
12. Inability og IT to service future requirements due to cyber attack.
13. Non-compliance with Fire and Health & Safety legislation.
14. Safeguarding arrangements are not adequate to protect vulnerable adults and children.
15. Failure to deliver enough new housing.
16. REMOVED: LGR risk - To be included in LGR project risk register.
- 17a. NEW RISK: Impact of Brexit on NBC services.
- 17b. NEW RISK: Impact of Brexit on Northampton economy.

Impact

Type of Impact		Health and Safety	Reputation	Financial	Legal / Regulatory
Level					
5	Catastrophic	Fatality	Critical impact on business reputation and/or national media exposure.	Financial loss in excess of £10 Million/ Impact on budget > 12 %	Regulatory and high level Government intervention/action.
4	Major	Permanent disabling injury and / or long term off work	Significant impact on business reputation and/or national media exposure.	Financial loss from £5 to £10 Million/ Impact on budget 6 -12%	Management challenged / Large legal liabilities. Likely to result in regulatory intervention/action.
3	Moderate	Injury requiring medical treatment , time off work and rehabilitation	Moderate to small impact on business reputation.	Financial loss from £2 to £6 Million / Impact on budget 2 - 6%	Management reviewed / legal reserves established. Triggers regulatory investigation.
2	Minor	Injury requiring medical treatment with no lost time	Some impact on business reputation.	Financial net loss from £0 to £2 Million/ Impact on budget < 2 %	Minimal / limited liabilities. Requires immediate regulator notification.
1	Insignificant	Minor medical treatment, no lost time.	No impact on business reputation.	No financial net loss or impact on budget	Minimal liabilities. No immediate regulator notification required.

Likelihood

5	Almost certain	Is expected to occur in most circumstances/ occurs daily - weekly
4	Likely	Could occur in most circumstances / occurs monthly
3	Possible	Has occurred here or elsewhere / Once a year
2	Unlikely	Hasn't occurred yet but could / once in 5 years
1	Rare	Hasn't occurred yet but could / once in 10 years

CORPORATE RISK REGISTER
Q4 MARCH 2019

No	Risk Description	Risk Causes	Risk Consequences	Inherent Risk Rating	Key Measures in Place to Manage The Risk (Key Controls)	Current Risk Rating		Further Action & Implementation Date	Target Risk Rating	Risk Owner	Update & date
						Q3 18/19	Q4 18/19				
1	Failure to deliver a balanced budget 19/20 – 22/23	<ul style="list-style-type: none"> • Council unable to deliver sufficient savings to balance budget • Major projects don't deliver planned benefits • Complacency in the organisation • Increased organisational change and complexity • Changes in govt. funding particularly NNDR • Complex challenges of addressing both the controllable and uncontrollable pressures and events that can act on both income and expenditure • Challenges of working with partnership or arms- length organisations where there is a loss of direct management control 	<ul style="list-style-type: none"> • Inability to set a legal budget • Depleted Reserves • Need to realise capital receipts • Inability to deliver services to meet customer need/demand and expectations of the Council 	25	<ul style="list-style-type: none"> • Review reserves strategically • Robust monitoring of budgets by services and taking early remedial action where issues identified. • Management Board action to limit spending where appropriate and communicate to staff on spending restrictions • 19/20 draft budget proposed • Quarterly financial reporting to Cabinet • Regular financial reporting to the Management Board • Regular monthly financial monitoring (incl. projections) • Finance Away Days for Boards and HoS 	12	4	<ul style="list-style-type: none"> • Robust Medium Term Financial Plan review (September 2018 – January 2019) • Cabinet and CMB had a workshop in October and November to consider the Budget for 19/20 and future years and consider what options may be available to manage or mitigate the future pressures. • Budget 19/20 set and balanced. • Residual risk 20/21 onwards but can be managed. 	4	CFO (S151)	Updated by CFO April 2019

65

No	Risk Description	Risk Causes	Risk Consequences	Inherent Risk Rating	Key Measures in Place to Manage The Risk (Key Controls)	Current Risk Rating		Further Action & Implementation Date	Target Risk Rating	Risk Owner	Update & date
						Q3 18/19	Q4 18/19				
2	<p>Projects may be instigated outside normal process where there is a lack of clarity around Member and Officer roles.</p> <p>Reputational damage may occur should promises to the public by Members not be realised.</p>	<ul style="list-style-type: none"> Members and Senior Officers roles (formulating and administrating policy respectively) are not always clear The culture does not resonantly promote a separation of the respective roles and duties of members and officers Officers feel inhibited in giving full, objective, professional and technical advice to Members in charged political atmospheres Officers in their role seek to frustrate the strategic choices, policy and direction-setting of Members Weak management of Members by leadership in the past 	<ul style="list-style-type: none"> Significant decision-making with significant outcomes and impacts is not robust and is not properly administered or processed by the organisation The intended outcomes and objectives of decisions are not achieved or are achieved in sub-optimal terms Maladministration occurs The control environment is weakened and controls could be bypassed Potential for reputational damage and loss of public and stakeholder confidence Regulatory criticism Legal challenge may be made and increased costs incurred 	20	<ul style="list-style-type: none"> Council Constitution (incl. the Member-Officer Protocol) Cabinet reporting system Scheme of Delegation Contract Procedure Rules EPB set up to aid interface between Members and Officers. Weekly meeting with CMB and Cabinet to discuss general updates and any potential issues/gaps in information communicated. Review of EPB terms of reference (Sept 2018) Independent review by BDO as the internal auditors. 	20	20	<ul style="list-style-type: none"> Implementation of Member-Officer Protocol audit recommendations following BDO review (by May 19) Provision of training on Member-Officer Protocol (by May 19) Corporate training to Officers plus briefings to all staff to reiterate the standards to be enforced (by June 18) 	12	Borough Secretary	Updated by Borough Secretary April 2019

No	Risk Description	Risk Causes	Risk Consequences	Inherent Risk Rating	Key Measures in Place to Manage The Risk (Key Controls)	Current Risk Rating		Further Action & Implementation Date	Target Risk Rating	Risk Owner	Update & date
						Q3 18/19	Q4 18/19				
3	Inadequate succession planning, capacity and retention leading to service disruptions/non delivery	<ul style="list-style-type: none"> Salaries not competitive with LAs outside the local catchment area Reputation of the Council is not positive Perception of organisational instability Continual cost cutting Drift in staff morale Differing levels of engagement within the organisation Historic failure and disconnect of leadership to engage with staff Impact of unitary causing uncertainty Lack of HR strategic profile in the organisation 	<ul style="list-style-type: none"> Inability to recruit to roles (particularly key roles) Inability to retain staff (particularly key talent staff) Depressed staff morale Increased staffing costs due to agency/interim costs Staff leaving (particularly key staff) take their organisational knowledge out of the organisation when they leave No succession planning is possible particularly around specialist and qualified posts Reduced organisational effectiveness and performance Lack of organisational resilience 	20	<ul style="list-style-type: none"> Recruitment process changed eg. to advertise more widely, use of dynamic job ads and increase use of specialised agencies to find permanent staff or fixed term applicants Benefit of council pension scheme headlined to attract staff Performance appraisal rewards highly effective staff Family friendly policies, eg maternity and paternity leave Generous holiday allowance Subsidised car-parking Guildhall location Flexible working hours New Chief Executive recruited (should this come out now or be re-worded?) Inflation pay rises provided 	12	12	<ul style="list-style-type: none"> Review of staff Terms and Conditions (May 2019) Review of performance appraisal process (May 2019) Investigating the use of one common method of job evaluation (May 2019) A number of initiatives in wellbeing and communication being considered for deployment (On-going) Roll-out of Leadership Development Programme (On-going) Introduction of talent management and succession process (May 2019) Promote unitary as an opportunity for development (September 2018 – May 2019) CMB is considering all options to reduce the risk and any impact, CMB is being informed by views from MTUCM Uncertainty around Unitary may increase risk. Regular reporting on use of interims and spend	9	CFO (S151)	Updated by CFO April 2019
4	Inability to meet and manage the demands of homelessness in the Borough	<ul style="list-style-type: none"> Significant increases in the numbers of people who are homeless Significant increases in the number of people in temporary accommodation (TA) Welfare reform, eg. extension of the benefit cap reducing affordability of housing Households loss of private rented accommodation Difficulty in accessing private rented accommodation Shortage of social rented housing Homelessness Reduction Act increasing use of TA 	<ul style="list-style-type: none"> Increased demand leads to significantly greater costs for the Council Follow-on significant budgetary overspend occurs Pressure of financial impact of overspend of c£1.5m More homelessness applications Increased statutory duty to rehouse Increases of numbers of people in BB and TA accommodation 	16	<ul style="list-style-type: none"> Rigorous budget monitoring in place Regular financial reporting to Management Board, Portfolio-Holder & Cabinet Additional resources allocated (£100K for staffing) Increase in allocated TA budget (£300K) Two officers now focussing exclusively on TA 	10	10	<ul style="list-style-type: none"> Prepare Cabinet report to set out position statement for TA (February 2019) Prepare proposals to further mitigate cost <ul style="list-style-type: none"> Strategy for procuring cheap accommodation Slow demand restructure of Housing & options team (January 2019) Budget increases 19/20 for service provision and improved staffing levels. 	10	Head of Housing	Updated by Head of Housing Dec 2018

No	Risk Description	Risk Causes	Risk Consequences	Inherent Risk Rating	Key Measures in Place to Manage The Risk (Key Controls)	Current Risk Rating		Further Action & Implementation Date	Target Risk Rating	Risk Owner	Update & date
						Q3 18/19	Q4 18/19				
5	Failure to manage, deliver or expose new risks as result of poor project management practice. Reputational damage possible.	<ul style="list-style-type: none"> Lack of a clearly-defined project management governance structure Lack of written procedures and related compliance as a source of assurance Inadequate checks and balances Inadequate project documentation maintained - business cases in particular 	<ul style="list-style-type: none"> Wrong decisions made on an unviable business case Continual review of projects – stopping unviable projects Reputation Financial costs Pressure on resources Pay back on investment funds if not delivering 	16	<ul style="list-style-type: none"> Gateway reviews conducted and reported to CMB for approval More robust governance processes (as per above risk on governance) Completion of Project Management Framework document Highlight reports reported monthly to CMB Project Managers are made accountable for reporting issues and risks to the Head of Economy, Assets and Culture 	12	12	<ul style="list-style-type: none"> Continue to develop and install more robust governance processes (Ongoing) Review of project management documentation to simplify and make it easier for reporting purposes (April 2019). 	4	Head of Economy, Assets and Culture	Updated by Head of Economy, Assets and Culture April 2019
6	Legal obligations under the Data Protection Act 1998 (and also the superseding GDPR EU Regulations in 2018) are breached and there is inappropriate access and/or disclosure, corruption or loss of data	<ul style="list-style-type: none"> Not implementing the new EU data protection legislation Lack of staff knowledge of policy and procedure Ineffective implementation of GDPR Regulation requirements Lack of an implementation plan for GDPR 	<ul style="list-style-type: none"> Data breaches Prosecution Fines Lack of confidence and public trust Reputational issues Member criticism 	20	<ul style="list-style-type: none"> Data sweeps Data governance Staff awareness Campaigns/refresher online training Data Protection Policy update May 2018 Follow up actions and lessons learnt communication to all staff through newsletters/all staff emails GDPR implementation plan in place Inclusion within re-launched corporate induction 	9	9	<ul style="list-style-type: none"> Continue with training on GDPR refresher courses for officers and members (ongoing) review and update of all policies and procedures (ongoing) Implement improved management of data storage (December 2018) Data audits (March 2019) BDO Internal Audit review (May/June 2019) 	3	Governance & Risk Manager	Reviewed by Governance & Risk Manager April 2019
7	There are no clear plans for improving the economic prosperity and regeneration of Northampton.	<ul style="list-style-type: none"> Lack of skilled resource and vision Lack of local knowledge LGR creates political uncertainties No cohesive decision making in relation to regeneration strategy for Northampton between Officers and Members. 	<ul style="list-style-type: none"> Investors not investing in the town or pulling out of partnership arrangements Jeopardising current and future regeneration and growth projects Damage to Northampton as a place of choice 	16	<ul style="list-style-type: none"> Lessons-learned reviews being held Improved reporting through to CMB and EPB Plans being developed in terms of QA and process and service capability in structure 	12	8	<ul style="list-style-type: none"> Preparation of Economic Growth Strategy (May 2019) Town Centre regeneration strategy being developed by new partnership 'Northampton Forward' Expression of interest for Government Town Centre Fund submitted (March 2019) Development of growth team 	2	Head of Economy, Assets and Culture	Updated by Head Economy, Assets and Culture April 2019

No	Risk Description	Risk Causes	Risk Consequences	Inherent Risk Rating	Key Measures in Place to Manage The Risk (Key Controls)	Current Risk Rating		Further Action & Implementation Date	Target Risk Rating	Risk Owner	Update & date
						Q3 18/19	Q4 18/19				
8	NBC fails to manage its contractual partnerships with: • LGSS • NPH • NLT • Veolia	<ul style="list-style-type: none"> Loss of direct management control over activities Poor governance Lack of contract monitoring at officer level Lack of quality control Performance monitoring information is not developed Poor contract specification and understanding 	<ul style="list-style-type: none"> Services not delivered to quality, time and cost Failure in fulfilling legal responsibilities Hindering the achievement of the councils objectives Negative impact to customers and stakeholders reputational risk to NBC 	12	<ul style="list-style-type: none"> Taking remedial action where required e.g. HR and Payroll coming back in-house Quarterly reports and meetings 	9	9	<ul style="list-style-type: none"> robust contract monitoring and quality control Continual review of LGSS contract Holistic/virtual team of contract managers to share good practice 	8	CFO (S151)	Reviewed by CFO April 2019
9	Major or large scale incident (accident, natural hazard, riot or act of terrorism) business interruption affecting the council resources and its ability to deliver services and risk to safety of staff and loss of staff	<ul style="list-style-type: none"> Accident, natural hazard, riot or act of terrorism or other business interruption 	<ul style="list-style-type: none"> Lack of business continuity Council not able to deliver front-line services Council failing to meet statutory responsibilities Risk of safety to staff and loss of staff Customer needs not being met 	20	<ul style="list-style-type: none"> Updated business continuity strategy and business continuity plans partially in place only for all services with some services remaining outstanding Refreshed Critical Incident Plan Emergency Planning Work-streams facilitated by Emergency Planning lead including town centre evacuation procedures Establishment of Gold and Silver duty rota (Reviewed Oct 2018) Review of high-rise buildings in the borough post-Grenfell On-going improvements identified and implemented as a result of participation in national and local exercises eg Cygnus (flu-pandemic) and Jerboa (flooding) exercises Involved in London Bridge briefings London Bridge guidance notes updated April 2019 Follow up briefing given to NBC key officers by CEO. Emergency Roles and responsibilities paper presented to CMB to address staffing shortages in the duty rota. Review concluded Dec 18 and shortage addressed. Training rolled out via LRF for all new Gold/Silver persons (Oct – Jan 2019) 	12	12	<ul style="list-style-type: none"> Continuing work to ensure all services at the Council put in place a business continuity strategy and plan (On-going) Continuing improvements to BC and Emergency Planning procedures to be implemented post operations e.g. 2018 Floods (on-going) Clarify arrangements for business continuity responsibility for key partner organisations (On-Going) Identification and risk assessments of reception centres (Dec 18) Specific exercise for NBC colleagues to be developed (Dec 2018) and then delivered (June 2019) 	9	CEO	Updated by CEO April 2019

No	Risk Description	Risk Causes	Risk Consequences	Inherent Risk Rating	Key Measures in Place to Manage The Risk (Key Controls)	Current Risk Rating		Further Action & Implementation Date	Target Risk Rating	Risk Owner	Update & date
						Q3 18/19	Q4 18/19				
10	Impropriety or improper business activities leading to fraudulent activity or malpractice	<ul style="list-style-type: none"> • LGSS services returning - HR and Payroll - shifting accountabilities • Lack of robust governance, procedure or process • Lack of robust internal controls • Inadequate reviews by internal audit on financial controls • No assurance from LGSS on effectiveness of controls 	<ul style="list-style-type: none"> • Avoidable financial loss • Criminal prosecution • Civil litigation • Fines • Lack of confidence from staff or public • Reputational damage • Member criticism 	15	<ul style="list-style-type: none"> • Counter-fraud strategy in place • NBC Fraud policy in place • Section 151 controls • Review of policy and procedure • Review of LGSS Finance SLA and process • Whistleblowing Policy approved by Council 	16	16	<ul style="list-style-type: none"> • NBC fraud policy to be reviewed (May 2019) • Quarterly balance sheet reviews of financial controls within LGSS (year end to be reported to NBCby LGSS internal audit April/May 2019) • gain assurance of controls through contract management of LGSS and internal audit. New suite of KPI's to be developed (May 2019) 	10	Governance & Risk Manager	Reviewed by Governance & Risk Manager April 2019
11	Significant decisions made at Council and Cabinet level are not sufficiently robust leading to ill informed decisions being made.	<ul style="list-style-type: none"> • Inadequate governance • Inadequate checks and balances 	<ul style="list-style-type: none"> • Civil litigation, including judicial review • Lack of confidence from staff or public • Court cases • Ombudsman reviews 	15	<ul style="list-style-type: none"> • Additional/Increased cabinet clearance protocols in place • Reworked clearance processes • EPB Officer/Member interface in operation to ensure greater understanding prior to cabinet/council meetings • Cabinet reports cleared by CMB 	12	12	<ul style="list-style-type: none"> • Annual reviews of Democratic Services (March 2019) • Increased capacity in democratic Services (April 2019) • Completeness now a higher indicator than recorded date. 	10	Borough Secretary	Updated by Borough secretary April 2019
12	Inability of IT to service future requirements and or loss of IT due to failure or cyber-attack	<ul style="list-style-type: none"> • Poor governance • Lack of contract monitoring • Lack of quality control • Increased external cyber attack numbers and complexity 	<ul style="list-style-type: none"> • Services not being delivered to customers • Business interruption • Inefficient business processes and technology not adequately exploited 	15	<ul style="list-style-type: none"> • Review of current LGSS SLA with IT to see what can be improved and remedial action taken • IT policies and procedures reviewed and refreshed • Review of IT equipment and infrastructure • PSN Compliance achieved • Lessons-learned review implemented following ransomware attacks in 2016/17 • Completion of LGA stocktake as at 31st August 2018. 	10	10	<ul style="list-style-type: none"> • ICT Governance Meetings (On-going) • ICT Client Meetings to assess relationships and risks (On-going) • LGA stocktake results action plan implementation - 51% completed as at 31/3/19 	10	CFO (S151)	Reviewed by CFO April 2019

No	Risk Description	Risk Causes	Risk Consequences	Inherent Risk Rating	Key Measures in Place to Manage The Risk (Key Controls)	Current Risk Rating		Further Action & Implementation Date	Target Risk Rating	Risk Owner	Update & date
						Q3 18/19	Q4 18/19				
13	There is non-compliance with fire and Health and Safety legislation.	<ul style="list-style-type: none"> Lack of a clear strategy Processes not followed Audits and inspections not completed in a timely manner Recommendations not escalated or followed up by service areas 	<ul style="list-style-type: none"> Continuing lack of a clear strategy /strategic direction Death or injury to public or staff Criminal prosecution or civil litigation Service stopped Loss of public trust Action by H & S executive or Northants Fire and Rescue Fines to organisation Corporate manslaughter charges Insurance claims Financial loss 	20	<ul style="list-style-type: none"> Corporate Health & Safety Group set up and in place Upskilling of managers in terms of H&S responsibilities Audit & Inspection Framework in place H&S Matrix in place cross-referencing role profiles to required H&S training Review of H&S policies and procedures and refreshed where appropriate Refresher staff comms and training Fire Marshal training completed Implementation of mandatory on-line training courses for all staff Corporate Health Safety and Wellbeing Policy presented to Council and signed off on 9th July 2018. Creation of a H & S Committee Restructure of the H & S delivery and service (2018) 	9	9	<ul style="list-style-type: none"> Communication and engagement with staff through October information/training sessions (On-going) Continued progress with H & S audits and inspections Active engagement through H & S Committee of management, H & S Officers, staff and TU's. 	6	Governance & Risk Manager	Updated by Governance & Risk Manager April 2019
14	Safeguarding arrangements are not adequate to protect or address concerns of vulnerable adults and children.	<ul style="list-style-type: none"> Staff lack of awareness of procedure or referral route 	<ul style="list-style-type: none"> Children or vulnerable adults harmed or put at risk of harm Criminal prosecution or civil litigation Seriously damaging reputation or NBC 	20	<ul style="list-style-type: none"> Procedures and referral routes reviewed and refreshed where necessary Refreshed procedures and referral routes communicated Designated Officer for Safeguarding as point of contact in place Series of presentations on CSE, including with Members and staff, to build awareness Increased joint working with County Council (Rise Team), other boroughs and districts, including with community safety. licencing and social landlords Scrutiny Review of CSE in the Borough Scrutiny Review gone to Cabinet Established an NBC officer group for tackling CSE. 	9	9	<ul style="list-style-type: none"> Hotel Watch exercise to be rolled out in conjunction with the Rise Team (March 2019) Full implementation of recommendations arising from the above Cabinet report (June 2019) Response to scrutiny review (December 2018) Implementation of audit recommendations from Safeguarding audit (July 2019) 	9	Head of Housing	Updated by Head of Housing 5th December 2018

No	Risk Description	Risk Causes	Risk Consequences	Inherent Risk Rating	Key Measures in Place to Manage The Risk (Key Controls)	Current Risk Rating		Further Action & Implementation Date	Target Risk Rating	Risk Owner	Update & date
						Q3 18/19	Q4 18/19				
15	Failure to deliver enough new housing to meet targets and needs	<ul style="list-style-type: none"> Local housing market housebuilders not wanting to devalue their product by flooding the market increasing land values Scarcity of experienced trades people and of materials. 	<ul style="list-style-type: none"> Not delivering enough housing to meet local demand Increase in homelessness and demand for temporary housing Failure to meet local targets Failure to meet Housing Delivery Test resulting in increased targets Potential loss of decision making role Inability to resist housing proposals in unsustainable locations 	16	<ul style="list-style-type: none"> Secured Planning Delivery Funding to recruit Housing Delivery Manager to liaise with housebuilders and establish what is delaying delivery Regular monitoring of local and market area delivery Flexible approach to planning applications Investigating investment in infrastructure to open up allocated sites and accelerate delivery Development of a Growth Deal to secure additional resources for affordable housing, infrastructure and capacity, and planning freedoms Promotion of role within Growth Corridor Cabinet approval of £4.2m Dallington relief road September 2018. DevCo formation October 2018 	9	9	<ul style="list-style-type: none"> Re-focus the Housing Delivery project to develop the Strategic Plan evidence base. Develop action plan (Spring 2019) Growth Deal submitted October 2018, but not supported by MHCLG/treasury. Currently seeking feedback on the Deal and how to progress it but MHCLG have failed to respond with agreed timescales HRA cap lifted. Limitation now is capacity to deliver and the sites available. 	9	Head of Planning	Updated by Head of Planning April 2019
16	REMOVED Q3 2018: LGR risk, to be included within the main LGR project risk register										
17a	NEW RISK: Impact of Brexit on NBC services.	<ul style="list-style-type: none"> Brexit deal/no deal 	<ul style="list-style-type: none"> Has a direct impact on NBC services directly 	4	<ul style="list-style-type: none"> Monitoring Brexit information Continual CMB checking on services/staffing 2 hour training for all of CMB in Jan/Feb 2019 	4	4	<ul style="list-style-type: none"> Discussed several times at CMB Change to: Standing Agenda item between January and April 2019 Updated Briefing Note being developed Regular Government and Regional updates 	4	CMB	Updated April 2019

No	Risk Description	Risk Causes	Risk Consequences	Inherent Risk Rating	Key Measures in Place to Manage The Risk (Key Controls)	Current Risk Rating		Further Action & Implementation Date	Target Risk Rating	Risk Owner	Update & date
						Q3 18/19	Q4 18/19				
17b	NEW RISK: Impact of Brexit on Northampton economy.	<ul style="list-style-type: none"> Brexit deal/no deal Uncertainty of timing of Brexit 	<ul style="list-style-type: none"> Supply chain and people impact on businesses Economic impact drives up benefit claims 	6	<ul style="list-style-type: none"> Monitoring of Brexit information Regular communications with major employers 2 hour training for all of CMB in Jan/Feb 2019 	6	6	<ul style="list-style-type: none"> Discussed several times at CMB in October/November Change to: Standing Agenda item between January and April 2019 Updated Briefing Note being developed Regular Government and Regional updates Updates via LRF for the wider County preparedness 	6	CMB	Updated April 2019

Appendices 7



NORTHAMPTON
BOROUGH COUNCIL

CABINET REPORT

Report Title	FINANCE AND MONITORING - PROVISIONAL OUTTURN REPORT 2018/19
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AGENDA STATUS: PUBLIC

Cabinet Meeting Date:	12 June 2019
Key Decision:	Yes
Within Policy:	Yes
Policy Document:	No
Directorate:	Management Board
Accountable Cabinet Member:	Cllr B Eldred
Ward(s)	N/A

1. Purpose

- 1.1 This report sets out the provisional financial outturn position for the Council's general fund, Housing Revenue Account (HRA), and capital programme, and for Northampton Partnership Homes (NPH) for the financial year 2018/19.

2. Recommendations

- 2.1. That Cabinet note the provisional outturn for the general fund and HRA for the financial year 2018/19 as set out at **appendix 1** and **appendix 5**.
- 2.2 That Cabinet approve the proposed revenue budget carry forwards detailed in **appendix 2**.
- 2.3 That Cabinet approve the use of and contributions to general fund revenue earmarked reserves as shown in **appendix 3**.
- 2.4 That Cabinet approve the net movement in HRA reserves and working balances as set out at **appendix 6**.
- 2.5 That Cabinet note the outturn for the Council's general fund and HRA capital programmes for 2018/19 and how the expenditure was financed as set out at **appendix 4** and **appendix 7**.

- 2.6 That Cabinet approve the proposed capital carry forwards into 2019/20 set out in **appendix 4** and **appendix 7**.
- 2.7 That Cabinet delegate authority to the Chief Executive in consultation with the Chief Finance Officer to agree any retention of underspends by NPH.

3. Issues and Choices

3.1 Report Background

- 3.1.1 The Council's budget is divided across two accounts, the general fund and the HRA. These two accounts, together with their respective sources of funding, are kept entirely separate as required by statute. HRA expenditure and income relates solely to the Council's role as a housing landlord, whilst the general fund encompasses all other services.
- 3.1.2 Work is ongoing to complete the draft statement of accounts for 2018/19 and this may result in a change to the final level of general fund and HRA reserves, although this is not expected to be material.

3.2 General fund

- 3.2.1 The general fund outturn for controllable budgets shows a net overspend of £0.732m. This is listed in **table 1** below and detailed in **appendix 1**.

Table 1 Service area	Revised budget £m	Outturn £m	Variance £m
Customers & Communities	12.492	12.980	0.488
Chief Executive	0.921	0.767	(0.153)
Chief Finance Officer	10.559	10.457	(0.102)
Economy Assets & Culture	0.936	1.118	0.181
Housing and Wellbeing	2.734	3.969	1.235
Borough Secretary	2.480	2.256	(0.225)
Planning	0.613	0.115	(0.497)
Debt Financing	0.233	0.038	(0.195)
Total	30.968	31.700	0.732

- 3.2.2 Major variations between the revised budget and outturn are set out in more detail in **appendix 1** and below:
- 3.2.3 Within **Customers & Communities** there was an overall overspend of £0.488m. This was mainly due to an overspend of £0.312m on the environmental services contract and its management. This related to additional ad hoc works; legal costs; and costs of a risk share mechanism reflecting lower sales proceeds of recycled materials. This was partially offset by performance deductions relating to the old contract, and some variable elements of the

contract coming out under budget. There was also an overspend of £0.232m on Parks and Open Spaces due to a loss of ground maintenance recharges to NPH. Overall within the Customers & Communities area there was also some smaller variances including some underspends due to staff vacancies.

- 3.2.4 Within the **Chief Executive** area there was an overall underspend of £0.153m associated with the senior management restructure that took place during the year.
- 3.2.5 Within the **Chief Finance Officer** area there was an overall underspend of £0.102m, mainly due to a saving on the LGSS contract related to new insurance premiums. There was also a significant pressure of £0.400m in the Benefits area due to subsidy loss resulting from the increased demand in temporary accommodation – this was forecast during the year. This overspend has been offset by an underspend on rent allowances due to increased recovery rates.
- 3.2.6 Within the **Economy, Assets and Culture** area there was an overall overspend of £0.181m. This was made up of overspends in the Asset Management area (0.377m) due to vacant posts being covered by interims, valuation work being carried out by external companies and additional maintenance costs in relation to water hygiene at the Racecourse. There was also an overspend in Programmes & Enterprise (£0.154m) partly due to the write off of a large debt. These overspends were partially offset by underspends against Car Parking (£0.263m) and Facilities Management (£0.120m) due to savings on postage associated with a reduction in post sent by the authority.
- 3.2.7 Within the **Housing & Wellbeing** area there was an overall overspend of £1.235m. This mainly relates to the Housing Options and Advice area and is due to pressures resulting from the increased demand in temporary accommodation and includes the associated increased charge in the bad debt provision. This pressure was forecast during the year. This pressure was partly offset by additional homelessness grants received from central government in March 2019.
- 3.2.8 Within the **Borough Secretary** area there was an overall underspend of £0.225m, mainly due to vacancies within the Legal Team.
- 3.2.9 Within the **Planning** area there was an overall underspend of £0.497m. This was partly due to an underspend in the Planning Policy & Heritage area (£0.252m) due to an underspend on the Local Plan Part 2 – the service has requested to carry forward some of this underspend (see **appendix 2**). There was also an underspend on Development Control (£0.206m) due to additional planning income and some vacancies.
- 3.2.10 On the **Corporate** budget there was an underspend of £0.195m due to greater interest income generated from cash balances due to cash balances remaining higher than forecast, and an interest rate rise.
- 3.2.11 All outturn variations will be reviewed as part of a robust review of the current 2019/20 budget and medium term financial plan going forward.
- 3.2.12 Specific carry forwards totalling £0.302m have been requested for use in 2019/20. While there was an overall overspend on the council's general fund budget, these requests to carry budgets forward all come from individual underspends. These requests are detailed in **appendix 2**.

3.2.13 **Table 2** below sets out the proposed funding of the 2018/19 overspend.

Table 2	£m
Funding of 2018/19 overspend	
Total outturn position	0.732
Carry forward requests	0.302
Total to be funded from the MTFP cashflow reserve	1.034

General fund balances and earmarked reserves

3.2.14 The latest risk-based assessment of reserves suggests that, taking all known risks into account along with the Council’s gross expenditure requirement, the minimum level of balances should remain in the order of £4.0m. The unaudited outturn shows that this can be achieved as at 31 March 2019.

3.2.15 The Council also holds general fund earmarked reserves of just over £25m to mitigate against specific risks to which the Council may be exposed and for investing in service improvement. These are detailed in **appendix 3**. The total includes £9.00m that was set aside to fund vehicles and equipment to be used in the new environmental services contract. This is to be drawn down at £1.000m per year over the ten years of the contract. The other key corporate reserves are set aside to fund the delivery of the efficiency plan (£1.783m); to fund any delays in delivering savings over the medium term (MTFP cashflow reserve £1.123m); and £5.0m set aside against the recovery of money relating to the Sixfields case.

3.3 General fund capital

3.3.1 The Council’s final approved budget for general fund capital programme expenditure in 2018/19 was £20.0m, reflecting carry forwards from 2017/18, in year changes and re-profiling approved as part of the setting of the 2019/20 capital programme in February.

3.3.2 The overall capital programme includes revenue expenditure funded from capital under statute (REFCUS). This is expenditure, such as grants to homeowners for disabled facilities, which can be funded from capital resources under statute and regulations.

3.3.3 Capital expenditure for 2018/19 totalled £14.0m against the final approved budget of £20.0m, a net variance of £.6.0m (30%). A large proportion relates to schemes that are currently underway or still planned to take place and these budgets will be carried forward into the next financial year (2019/20). The majority of this carry forward is due to the timing of approvals and the timescales for letting contracts and funding agreements.

3.3.4 The net underspend after taking account of proposed carry forwards is around £0.05m.

3.3.5 The capital expenditure position by Head of Service is summarised in **Table 3** below, with further details set out in **appendix 4**, along with explanations of the reasons for any significant variances.

Table 3 General fund capital expenditure 2018/19	Final approved budget £m	Outturn £m	Carry forward £m	Variance £m
Borough Secretary	0.21	0.02	0.19	0
Chief Finance Officer	0.34	0.20	0.14	0
Customers & Communities	12.46	8.64	3.84	0
Economy, Assets and Culture	5.31	3.86	1.42	0.05
Housing and Wellbeing	1.65	1.28	0.37	0
Total	19.97	14	5.96	0

3.3.6 **Table 4** below shows how the capital programme for 2018/19 has been funded. In line with the approved capital strategy and the treasury management strategy, capital receipts and revenue reserves have been utilised to fund expenditure on short-life assets whilst prudential borrowing has been used where assets have a longer life.

Table 4 Financing of capital programme 2018/19	General fund £m
Borrowing	3.54
Capital receipts	7.58
Grants	2.5
Section 106 contributions	0.4
Total	14.0

3.4 Housing Revenue Account (HRA)

3.4.1 The HRA outturn position shows an underspend on controllable spending of £0.884m. After technical accounting adjustments this position moves to an underspend of £0.620m. This has reduced the required net contribution to reserves from the budgeted amount of £0.922m to £0.620m, while the HRA working balance remains unchanged at £5m.

3.4.2 It should be noted that this outturn position includes the £0.388m underspend Northampton Partnership Homes (NPH) are reporting in the total management fee. The Council has options under the management agreement to take this

surplus back into the HRA to reinvest in the housing stock or agree for NPH to retain them for future use as part of the delivery plan.

- 3.4.3 It should be noted that NPH have managed most of the HRA expenditure budgets in 2018/19 and the actual expenditure incurred is therefore reflected in the summary HRA accounts as management fee payments to NPH. The NPH outturn figures are shown separately (see 3.6 below).
- 3.4.4 **Appendix 5** provides summary of the main variances against the HRA budget. All outturn variations are already being reviewed to identify ongoing issues which need to be reflected within the current forecast and future year budgets. The major variations between the revised budget and outturn are as follows:
- 3.4.5 Income – additional income generated as a result of accounting on an accruals basis rather than cash basis. Also extra income generated as a result of increased charges for leaseholder major works.
- 3.4.6 Repairs and maintenance – increased expenditure on professional fees and outsourced voids works, offset by savings in staffing costs and materials in the in-house (NPH) voids team.
- 3.4.7 General Management and Special Services – underspend primarily reflects savings in staffing costs and utilities costs (NPH) offset by management recharge (NBC) from general fund to HRA.
- 3.4.8 Other variances:
- Lower contribution to the bad debt provision than budgeted reflecting the good performance of managing arrears and the further delay on full implementation of the welfare reforms and universal credit.
 - Lower interest and financing costs reflecting the higher level of balances held on the HRA for the year.
 - Lower support service recharges reflect savings within general fund services.
 - Increased depreciation/MRA costs compared to budget
 - Lower use of Revenue Contributions to Capital (RCCO)
- 3.4.9 Further details regarding recommended budget revisions and management actions required to ensure that the budget remains in balance will be included in the next budget monitoring report to Cabinet.

Contribution to HRA working balances and reserves.

- 3.4.10 The draft total balance on all HRA reserves and balances at 31 March 2019 is £14.388m. **Appendix 6** details the movement to and from HRA reserves, excluding working balances. Contributions to and from working balances and earmarked reserves are summarised in **table 5** below. Cabinet are asked to approve these contributions from reserves.

Table 5 HRA working balances and reserves	Balance 1 April 2018 £m	Movement in year £m	Balance at 31 March 2019 £m
Working balances	5.000	0	5.000
HRA reserves	6.968	0.620	7.588
Leaseholders reserve	0.500	0	0.500
Service improvement and project reserve	1.000	0	1.000
Insurance reserve	0.300	0	0.300
Total HRA balances	13,768	620	14,388

3.5 HRA capital

- 3.5.1 The Council's final approved budget for HRA capital programme expenditure in 2018/19 was £25.694m, a net increase of £0.878m from the original budget of £24.817m. The budget increased due to carry-forwards from 2017/18.
- 3.5.2 HRA capital expenditure for 2018/19 totalled £25.319m against the final approved budget of £25.694m, a net underspend of £0.375m. This underspend relates mainly to the repurchase of former council houses (£0.410m) to be carried forward into 2019/20 and an NPH managed schemes overspend (£0.035m). The NPH overspend is made of underspends for improvement to homes (£0.523m) and information and communication technology (£0.105m) offset by a spend brought forward from 2019/20 budget for improvement to environment (£0.663m). It is proposed that the £0.035m overspend is carried forward into 2019/20 to offset against the NPH managed schemes budget for 2019/20.
- 3.5.3 Further details are provided in **appendix 7**.
- 3.5.4 **Table 6** below shows the proposed funding of the HRA capital programme for 2018/19.

Table 6 Financing of HRA capital programme 2018/19	HRA £m
Capital receipts	5.021
Major repairs reserve	11.615
Revenue financing	4.698
Borrowing	3.985
Total	25.319

- 3.5.5 Any HRA capital resources becoming available as a result of the underspend and the next revision of the 30-year business plan will be allocated to priority improvements and/or new provision.
- 3.5.6 The carry forward schemes will be incorporated into the 2019/20 agreed capital programme and monthly monitoring processes.

3.6 Northampton Partnership Homes (NPH) outturn

- 3.6.1 The NPH outturn for the year 2018/19 is a £0.388m underspend on the total management fee (general fund overspend £0.080m offset by HRA underspend £0.468m). In accordance with the management agreement, this is adjusted back into the retained HRA in 2018/19 to be reinvested in the HRA stock.

3.7 Choices (options)

- 3.7.1 Cabinet is invited to note the report and the explanations of the actual outturn on controllable income and expenditure for the general fund, HRA, capital programme and NPH.
- 3.7.2 Cabinet is asked to approve the movements in the general fund and HRA reserves.
- 3.7.3 Cabinet is asked to approve the capital and revenue budgets to be carried forward to 2019/20.
- 3.7.4 In determining the recommendations set out in the report the Chief Finance Officer and Corporate Management Board, in conjunction with the appropriate Cabinet Member, have considered the options open to the Council. The recommendations made ensure the Council:
- continues to support its capital programme projects by seeing them to completion,
 - manages its financial/service risks through the creation of appropriate reserves,
 - supports NPH by reinvesting unspent monies.

4. Implications (including financial implications)

4.1 Policy

- 4.1.1. Actual outturn impacts upon the level of reserves.

4.2 Resources and risk

- 4.2.1 This report informs Cabinet of the outturn for the general fund, Housing Revenue Account (HRA), capital programme and NPH for 2018/19. The impact of individual outturn variances needs to be assessed against current and future years' budgets.

4.3 Legal

- 4.3.1 There are no specific legal implications arising from this report.

4.4 Equality and health

- 4.4.1 There are no specific equality and health implications arising from this report.

4.5 Consultees (internal and external)

4.5.1 Chief Executive and Heads of Service have been consulted.

4.6 How the proposals deliver priority outcomes

4.6.1 Annual outturn reporting contributes to the priority of delivering value for money to protect local services by sustaining effective and prudent financial management.

4.7 Appendices

4.7.1 The Appendices are set out as follows:

1. General fund revenue budget outturn 2018/19
2. General fund carry forward requests 2018/19
3. General fund earmarked reserves movements 2018/19
4. General fund capital programme outturn and carry forwards 2018/19
5. Summary of HRA outturn position 2018/19
6. Summary of HRA earmarked reserves and balances 2018/19
7. HRA capital programme outturn and carry forwards 2018/19

5. Background Papers

5.1 Cabinet Reports – Budget setting and budget monitoring throughout 2018/19

Stuart McGregor

Chief Finance Officer (Section 151 Officer)

General fund revenue budget - service budget outturn position 2018/19

Key

"(-)" figure denotes a budget under spend or an income budget

"+" figure denotes a budget overspend or an expenditure budget

Service area	2018/19 revised budget £000	2018/19 outturn £000	2018/19 outturn variance £000	Commentary
Customers & Communities Head of Service Area				
Leisure Contract	9	62	53	Shortfall in income due to delay in signing lease agreement with the Leisure Trust.
Call Care	84	2	-83	Underspend due to some posts being vacant for part of the year.
Head of Customer & Cultural Services	221	242	22	
Customer Services	512	462	-50	Underspend due to some posts being vacant for part of the year.
Licensing	-268	-226	42	Shortfall in income due to the prior year's receipt-in-advance not taking in to account three year licences.
Head of Partnership Support	0	0	0	
Pest Control	1	1	0	
Commercial Services	257	263	6	
Environmental Protection	396	375	-21	Underspend due to a higher than anticipated level of cost recovery on local authority funerals and lower than anticipated expenditure on stray dog collection and kennelling.
Digital Team	302	277	-25	Underspend due to some posts being vacant for part of the year.
Environmental Services Contract	44	503	460	Additional costs in relation to ad hoc works and additional legal costs in relation to disputes around the old contract. These pressures were offset slightly by performance deductions in relation to the old contract.
Parks & Open Spaces and Neighbourhood Wardens	599	832	232	Loss of recharge income as grounds maintenance of Northampton Partnership Homes (NPH) managed properties since June 2018 is now being carried out under a new contract procured directly by NPH. This has been addressed in the budget for 2019/20
Environmental Services	-249	-122	127	Overspend due to higher electricity costs than expected for the westbridge site and a reduction in business rates income. In addition there was less income from recharges to EMS (contractor) and Veolia (contractor) than forecast in relation to premises costs and a loss of rechargeable income from NPH. Both of these have been addressed in the budget for 2019/20.
Environmental Services Contract 2018	10,582	10,307	-275	Additional costs in relation to the risk share payment mechanism reflecting lower sales proceeds of recycled materials. Additional costs due to purchase of refuse sacks which were incorrectly budgeted for under capital. These pressures were offset by the core contract being over budgeted and some variable elements of the core contract coming out under budget.
Total Customers & Communities Head of Service Area	12,492	12,980	488	
Chief Executive Service Area				
Chief Executive	463	381	-82	Chief Executive post vacant at beginning of year and senior management restructure generated more savings than budgeted.
Communications	160	149	-10	
Old Director codes	298	237	-61	Costs of old Director posts prior to the in-year senior management restructure. Underspend due to vacancies in these posts.
Total Chief Executive Service Area	921	767	-153	
Chief Finance Officer Head of Service Area				
Audit	226	270	44	Additional external audit costs in relation to 2016/17 and 2017/18 high risk audit.
Non Distributed Costs	5,141	5,136	-5	
Chief Finance Officer	106	108	2	
Corporate Finance	77	48	-28	Estimated budget for costs incurred due to change in working hours greater than actual cost.
Emergency Planning	52	57	5	
Human Resources	293	294	1	
Health & Safety	14	21	7	
Benefits	-1,027	-1,034	-7	There was a pressure relating to subsidy loss resulting from the increased demand in temporary accommodation. This is offset by an underspend on rent allowances due to increased recovery rates.
Revenues	-913	-967	-54	
Local Government Shared Service	5,301	5,171	-129	Underspend due to new insurance premiums being cheaper than anticipated at the start of the year.
Information Technology	1,002	1,002	0	
Governance	288	350	63	Mainly due to costs incurred in relation to changes in the department structure.
Total Chief Finance Officer Head of Service Area	10,559	10,457	-102	

Service area	2018/19 revised budget £000	2018/19 outturn £000	2018/19 outturn variance £000	Commentary
Economy, Assets & Culture Head of Service Area				
Events	249	220	-29	Underspend on materials and some additional income.
Museums and Arts	1,021	1,016	-5	
CCTV	146	152	6	
Town Centre Management	40	35	-5	
Car Parking	-2,462	-2,725	-263	Small overspends on employee costs, repairs and maintenance to equipment, and security costs. Offset by underspends on reduced electricity costs, and building cleaning - this cost will roll forward to 2019/20.
Bus Station	157	155	-1	
Asset Management	1,202	1,579	377	The majority of the overspend relates to vacant posts being covered by interims and valuation worked being carried out by external companies, and additional planned maintenance costs mainly in relation to water hygiene measures at the Racecourse. There are other smaller overspends on street nameplates and street lights and on professional fees in relation to flood management and fire risk assessments. These overspends are partially offset by no longer paying a management fee for westbridge depot due to new environmental services contract and reduction in income for business rates reviews and recovery of surveyors fees.
Other Buildings & Land	-2,143	-2,140	3	
Facilities Management	1,479	1,359	-120	The underspend is mainly due to the post room as a result of savings on vacant posts; savings on postage costs due to a reduction in post sent by the Authority over recent years; and additional income which was due to missed recharge to LGSS for postage for 2017/18 raised in the year. This was partially offset by an overspend on the Guildhall as a result of an overspend on fixtures and fittings for making good the Great Hall and Court Room after a security upgrade; and an under achievement of income due to loss of wedding bookings due to scaffolding outside Guildhall and unable to lease office space, and loss of Christmas party income as this is now run by an outside body.
Markets	26	77	50	Income shortfall due to occupancy being less than anticipated.
Head of Economic Development and Regeneration	104	118	13	Additional costs due to interim cover of vacant post.
Programmes & Enterprise	1,117	1,271	154	Underspend on Business Incentive Scheme; miscellaneous costs for Upton Country Park before commencement of S106 funded Capital scheme; saving on Enterprise Zone (EZ) due to some posts not being filled this financial year; underspend on employees mainly due to recharge to EZ; overspend due to 100% Bad Debt Provision for invoice raised to University of Northampton for Vulcan works, unlikely to be paid
Total Economy, Assets & Culture Head of Service Area	936	1,118	181	
Housing & Wellbeing Head of Service Area				
Community Safety	345	360	15	Various minor variances culminating in a small overspend against budget.
Policy	6	3	-3	Various minor variances culminating in a small underspend against budget.
Community and Other Grants	1,115	1,065	-50	Some underspends relating to S137 Local Govt Act 1972 and the Councillor Community Fund are expected to be spent in 2019/20 so are included in the requests to carry budget forward.
Community Developments	13	4	-9	Various minor variances culminating in a small underspend against budget.
Community Centres	53	11	-42	Underspend relating to St Crispin Community Centre - expected to be spent in 2019/20 so included in the requests to carry budget forward.
Housing Options & Advice	672	1,818	1,145	Overspend due to the increased demand in temporary accommodation and the associated increased charge in bad debt provision - this is consistent with reporting during the year. This is partially offset by additional Homelessness Grants issued during March 2019 by Central Government. Additional overspend due to Night Shelter costs from September being unfunded in year. Also employee/agency additional costs partially offset by grant funding/income.
Head of Housing and Wellbeing	139	67	-71	Management Recharge to Housing Revenue Account (HRA)
Travellers Sites	33	163	130	Recharges from NPH higher due to increase in utilities costs being incurred and additional smart meters have been installed.
Private Sector Housing	223	399	176	Under achievement of civil penalty income. Partially offset by a saving due to the later than planned recruitment of the extra Housing Enforcement Officers across Private Sector Housing. Additional overspend due to reduction in capital spend on Disabled Facilities Grants (DFG's) resulting in reduced administration fee income.
Housing Strategy & Wellbeing	137	81	-56	Agency & Temp budget saving offset by small minor variances.
Total Housing & Wellbeing Head of Service Area	2,734	3,969	1,235	

Service area	2018/19 revised budget £000	2018/19 outturn £000	2018/19 outturn variance £000	Commentary
Borough Secretary Head of Service Area				
Civic and Mayoral Expenses	101	101	0	
Overview & Scrutiny	49	36	-13	
Councillor & Managerial Support	518	528	10	
Electorate Services	333	256	-77	Reduced postage costs and unbudgeted IER income.
Legal	1,275	1,155	-120	Vacancies in the Legal Team
Democratic Services	203	179	-24	Vacant position and underspend on printing and organisational subscriptions.
Total Borough Secretary Head of Service Area	2,480	2,256	-225	
Planning Head of Service Area				
Land Charges	-44	-67	-22	Some additional income, and minor underspends on employee costs and supplies & services.
Building Control	2	-14	-16	Underspends over various supplies and services budgets, and some additional income.
Development Control	-255	-461	-206	Mainly due to additional Planning Income; savings on vacant posts; savings on professional services which is demand led; and a charge for bad debt provision.
Head of Planning	129	126	-3	
Joint Planning Unit	38	40	1	
Planning Policy & Heritage	743	491	-252	Main variations relate to vacant posts in Planning Policy, underspend on Local Plan Part 2, 3 associated Supplementary Planning Documents and new Article 4 Direction works. This has been requested to be carry forward for work to be carried during 2019/20. Additional smaller underspend on conservation due to works relating to Battlefields not started yet.
Bus Service Contribution	0	0	0	
Total Planning Head of Service Area	613	115	-497	
Total Controllable Service Budgets	30,735	31,662	927	
Corporate Budgets				
Debt Financing	233	38	-195	Greater interest income due to cash balances remaining higher and an interest rate rise factored in
Use of reserves to support Homelessness and Temporary Accommodation	0	0	0	Earlier in the year it was anticipated that some budget that was due to be contributed to reserves for future temporary accommodation pressures would be used in year as pressure had materialised in year. However, at the end of the year, based on the overall position, it was decided that this budget was not required to be released.
Total Corporate Budgets	233	38	-195	
Total	30,968	31,700	732	

General Fund Revenue Carry Forward Requests

Head of Service	Title	Justification	Amount carried forward from 2018/19	New budget carry forwards requested	Total to carry forward into 2019/20
Customers & Community	Universal Credit	To carry forward funding to support the implementation of Welfare Reform full service. The service was due to go live from Jun 2017 but has been delayed but the Government until Nov 2018.	25,000	0	25,000
Customers & Community	HSE Investigation	To cover expected charges from HSE in relation to their investigation of a fatality on a refuse collection round.	16,300	0	16,300
Economy, Assets & Culture	Business Incentive Scheme	Grant applications approved by the Business Incentive Scheme Board	76,866	9,700	86,566
Economy, Assets & Culture	MSCP Cleaning	The cleaning contract for the multi storey car parks (MSCP) is currently out to tender with the interim contractors undertaking the cleaning until 31 May 2019 and the new contractor should commence 1 June 2019.	0	11,264	11,264
Housing & Wellbeing	Small Grants	Due to the timing of the Small Grants Panel, there is still another two panel dates before the end of the grant period. Should it be agreed that the funding be carried forward, the remainder of the funding will be allocated during the next two panel dates in April and July 2019.	0	31,481	31,481
Housing & Wellbeing	St Crispins	The funding is being carried forward to pay toward the tapering grant, set out in the management agreement to Community Spaces Northampton. The funding has not been paid yet due to the lease not being finalised. This is expected to happen imminently.	0	41,488	41,488
Housing & Wellbeing	Cllr Community Fund	the fund is allocated over the cycle of an election period. Many Councillors make the decision to build up their funding during this period. This enables them to fund projects that have a larger impact on their community in their neighbourhood area.	38,965	5,021	43,986
Planning	JPU - Local Plan	These funds need to be carried forward again because it was necessary to put in place arrangements to facilitate the production of a West Northamptonshire Strategic Plan to replace the Joint Core Strategy. The carry forward will need to be spent in 2019/20 to ensure that the Strategic Plan is progressed in order to meet the new requirement to review local plans every five years which means that the JCS will be considered "out of date" by December 2019, and will be given less weight in determining planning applications.	122,100	0	122,100
Planning	Planning Policy	This underspend needs to be carried forward in order to fund production of the Local Plan Part 2 and three associated Supplementary Planning Documents and potentially a new Article 4 Direction concerning the regulation of houses in multiple occupation.	114,000	197,840	311,840
Planning	Neighbourhood Planning	Funds are required to enable the Council to meet its statutory duties in relation to neighbourhood planning including supporting neighbourhood forums to prepare their neighbourhood plans, ensuring legal compliance, and meeting publicity and administration costs.	26,920	0	26,920
Planning	Conservation Area Article 4 Advertising	This figure is required to cover the advertising for Conservation Area Appraisals and associated Article 4 Directions which were expected to take place in 2018/19 but had to be rescheduled to 2019/20 because of the pressure of other work including major projects.	0	5,000	5,000
Totals			420,151	301,794	721,945

General Fund Earmarked Reserve Movements 2018/19

Appendix 3

Earmarked Reserves	Opening balance April 2018 £m	Realignment in year £m	Additions to reserves 2018/19 £m	Use of Reserves 2018/19 £m	Balance at 31 March 2019 £m
Service specific reserves	1.825	(0.082)	0.284	(0.383)	1.644
Corporate: Delivering the Efficiency Plan	2.000	0.000	0.000	(0.217)	1.783
Corporate: MTFP Cashflow	4.751	(3.171)	1.765	(2.221)	1.123
Corporate: Budget Carry Forwards	0.531	0.000	0.302	(0.111)	0.722
Corporate: Sixfields Recovery Reserve	0.000	5.000	0.000	0.000	5.000
Corporate: ES capital financing	10.000	0.000	0.000	(1.000)	9.000
Other Corporate Reserves	0.879	0.000	0.000	(0.156)	0.723
Technical: Insurance Reserve	1.179	0.000	0.000	(0.302)	0.877
Technical: Rates Retention Deficit Funding	3.411	0.000	0.760	0.000	4.170
Other Technical Reserves	0.247	(0.247)	0.000	0.000	0.000
Total general fund reserves	24.822	1.500	3.111	(4.389)	25.044

General fund capital programme outturn 2018/19

Scheme code	Scheme description	Original budget 2018/19 £000's	Budget changes/carry forwards from 17/18 £000's	Final approved budget 2018/19 £000's	Outturn 2018/19 £000's	Expected carry forward
BA215	Moulton Athletic Track	-	33,800	33,800	33,765	36
BA216	Central Museum Development	5,198,000	- 3,614,500	1,583,500	1,584,532	- 1,032
BA220	St Crispins Community Centre	-	125,625	125,625	107,142	18,483
BA221	Vulcan Works	477,000	398,331	875,331	860,261	15,070
BA236	Car Park Lifts	560,000	73,654	633,654	66,344	567,310
BA240	Abington Park Museum - Renewal of Displays	-	56,635	56,635	56,635	-
BA242	Mounts Baths 'Changing Village'	-	160,067	160,067	152,682	7,385
BA244	St James Mill Link Road	1,260,000	- 1,148,000	112,000	114,272	- 2,272
BA253	Horizon Park	525,000	- 525,000	-	-	-
BA262	Upton Country Park	-	101,000	101,000	101,000	-
BA645	Hardingstone Play Area - additional play equipment	-	40,000	40,000	30,605	9,395
BA652	Visitor Signage in Town Centre	-	68,341	68,341	37,796	30,545
BA653	Delapre Abbey Restoration	-	291,849	291,849	224,734	67,115
BA671	Heritage Gateway	50,000	14,630	64,630	4,235	60,395
BA672	Capital Improvements - Regeneration Areas	267,000	49,882	316,882	33,872	283,010
BA674	Operational Buildings - Enhancements	250,000	445,597	695,597	366,111	329,486
BA675	Commercial Landlord Responsibilities	50,000	- 15,615	34,385	24,939	9,446
BA687	St Peters Waterside	956,000	- 956,261	- 261	- 17,394	17,133
BA889	Mayorhold Drainage Works	-	117,710	117,710	113,873	3,837
Economy, Assets and Culture		9,593,000	- 4,282,255	5,310,745	3,895,404	1,415,342
BA165	Corporate EDRMS	25,000	16,244	41,244	38,208	3,036
BA257	ES Vehicles	10,960,000	301,000	11,261,000	8,290,000	2,971,000
BA258	Westbridge Depot Improvements	450,000	-	450,000	-	450,000
BA263	Parks / Allotments / Cemeteries Enhancements funded by s106 and other external funding	-	275,422	275,422	85,298	190,124
BA673	Parks / Allotments / Cemeteries Enhancements Corporate Block Funding	250,000	-	250,000	180,764	69,236
BA259	Femie Fields Stadium	180,000	-	180,000	20,000	160,000
Customers & Communities		11,865,000	592,666	12,457,666	8,614,270	3,843,396
BA207	ICT Improvement / Refresh	150,000	- 25,236	124,764	136,452	- 11,688
BA254	Revenues and Benefits Capital Investments	207,000	11,840	218,840	64,550	154,290
Chief Finance Officer		357,000	- 13,396	343,604	201,002	142,602
BA264	78 Demgate	-	200,000	200,000	10,000	190,000
BA255	IT Tablets - Elections	13,200	-	13,200	12,180	1,020
Borough Secretary		13,200	200,000	213,200	22,180	191,020
BK015	DFG's Owner Occupiers	1,475,000	179,150	1,654,150	1,283,000	371,150
Housing and Wellbeing		1,475,000	179,150	1,654,150	1,283,000	371,150
Total GF Approved Programme		23,303,200	- 3,323,835	19,979,365	14,015,855	5,963,510

Summary of Housing Revenue Account (HRA) outturn position 2018/19

Key

"(") figure denotes a budget underspend or an income budget

"+" figure denotes a budget overspend or an expenditure budget

Summary HRA	2018/19	2018/19	2018/19	(Under) /
	revised budget	projected outturn as at period 10	outturn	over spend
	£000	£000	£000	£000
Rents - dwellings only	(48,794)	(48,805)	(48,945)	(151)
Rents - non dwellings only	(1,078)	(1,047)	(1,045)	33
Service charges	(2,226)	(2,282)	(2,503)	(277)
Other income	(4)	5	3	7
Repairs and maintenance	14,062	14,023	13,910	(152)
General management	8,166	8,049	8,250	84
Special services	4,276	4,015	3,990	(285)
Rents, rates, taxes and other charges	289	289	245	(45)
Increase in bad debt provision	600	300	502	(98)
Rent rebate subsidy deductions	0	0	0	0
Total within budget managers control	(24,710)	(25,452)	(25,594)	(884)
Capital charges	9,389	9,389	11,615	2,226
Interest and financing	6,536	6,536	6,161	(375)
Revenue contributions to capital	5,363	5,363	4,698	(665)
Net support service recharges	2,500	2,500	2,500	0
Technical accounting adjustments	23,788	23,788	24,974	1,186
HRA net expenditure 2018/2019	(922)	(1,664)	(620)	302
Net contribution to/(from) reserves	922	1,664	620	(302)
Housing Revenue Account deficit/ (surplus)	0	0	0	0
Working balance b/fwd	5,000	5,000	5,000	0
Working balance c/fwd	5,000	5,000	5,000	0

Summary of HRA earmarked reserves 2018/19

Summary	Balance b/f 1 Apr 2018 £000	Reallocated £000	Earmarked in year £000	Applied in year £000	Unearmarked in year £000	Balance c/f 31 Mar 2019 £000
HRA reserves	(6,968)	0	0	(620)	0	(7,588)
HRA leaseholder reserve	(500)	0	0	0	0	(500)
HRA service improvement reserve	(1,000)	0	0	0	0	(1,000)
HRA insurance reserve	(300)	0	0	0	0	(300)
Total HRA earmarked reserves	(8,768)	0	0	(620)	0	(9,388)
Minimum level of HRA reserves	(5,000)	0	0	0	0	(5,000)
Total HRA reserves	(13,768)	0	0	(620)	0	(14,388)

HRA capital programme 2018/19 - outturn and carry forwards

Cost centre	Scheme title	A Approved budget £000	B Actual £000	C=B-A Overspend/ (underspend) £000	D Requested carry forward £000	E=C+D (Saving)/ overspend £000	Reason for variance/requested carry forward
BH370	Buybacks / spot purchases	500	90	(410)	410	0	Drayton Walk completed. Remainder of budget earmarked for Kings Heath Baptist Church site acquisition (subject to Cabinet approval). Likely to complete in 2019/20
BH801	NPH capital - managed budget improvement to homes	21,596	21,103	(493)	523	30	Slippage on Toms Close £181k, Farmfield Court (Tanners Pub) £952k and Camp Hill Neighbourhood Investment £122k, offset by advance spend on Component Works £368k, Thorplands Neighbourhood Investment £307k and New Build Eastfield Schemes of £189k.
BH802	NPH capital - managed budget improvement to environment	3,086	3,749	663	(663)	0	Due to accelerated works, budget was brought forward from the 2019/20 programme. Remaining open orders are for works to be completed in 2019/20 including car parking areas and neighbourhood environmental and landscaping works
BH803	NPH capital - ITC	512	377	(135)	105	(30)	Forecast underspend on Open Housing Upgrade of £30k. £105k Carry forward on various IT related schemes.
Total HRA		25,694	25,319	(375)	375	0	