



**Meeting:** North Northamptonshire Shadow Executive Committee

**Date:** Thursday 26th November 2020

**Time:** 7:00 pm

**Venue:** Virtual meeting via Zoom

**Committee Membership:**

Councillors Roberts (Chair), Griffiths, Addison, Beattie,  
W Brackenbury, Jelley, D Jenney, North, Partridge-Underwood, Smithers (Vice-Chair)

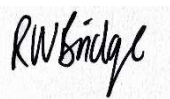
Members of the Committee are invited to attend the above meeting to consider the items of business listed on the agenda.

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Item	🔑	Subject	Officer Presenting Report	Page No
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02		Notification of requests to address the meeting		-
03		Members' Declarations of Interest		-
04		Minutes of the meeting held on 29 October 2020		5 - 10
<b>Items requiring a decision</b>				
05		Programme Governance Structure	Lisa Hyde	11 - 20
06		Programme Status <ul style="list-style-type: none"> <li>• Director of Transformation's Report</li> <li>• Day 1 Readiness</li> <li>• Financial Monitoring</li> </ul>	Lisa Hyde / Glenn Hammons	21 - 44
07		Blue Print – Change Request Process <i>To set out and approve the Change Request Process for the North Northamptonshire Blueprint and the required changes to the current blueprint.</i>	Lisa Hyde	45 - 58

08	Task & Finish Group Updates <ul style="list-style-type: none"> <li>Civic Functions- <i>Recommendations on future civic and ceremonial arrangements for the new Council.</i></li> </ul>	Martin Hammond	59 - 64
09	Assets, Capital Schemes & Reserves Notifications <ul style="list-style-type: none"> <li>Chester Farm- <i>To notify changes to the financing arrangements of the Chester Farm project as recently determined by NCC</i></li> </ul>	Kerry Purnell	65 - 80
010	Appointment of Auditors <i>To appoint external auditors for the year 2021/2022</i>	Glenn Hammons	81- 88
011	Development of proposals for the Senior Leadership Structure <i>To agree the Senior Leadership structure and ratify selection processes</i>	Rob Bridge	89 - 104
012	Health, Safety & Wellbeing Policy <i>To approve a Health &amp; Safety policy to meet the legal requirement under the Health and Safety at Work Act</i>	Martin Cox	105-120
013	Logos & Branding Audit - <i>To agree the form, use and roll out of the Council's branding and logo</i> <ul style="list-style-type: none"> <li>a) Logo/Visual Identity</li> <li>b) Visual Identity Branding</li> </ul>	Martin Cox	121-134 135-140
<b>Exempt Items</b>			
014	None notified		
<b>Urgent Items</b>			
015	To consider any items of business of which notice has been given to the Proper Officer prior to the meeting of the Shadow Executive and the Chairman considers to be urgent pursuant to the LGA 1972.		
016	Close of Meeting		
	Rob Bridge, Head of Paid Service, North Northamptonshire Shadow Authority    <b>Proper Officer</b> <b>18<sup>th</sup> November 2020</b>		

## Virtual Meetings

During the current Covid-19 pandemic, meetings of the Shadow Authority will be conducted via Zoom as virtual meetings. Those meetings which are normally accessible to the public will be live-streamed on YouTube at -

[https://www.youtube.com/channel/UCcH\\_JAaHaMtgHDeMQEVXi2g/videos](https://www.youtube.com/channel/UCcH_JAaHaMtgHDeMQEVXi2g/videos)

Where there is a need for the Authority to discuss exempt or confidential business, the press and public will be excluded from those parts of the meeting only and will be unable to view proceedings.

## Public Participation

The Shadow Authority has approved procedures for you to present petitions or request to address meetings of the Authority.

ITEM	NARRATIVE	DEADLINE									
Members of the Public Questions	Questions may be submitted by members of the Public to meetings of the committee. The question must be in writing and submitted 2 clear working days prior to the meeting. There are no supplementary questions permitted, and no debate on questions or answers. A period of 30 minutes (Chair's Discretion) is allocated for Public Questions.	5:00 pm Monday 23 <sup>rd</sup> November 2020									
Members of the Public Agenda Statements	Members of the Public may make statements at meetings in relation to reports on the agenda. A request to address the committee must be received 2 clear working days prior to the meeting. The member of the Public has a maximum of 3 minutes to address the committee. A period of 30 minutes (Chair's Discretion) is allocated for Public Statements.	5:00 pm Monday 23 <sup>rd</sup> November 2020									
Other Shadow Members Questions	Written questions of up to 50 words maximum permitted. To be received at least 2 clear working days prior to the meeting. Chair's discretion on supplementary question. A period of 30 minutes (Chair's Discretion) is allocated for Other Shadow Members Questions.	5:00 pm Monday 23 <sup>rd</sup> November 2020									
Other Shadow Members Agenda Statements	Other Shadow Members may make statements at meetings in relation to reports on the agenda. A request to address the committee must be received 2 clear working days prior to the meeting. The Shadow Member has a maximum of 3 minutes to address the committee. A period of 30 minutes (Chair's Discretion) is allocated for Shadow Member Statements.	5:00 pm Monday 23 <sup>rd</sup> November 2020									
Members of the Public Petitions	<p>Anyone who lives, works or studies in North Northamptonshire may submit a petition to the Shadow Authority. Depending on the size of your petition it will be responded to as follows:-</p> <table border="1"> <thead> <tr> <th>Category</th> <th>Signatory Threshold</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>Petition which triggers a debate</td> <td>1,500 +</td> <td>Any petition with 1,500 or more signatures will trigger a debate at a Full Authority meeting</td> </tr> <tr> <td>Petition which calls an officer to account</td> <td>750 – 1,499</td> <td>Any petition with 750 – 1,499 signatures will summon a senior officer of the Authority to give evidence at a public Authority meeting</td> </tr> </tbody> </table>	Category	Signatory Threshold	Description	Petition which triggers a debate	1,500 +	Any petition with 1,500 or more signatures will trigger a debate at a Full Authority meeting	Petition which calls an officer to account	750 – 1,499	Any petition with 750 – 1,499 signatures will summon a senior officer of the Authority to give evidence at a public Authority meeting	
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	Standard Petition	5 – 749	Any petition with 5 – 749 signatures will be referred to a senior officer of the Authority to provide a response	
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These procedures are included within the Shadow Authority’s Constitution. Please contact [democraticservices@northnorthants.gov.uk](mailto:democraticservices@northnorthants.gov.uk) for more information.

**Members’ Declarations of Interest**

Members are reminded of their duty to ensure they abide by the approved Member Code of Conduct whilst undertaking their role as a Shadow Councillor. Where a matter arises at a meeting which **relates to** a Disclosable Pecuniary Interest, you must declare the interest, not participate in any discussion or vote on the matter and must not remain in the room unless granted a dispensation.

Where a matter arises at a meeting which **relates to** other Registerable Interests, you must declare the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting but must not take part in any vote on the matter unless you have been granted a dispensation.

Where a matter arises at a meeting which **relates to** your own financial interest (and is not a Disclosable Pecuniary Interest) or **relates to** a financial interest of a relative, friend or close associate, you must disclose the interest and not vote on the matter unless granted a dispensation. You may speak on the matter only if members of the public are also allowed to speak at the meeting.

Members are reminded that they should continue to adhere to the Authority’s approved rules and protocols during the conduct of meetings. These are contained in the Authority’s approved Constitution.

If Members have any queries as to whether a Declaration of Interest should be made please contact the Interim Monitoring Officer at –

[MartinHammond@kettering.gov.uk](mailto:MartinHammond@kettering.gov.uk)

**Press & Media Enquiries**

Any press or media enquiries should be directed through the Authority’s Communications Team to [futurenorthants@northamptonshire.gov.uk](mailto:futurenorthants@northamptonshire.gov.uk)

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## North Northamptonshire Shadow Executive Committee

At 7:00 pm on Thursday 29<sup>th</sup> October 2020

Held as a virtual meeting via Zoom

### Present:-

#### Shadow Members

Councillor R Roberts (Leader of the  
Shadow Authority and Chair)  
Councillor T Beattie  
Councillor D Jenney

Councillor M Griffiths  
Councillor S North  
Councillor J Smithers  
Councillor W Brackenbury

#### Officers

G Soulsby – Interim Chief Executive  
P Helsby – Programme Director  
L Hyde – Director of Transformation  
K Jones – Future Northants Programme  
B Smith – North Northamptonshire  
Democratic Services  
F McHugo - North Northamptonshire  
Democratic Services

M Hammond – Interim Monitoring Officer  
G Hammons – Interim Chief Finance Officer  
R Ellis- ICT and Customer & Digital  
Programme Lead  
A Longley- North Northamptonshire Joint  
Planning Unit  
J Conway- Kettering BC  
C Hohn- Kettering BC  
R Harris- Public Health, NCC

### 1. Apologies for Absence

Apologies were received from Councillor J Addison, Councillor I Jelley, Councillor T Partridge-Underwood.

### 2. Election of Deputy Leader

The Chair thanked Cllr Martin Griffiths for all his contributions as Deputy Leader to the North Northamptonshire Shadow Authority. It was stated that following the resignation and creation of a vacancy, in accordance with the Northamptonshire (Structural Changes) Order 2020, the Shadow Executive must elect a new deputy leader from among the members of the executive. One nomination had been received for Cllr J Smithers.

The nomination was MOVED by Cllr W Brackenbury and SECONDED by Cllr D Jenney.

Cllr J Smithers accepted the nomination and thanked the outgoing Deputy Leader for his contributions. Cllr Smithers commented that he looked forward to working with the Executive and the wider membership of the shadow authority going forward.

### RESOLVED that:-

- (i) Cllr J Smithers be duly appointed as the new Deputy Leader for North Northamptonshire Shadow Authority.

### **3. Notification of requests to address the meeting**

The Chair informed the meeting that no requests to address the meeting were received.

### **4. Members' Declarations of Interest**

No declarations of interest were declared.

### **5. Minutes of the meeting held on 24<sup>th</sup> September 2020**

The draft minutes of the Shadow Executive Committee meeting held on 24<sup>th</sup> September 2020 had been circulated.

Councillor J Smithers MOVED and Councillor W Brackenbury SECONDED that the minutes be approved as a correct record.

#### **RESOLVED that:-**

- (ii) The minutes of the Shadow Executive Committee meeting held on 24<sup>th</sup> September 2020 be approved as a correct record and signed by the Chair.

### **6. Programme Director's Update**

The Chair thanked Mr Helsby for his work on the programme and wished him well in his retirement.

A copy of the Programme Director's report and status summary for October 2020 had been circulated to the Committee. The report provided details of progress made towards the creation of the new unitary council on Vesting Day.

In relation to the Programme Status Summary, it was noted that the Corporate, Children's and Adult's programmes were indicating as AMBER. The Children's Programme was on track to go live on 1 November and awaiting crucial sign-offs from government bodies. In relation to the Corporate Programme, it had not yet reached GREEN going into November. The new model for Adult's Services went live on 19 October and this is expected to move to GREEN for November.

The Programme Director updated the Committee on Level-Critical products. No items had been flagged as BLUE where implementation was missed. Business systems flagged as RED for potential GDPR concerns, progress on data sharing agreements was underway to mitigate this. Corporate areas such as staff transfer, contract transfer and lead and hosted agreements were flagged as YELLOW for an increased watch.

It was noted that the Communications & Engagement Programme would focus on the 100 days to vesting day, to broadly share information and provide reassurance.

The Future Northants Finance Monitoring Report had also been circulated to the Committee. Mr Hammons introduced the latest financial forecast for the Future Northants Programme and highlighted that the forecast £22.7 million was expected to meet budget target. The

forecasted benefit realisation of £14.5 million has seen a rough slippage of £400k and will reach £14.1million in benefit realisation by end of the financial year. Mr Hammons stated that the slippage had occurred due to reprofiling of the savings in the Adult's and Children's programmes as a result of the pandemic.

Since the last report there had been a £52k improvement in the variance. Ongoing risks to the outturn forecast for the year were identified to include the ongoing pandemic and speed of local economic recovery. The position would be kept under review.

Mr Hammons reminded members that £35 million of the target £80 million had already been delivered by the programme, with a further £14 million to be delivered during the current financial year. A further £35 million has been forecast to be delivered post Vesting Day, equalling a total of over £84 million in savings delivered by the Future Northants Programme.

Mr Hammons shared that the November report update would also provide members with an update on the financial position of all 5 sovereign councils.

Councillor M Griffiths MOVED and Councillor J Smithers SECONDED the recommendations.

**RESOLVED that:-**

- (i) The high-level Programme Delivery Status be noted;
- (ii) The update on Change Readiness and Change Champion recruitment be noted;
- (iii) The Communication and Engagement update be noted; and
- (iv) The Finance Monitoring report be noted.

**7. Customer Services Opening Hours**

Mr Ellis introduced the report. The report detailed a proposal to harmonise opening hours across the new authority. A 4 week consultation was carried out during July and August and was supplemented by evidence of logged call volumes. A clear 9am to 5pm preference was identified and concerns over the training hour would be mitigated through shared coverage.

Councillor S North MOVED and Councillor T Beattie SECONDED the recommendation.

**RESOLVED that:-**

- (i) The North Northants Customer Services opening hours from vesting day to become 9am to 5pm, Monday to Friday.

**8. Planning for the Future White Paper**

The report before the Committee detailed the fundamental reforms proposed by the White Paper and potential implications of such reforms passing into planning law.

Mr Longley introduced the report and thanked members for their time and input throughout a series of member briefings and seminars that had taken place through the North Northamptonshire Joint Planning Unit. Proposals to digitalise the process were flagged as supported whilst Mr Longley drew attention to concerns which were set out in 5.11 of the report.

Mr Longley stated that his invitation to address the Parliamentary Select Committee would provide a further opportunity to present evidence addressing the concerns.

Councillor D Jenney expressed thanks to Mr Longley and his team on the response.

Cllr Beattie echoed the support and commended the response which was felt to be a good and accurate reflection of the views shared in seminars.

Cllr W Brackenbury gave her full support to the response and stated that the Planning White Paper would take away from democracy in planning.

Cllr M Griffiths also commended the report and commented that the NNJPU were active in achieving more than required for building and growth within the area. Cllr Griffiths suggested that support was needed to improve infrastructure to support development.

Cllr S North stressed the importance of issuing a strong and fair response and expressed concerns over local democracy and the infrastructure deficit.

Councillor S North MOVED and Councillor D Jenney SECONDED the recommendation.

**RESOLVED that:-**

- (i) The response to the Planning White Paper set out in Appendix A be agreed and submitted.

**9. North Northamptonshire Housing Allocations**

The report before Members outlined a draft housing allocation scheme for North Northamptonshire with the aim to achieve a common allocation scheme by April 2021. It provided a headline summary of the proposed scheme as well as further details on the proposed consultation and project timeline.

Mr Conway introduced the report and stated the legal requirement for local housing authorities to have a scheme in place for determining policies and procedures when allocating social housing. The aim for North Northamptonshire is to offer an integrated choice based lettings system from Day 1.

Councillor North welcomed the alignment and free movement across the new authority area. Councillor North highlighted 6.6.3 in relation to residency and was keen to ensure that border issues be addressed. Mr Conway stated that policy relating to family residence and employment would allow for consideration of cross border movement.

Cllr Beattie queried whether housing currently held by the two stockholding councils would be retained. Mr Conway replied that the report governs all social housing and no proposal was in place to change the status quo.

Councillor S North MOVED and Councillor J Smithers SECONDED the recommendations.

**RESOLVED that:-**



- (i) A six-week consultation period for a new draft housing allocation scheme for North Northamptonshire which harmonises the four existing allocation schemes into one aligned and common scheme be approved
- (ii) The aim to launch a North Northamptonshire housing allocation scheme on vesting day, 1 April 2021, which will ensure that all residents of North Northamptonshire have the opportunity to access social housing be supported by the Shadow Executive.

## 10. Health & Wellbeing Board

The report before Members set out before members proposed the establishment of two HWBB one for North Northamptonshire and another for West Northamptonshire.

Ms Harris introduced the report and stated the legal requirement for each upper tier authority to establish a HWBB. Ms Harris highlighted the benefits individual boards would have on the differing needs of the areas and integrated care partnerships. Ms Harris commented that the community and place based approach would fulfil the statutory duty of promoting integration in health, social care and the wider remits of health. Ms Harris also commented that working within the local geography would increase opportunities for greater integration with the Better Care Fund and Disabled Facilities Grants.

Councillor Griffiths expressed his support for the report and the delivery of priorities to benefit the local communities.

Councillor M Griffiths MOVED and Councillor T Beattie SECONDED the recommendations.

### **RESOLVED that:-**

The Shadow Executive:

- (i) Endorsed the establishment of a HWBB to serve North Northamptonshire (noting a similar arrangement for West Northamptonshire) ensuring each new unitary authority can deliver against the statutory duties charged to HWBBs with a place based focus.

## 11. Covid-19 Response Operating Model

The Shadow Executive Committee received a report proposing an amendment to the blueprint, to retain public health and emergency planning services on a county wide basis for the first year of each unitary. This was sought to prioritise the response to Covid-19 and allow for an effective response to any second wave of infection during the winter period. The proposal would ensure a safe and legal service is delivered for 1 April 2021.

Ms Harris introduced the report and outlined the Blueprint structure for disaggregated Public Health and Emergency Planning Services. Ms Harris commented that the risk of disaggregation could splinter the response and make the response more fragile. Ms Harris highlighted the opportunity for the two new authorities to learn from the changes and transformation occurring in the Public Health system.

Councillor W Brackenbury offered her support for the recommendations.

Councillor D Jenney sought clarification over concerns as to whether a combined response could have implications for mass lockdown measures across the county. Ms Harris outlined how the shared service could offer a flexible response in deployment of resources. Ms Harris explained that levels would be monitored on a Unitary or more local level.

T Grant explained the difficulties with predicting the transmission and changing thresholds. T Grant expressed concerns over travel between high and low tier areas. T Grant stated that there is a collective view of the pandemic county wide and decisions would be made collectively with local MPs and council leaders.

Mr G Soulsby directed the debate to consider the purpose of the report in considering the operational structure for the upcoming year.

Councillor Griffiths addressed the confusion over the report title and supported the proposal for the amendment to the Blueprint to mitigate associated risks of disaggregation during a pandemic.

Councillor M Griffiths MOVED and Councillor W Brackenbury SECONDED the recommendations.

**RESOLVED that:-**

- (i) That a hosted model for Public Health and Emergency Planning services for a one-year period be adopted.
- (ii) A wider review of service disaggregation and resource requirements to take place during 2021/22 be agreed.

**12. Exempt Items.**

There were no exempt items.

**13. Urgent Items.**

There were no urgent items.

**14. Close of Meeting**

There being no further business, the meeting closed at 8:07 pm.

**NORTH NORTHAMPTONSHIRE SHADOW AUTHORITY**  
**SHADOW EXECUTIVE COMMITTEE MEETING**

**26<sup>th</sup> November 2020**

<b>Report Title</b>	<b>Future Northants Programme Governance</b>	
<b>Report Author</b>	<b>Director of Transformation</b>	
<b>Future Northants Programme</b>	<b>Strategic Delivery</b>	
<b>Future Northants Programme Lead</b>	<b>Director of Transformation</b>	
<b>Date of final endorsement by North/Joint Implementation Boards</b>	<b>4<sup>th</sup> November 2020</b>	
<b>Date of final endorsement by North/Joint Implementation Executives</b>	<b>11<sup>th</sup> November 2020</b>	

**List of Appendices**

**Appendix A – Programme Governance diagram**

**1. Purpose of Report**

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- 1.1. To inform members of the shadow executive of the revised Future Northants Programme Governance following entering the delivery phase and the appointment of senior staff.

**2. Executive Summary**

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- 1.2. Following moving into the delivery phase of the Future Northants Programme and appointment of senior staff, the programme governance has been adjusted to reflect the need to govern and report matters relating to each of North and West Northamptonshire, while retaining Joint bodies for mutual matters such as lead authority. This paper explains the changes and the reasons.

**3. Recommendations**

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- 3.1 It is recommended that the Shadow Executive Committee:
- a) Note the contents of this report and the appendix.
  - b) Endorse the approach being taken.

### 3.2 Reason for Recommendations

- The revisions to programme governance allow North and West shadow executive members and officers to review and endorse decisions relating to delivery of their respective blueprints in addition to maintaining the current forum to review and endorse joint matters where required.

## 4. Report Background

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- 4.1 The purpose of the Joint Implementation Executive (JIE) is to provide overall strategic direction and leadership for the timely delivery of the Future Northants Programme, solely for matters that relate to both North and West Implementation Boards (NIB and WIB) via the Joint Implementation Board (JIB), with individual accountability to residents and their sovereign Councils, to a “Safe and Legal” standard with additional transformation where possible (known as “plus”).
- 4.2 The JIE meeting includes agenda sections for North and West members separately to provide that strategic direction and leadership solely for their shadow authority.
- 4.3 The Joint Implementation Board (JIB) is the forum for the West Implementation Board (WIB) and North Implementation Board (NIB) to discuss and agree mutual matters that relate to the work of the Future Northants Programme to ensure the fit-for-purpose and timely design of each Unitary Council to a “Safe and Legal” standard with additional transformation where possible (known as “plus”).
- 4.4 As above, the JIB meeting includes separate agenda sections for North and West Officers separately to discuss matters relating solely to their new authority.
- 4.5 This governance model allows the flexibility vary the time allocation between joint and distinct matters. Initially the majority of time is expected to be allocated to joint matters, but through the delivery period towards Vesting Day, the proportion of joint matters being considered will diminish in favour of North or West-specific matters, at both levels.
- 4.6 Chair of the JIE will continue to rotate between the two shadow leaders, while each of them will exclusively chair their shadow authority’s agenda section with just their members and officers.
- 4.7 Similarly, the JIB (formerly PIB) will continue to be chaired by the Strategic Delivery Director while the new Chief Executives will chair their own authority’s agenda section. Programme leads will gradually be replaced by the new authorities’ lead officers as they are recruited. The Place programme, being the most advanced in terms of separating between North and West, has already changed its programme lead from shared to North and West-specific.
- 4.8 The roles of Overview and Scrutiny committee, shadow authority and the Task and Finish groups remain as prominent as before.

- 4.9 The wider Future Northants Programme team currently supports both North and West, but will be reallocated in due course as the Directors of Transformation's structures become clear and are recruited to, to deliver transformation beyond Vesting Day.

## **5. Issues and Choices**

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- 5.1 The only alternative to the proposal described in this report would be to continue with the same governance arrangements that were created when the programme was reset earlier in the year. This "do nothing" option would not allow the flexibility needed between joint and North and West-specific matters and would eventually break, putting the programme delivery at risk.

## **6. Implications (including financial implications)**

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### **6.1 Resources and Financial**

- 6.1.1 There are no resources or financial implications arising from the proposals.

### **6.2 Legal**

- 6.2.1 The Structural Change Order includes a legal requirement to convene an Implementation Executive, which in this programme is part of the role of the JIE.

### **6.3 Risk**

- 6.3.1 There are no significant risks arising from the proposed recommendations in this report.

### **6.4 Consultation**

- 6.4.1 Consultation has not been undertaken because it is an iteration of the current programme governance, which also was not subject to consultation.

### **6.5 Consideration by Overview and Scrutiny**

- 6.5.1 This matter has not been considered by the Overview and Scrutiny Committee.

### **6.6 Environmental Impact**

- 6.6.1 There is no environmental impact from the proposals in this report.

### **6.7 Community Impact**

- 6.7.1 There is no community impact from the proposals in this report.

### **6.8 Equalities**

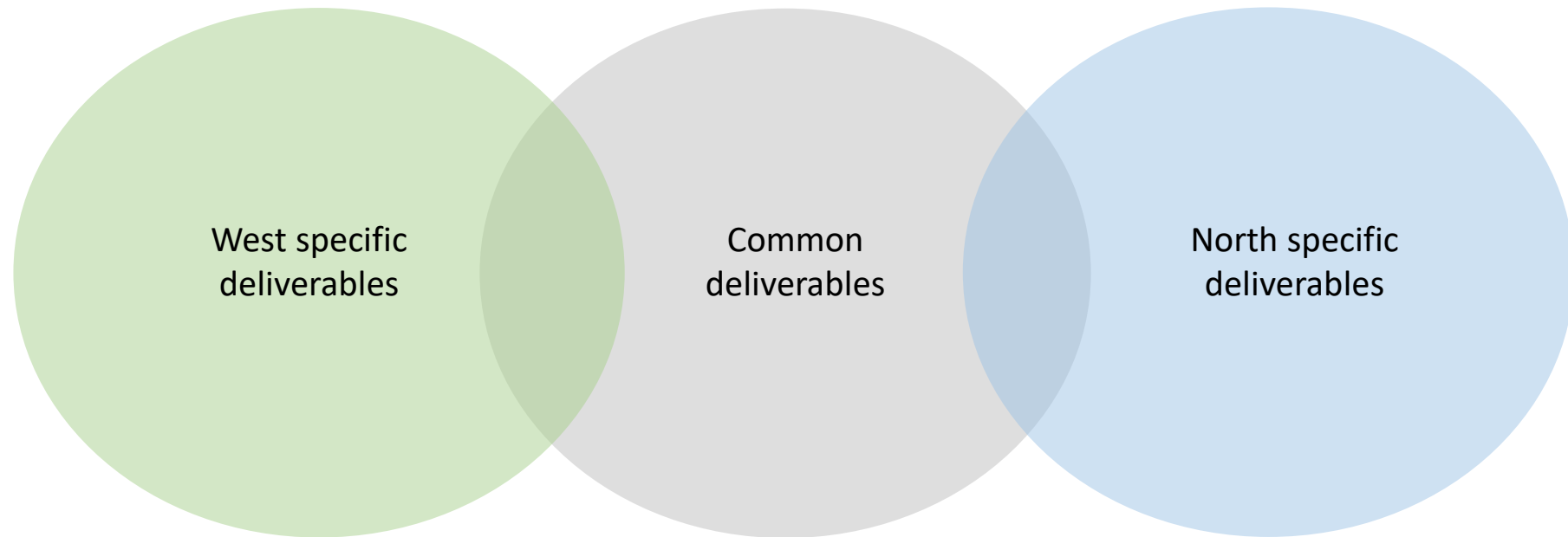
- 6.8.1 An EqIA is not needed because this proposal has no equalities impacts.

## **7. Background Papers**

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- 7.1 This proposal is an iteration of the current programme governance arrangements that have been presented to members previously.

# Future Northants Revised Programme Governance



## Scope of Activity:

1. Blueprint implementation
2. Day 1 readiness
3. Post go-live planning

# Scope of Activity

Day 1

## 1. Implementation Tasks for go live

**These are the tasks and deliverables that end at 31st March 21**  
*for e.g. staff lanyards*

## 2. Implementation of Day 1

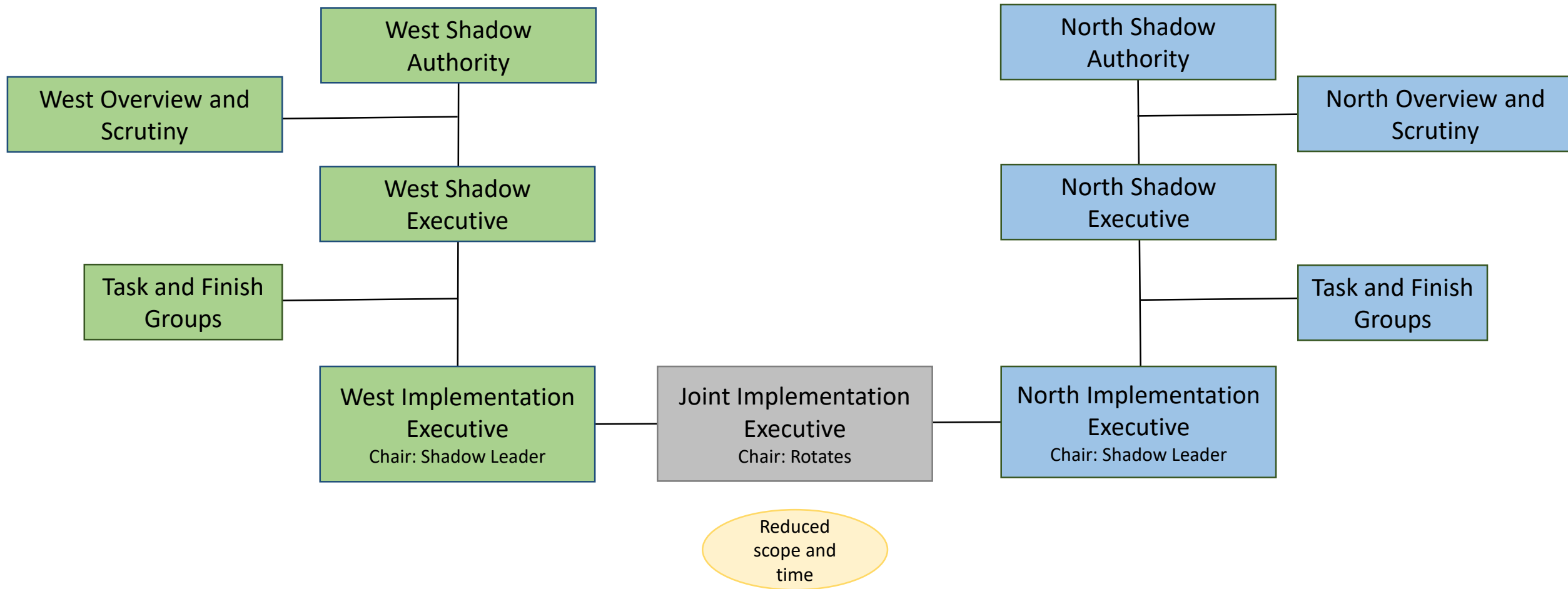
**These are the tasks and deliverables that are implemented as part of ongoing services and design**  
*For e.g. unitary TUPE & structures, contracts that transfer or IT systems the unitaries will use*

## Post Day 1 delivery & transformation plans

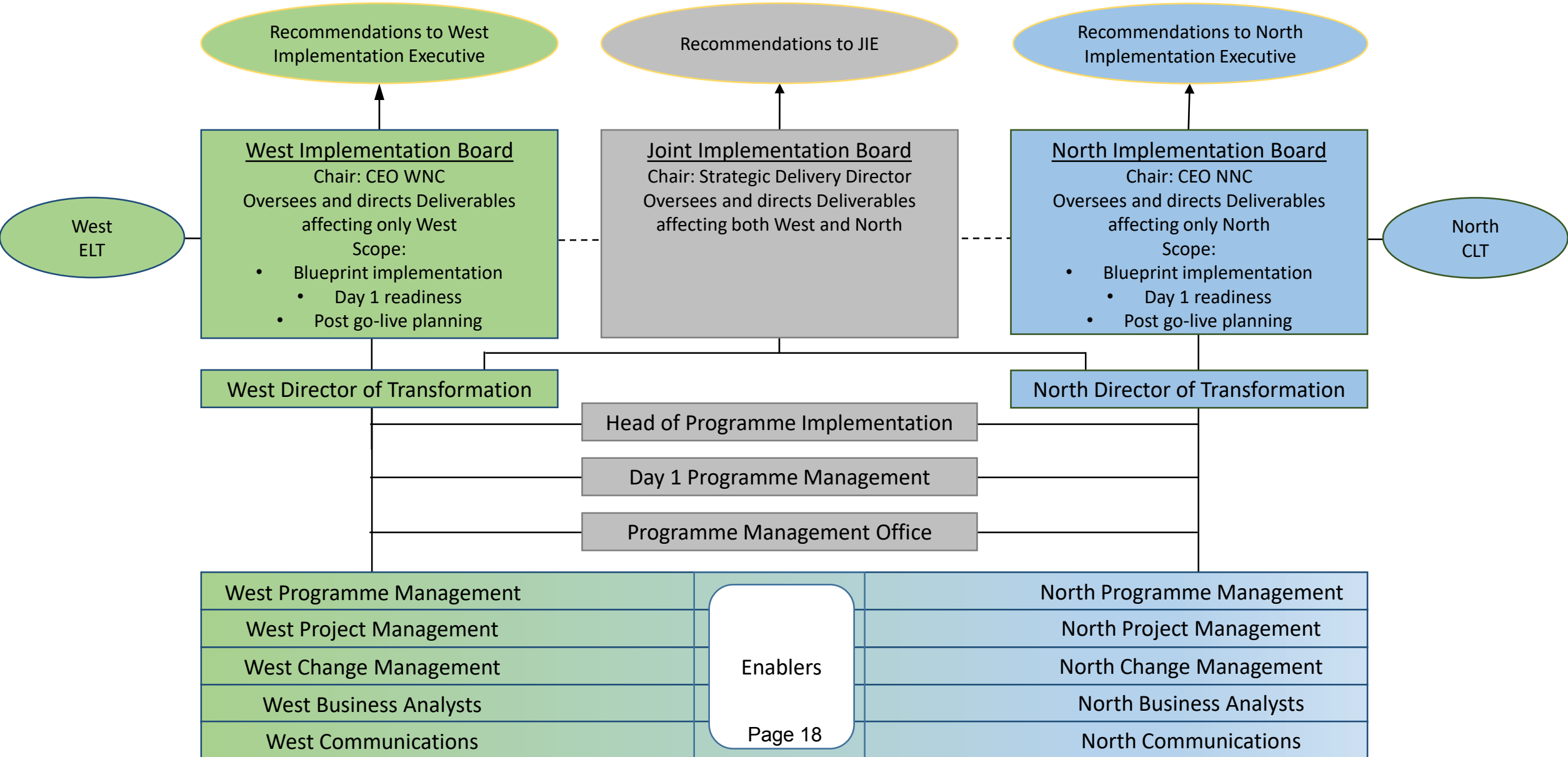
**These are the plans, projects and ongoing transformation that will happen in the unitaries**  
*for e.g. asset consolidation, aggregation of services, service transformation*



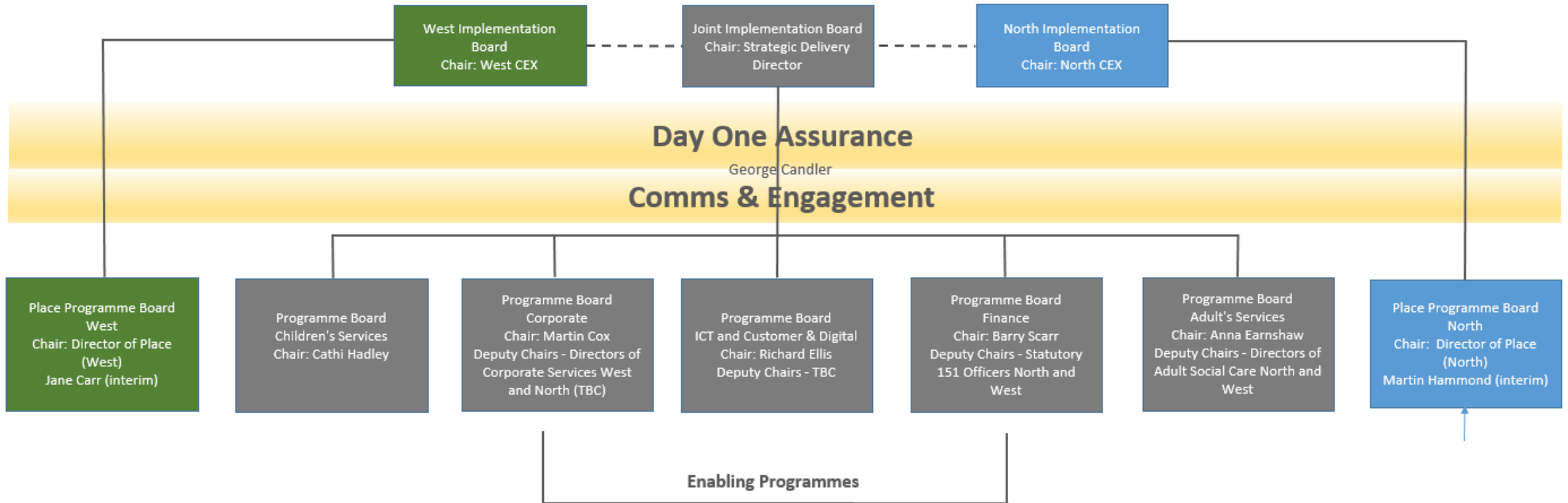
# Future Northants Revised Programme Governance



# Future Northants Revised Programme Delivery Structure



# Programme Board Structure



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# NORTH NORTHAMPTONSHIRE SHADOW AUTHORITY

## SHADOW EXECUTIVE MEETING

**26<sup>th</sup> November 2020**

<b>Report Title</b>	<b>Director of Transformation's Programme Update</b>
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### **1. Purpose**

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- 1.1 The purpose of this report is to appraise the members of the progress being made to create North Northamptonshire Council.

### **2. Recommendations**

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It is recommended that the shadow executive:

- a) Notes the high level programme delivery status
- b) Notes the update on change readiness.
- c) Notes the communication and engagement update
- d) Notes and approves the finance monitoring report.

### **3. Issues and Choices**

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#### **3.1 Report Background**

- 3.1.1 The approach to setting up North Northamptonshire Council is at a point where the blueprint for the council has been adopted and the consultation phase is underway with staff and through the trade unions. A north Engine Room is now operational to support engagement with staff and members.
- 3.1.2 A reporting methodology has been established to track progress in more detail against the 'critical path' timeline at a unitary wide level and also at a service specific level in order to track service readiness and to be able to report at a North only level as well as a programme wide level where interdependencies and dependencies are paramount.
- 3.1.3 The finance monitoring report for November is submitted for approval and the attached report sets out the details for consideration by the Executive.

3.1.4 There is also an update on communications and engagement and change management and the current position in relation to Change Champions recruitment and alignment to key service areas and the next steps as we move into the implementation phase of the programme.

### **3.2 Issues and Choices**

3.2.1 The creation of a draft blueprint for North Northamptonshire Council will continue to be refined and improved over the coming months and will inform the post vesting day activities and priorities. Future changes to the Blueprint will now be covered by formal change control mechanisms and will be reported to the executive as appropriate.

## **4. Implications (including financial implications)**

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### **4.1 Policy**

4.1.1 The delivery costs and benefits are set out in detail in the Finance Monitoring Report attached. There is no requirement to provide additional funds and this situation will be carefully monitored on a monthly basis.

### **4.2 Resources and Risk**

4.2.1 The full extent of the impact of the pandemic is still emerging and we cannot be sure that a further outbreak is likely or not. The programme has been reorganised to mitigate this as much as possible but it will be necessary to monitor the situation carefully to ensure the resources needed from the sovereign councils are available for the implementation phase of the programme.

### **4.3 Legal**

4.3.1 No implications in this report

### **4.4 Equality and Health**

4.4.1 No implications in this report

**Report Author:** Lisa Hyde, Director of Transformation, NNC



Transformation Director's Update

November 2020









# Contents

- 1) Programme Status Summary
- 2) Programme Notes
- 3) Day 1 Assurance
- 4) Change Management
- 5) Communication and Engagement
- 6) Finance Report
- 7) Glossary



# Programme Status Summary

Overall FN programme RAG rating as at 30th October 2020

Programme	Programme Lead	Programme Status	Commentary	Estimated Direction of Travel for next period
Place North	Ian Vincent	G	No change in status	
Place West		G	No change in status	
Finance	Barry Scarr	A	This has moved from green to amber. There is a heavy reliance on SMEs that's further compounded by a heavy dependency on a small number of key people. Delays are also occurring on financial closedown of some sovereign councils with a dependency on a number of interim staff. There are also concerns emerging that external audit activity may result in a delay or change to sovereign council's financial closedown position which could then impact on the opening position of the unitary councils.	
Corporate	Martin Cox	A	The HR work remains a key area of activity to put in place the Tier 1 to 3 structures and deal with the processes of staff disaggregation and defining which staff will transfer to the west and to the north. Until this is concluded the overall status of the programme will remain Amber and under a close watching brief	
Childrens	Cathi Hadley	A	Liz Elliot has now stepped down from Programme Lead with the appointment of Cathi Hadley as the joint DCS and Cathi will now oversee the delivery of the programme. The overall programme status remains the same with projected savings being delayed but mitigated. At the time of producing this report the Children's trust is about to go live on plan and SoS approval has been received to proceed. This has required considerable effort and expertise on both parts to ensure this deadline has been met. Disaggregation of Education Services will require a careful watching brief and mitigation may be required from vesting day in relation to any additional resources required to deal with the diseconomy of splitting services.	
Adults	Anna Earnshaw	G	The status of the Adults Programme has now moved from Amber to Green. The new Social Care operating model has now been implemented with very positive feedback from staff and trade unions. Eclipse is due to go live in December and the there is considerable work underway and change activity to support support staff. Attention has also now moved to safe and legal activities for vesting day.	
ICT	Richard Ellis	G	No change to status	
Customer and Digital		G	No change to status	

# Programme Notes

**Programme Board Governance** – The changes proposed to the governance structure were adopted at JIE, Following this further work has been undertaken to review and propose some change to the programme boards to facilitate the split of the Programme North and West.

**Programme Management** – Further work is underway to realign programme management and resources to the facilitate the split of the programme and ensure resources are aligned to:

- Day One Preparations
- Integration and Transformation post vesting day
- Stabilisation post vesting day

These arrangements also need to ensure there is clear arrangements for the governance, management and delivery of those programme activities that sit across both West and North Northamptonshire to avoid fragmentation and create risks to delivery or costs of delivery.

Transformation Director's Induction and hand-over – this has been facilitated throughout October and the arrangements for governance and management at programme and project level recognise the changes to leadership in the roles overseen by the Strategic Delivery Director and the inter-dependencies with the Chief Executives of North and West.

# Day 1 Assurance

## North Northamptonshire Unitary

November 2020

# Day 1 Assurance: Overview

- The Day 1 Office is now monitoring Day 1 Readiness of over 800 Unitary-level Critical Products and approximately 150 Services for the North Unitary and 150 Services for the West Unitary
- The Day 1 Office is using this monitoring data, programme issue data and operational intelligence to proactively identify Day 1 Readiness concerns
- The Day 1 Office is working with senior leaders, the North and West Transformation Directors and the FN Programme Managers and their teams to understand these concerns, prioritise and plan appropriate responsive action
- The Day 1 Assurance reports that follow in this presentation highlight Day 1 Readiness concerns for the North Unitary and the West Unitary
- To note, significant corrective action has been taken regarding ICT IC11: Business systems over the last period – at this early stage, and whilst these corrective actions gain full traction, this concern will be retained at Red status rating

# North Northamptonshire Unitary Critical Products

## Critical Products where implementation should have started but has not

- No Critical Products reported at this status

## Critical Products where implementation progress is of concern

ICT IC11: Business systems	Disaggregation of NCC systems and data may result in data protection and GDPR breaches – Responsive action taken and new Project Manager starting w/c 2 <sup>nd</sup> Nov 20
----------------------------	--

## Critical Products where implementation progress is under increased watch

Corporate C05: Staffing structures & transfer of staff (TUPE)	Timely completion of transfer and TUPE of staff to Day 1 positions critical to successful go live
Corporate C10: DBS checks	DBS checks must be in place for applicable staff for Day 1
Corporate C15: Lead Authority and Hosted agreements	Lead Authority and Hosted services agreements need to be in place for Day 1
Corporate C22: Existing contracts (transfer of)	Current contracts required for Day 1 must be transferred for Day 1

# North Northamptonshire Day 1 Services Readiness

## Services where implementation should have started but has not

- No services reported at this status

## Services where implementation progress is of concern

- No services at this status

## Services where implementation progress is under increased watch

- No services at this status



# Change Management Update

# Adult's Social Care

## Major "Go Live" with their New Ways of Working

*"The new team have been fantastic and worked through a challenging and chaotic week. They've kept their cool and risen to the challenge - their approach and attitude has been amazing"*

*"The Ideal Outcomes Meeting was creative and helped a member of the team with a person's situation which she had been stuck on for a while"*

*"I LOVE the How to Guides... Our TOM bible!"*

- **Launched 19<sup>th</sup> October 2020**

- Implementation of the New Target Operating Model and the "3 Conversations" approach, putting people at the centre of the decision making process, focusing on 'what matters to them', rather than 'what's the matter with them'.
- Directors, Assistant Directors and Service Managers shared messages of support to staff in person and via video

<https://www.youtube.com/watch?v=G9U7rPX4WeU&feature=youtu.be>

### Impact and Feedback

- ✓ Case Study video with an Adult Social Care Change Champion, Melissa's experience of the Programme; the restructure of her Service and support mechanisms provided.
- ✓ Trade Union has 'had positive feedback from the staff about the consultation process and the development and training that was put in place to support the workforce through this wide-reaching change'.
- ✓ Quotes from User: "You have done more for me in a week than 'others' have done in years".



*"Eager to get the Trust underway operationally"*

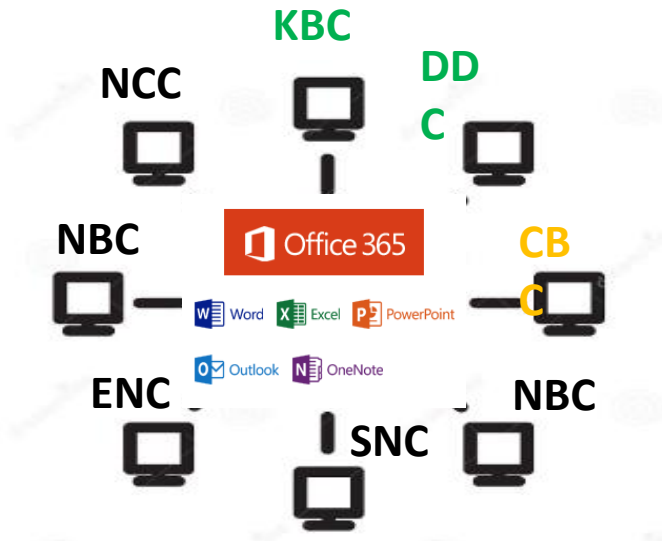
## Children's Trust Major "Go Live" as of 1 November 2020

- New Website launches
- Ofsted Inspection in progress
- New CE and Board of Directors
- Opportunity for Social Work excellence to flourish
- Sense of excitement amongst staff for "Go Live" and the future
- New E-mail addresses for Trust staff
- Operationally - no step change
- Shared Safeguarding information with Children's service staff
- Trust Change Champion plan in development for post "Go live" activities

From Monday, 2<sup>nd</sup> November the Trust, NCC & Unitary Councils will be working collaboratively on the **Stabilisation Phase** for the next Five Months

*"Communication is good and lots of information coming through"*

# MS365 Roll out .....



## What was migrated (combined DDC & KBC)...

- ✓ 786 mailboxes
- ✓ 293 shared mailboxes
- ✓ 103 Exchange Groups
- ✓ 7.45m e-mails
- ✓ >1.7tb of data (only 317 failed items due to size = error rate of 0.005%, which is excellent)

## Process and Support

- Communication to Change Champions within the organisation starts 10 days in advance of the launch
  - includes what 'new' looks like – this will manage colleagues expectations, reduce calls to IT helpdesks and allay fears amongst staff
  - approach clearly sets out the 'call to action' tasks that are required from staff both pre & post migration
- A Teams channel is also available to support colleagues who have migrated over to MS365
  - contains tips and links to 'how to' guides and online learning
- Lessons learnt from each implementation are being applied to each, following roll-out to minimise service disruption



# Eclipse is coming...

The launch of the new Adult Social Care system, Eclipse, is another critical part of the ICT infrastructure, and will support the transformation of Adult Social Care as the service moves to a strengths-based approach, seeing the person and their strengths, rather than their weaknesses

- Adults Go-Live 7<sup>th</sup> December 2020
- Community of 77 Eclipse “Super Users” recruited
  - Super User representation from each function/service area within Adult Social Care and across Partners, the Customer Service Centre and the Emergency Duty Team (EDT)
  - Training for Super Users commenced on 27<sup>th</sup> October
  - Role is based on the Super User role description developed by the FN ICT Programme
- All staff training begins 23<sup>rd</sup> November

# Focussed areas of “Change” Comms & Engagement

- Live Q&A session with Strategy Delivery Director and Change Champions (CCs) on 12<sup>th</sup> November
- Programme specific CC sessions 20, 21, 22, 27 & 28 October and 2, 4, & 6 November – Good Feedback to work with following
- The Place Programme have published BiteSize workstream specific videos
- Micro learning video with the Adult Social Care Programme Manager has been published to the Change Champions
- [Place Space](#) launched as a single point for programme information
- Collaborative working with ERP project team to identify and develop synergies, quick wins and blockers. Opportunities for CCs to become ERP Gold Advocates being explored, along with wider familiarisation sessions for all Change Champions.

- Trade Union (TU) Chair has been interviewed with the aim of providing clarity to Change Champions on the difference between the TU role and the role of the CC and instances where it may be suitable to signpost colleagues to their TU Rep



North Engine Room - virtual tour; early November launch – let us know if you would like a link

# Communications and engagement

## Recent activity

- Working with T&F groups on iteration of new authority logos
- Revamped staff and member bulletin in line with survey feedback
- All-staff comms on Blueprint updates and staff transfer
- Support for MS 365 roll out
- Developed criteria for Day One rebranding priorities
- Supported launch of the West CTRS consultation
- Shared new intro blog from Rob
- Working on videos with Anna and Rob

## Next steps

- Support for finalising of new logos (Shadow Execs in Nov)
- Support for the Housing Allocation consultation launches
- Planning for upcoming Budget consultations
- Ongoing support for Day One branding decision-making process
- Ongoing support for development of vision / values
- Ongoing support for North and West leadership
- Planning for the future: Day One residents' campaign

# Finance Report Summary



# Glossary

Acronym	Meaning
CC	Change Champion
DBS	Disclosure Barring Service
DCS	Director of Children's Services
ERP (Gold)	Enterprise Resource Planning. The platform for the new authority's financial and HR activity
GDPR	General Data Protection Regulations
SLACK	An online communication tool for group communications. Similar to WhatsApp. MS Teams offers similar functionality.
SME	Subject Matter Expert

<b>Document Type</b>	<b>Information Report</b>
<b>Programme</b>	<b>Future Northants</b>
<b>Title</b>	<b>Future Northants Finance Monitoring Report</b>
<b>Audience for this document</b>	
North Northamptonshire Shadow Executive	
<b>Purpose of this document</b>	
The purpose of this report is to provide a summary of the forecast outturn position of the Future Northants Programme.	

### Document Control

<b>Version History</b> (please see version control guidance)			
<b>Date</b>	<b>Version</b>	<b>Author</b>	<b>Brief Comments on Changes</b>
27/05/2020	1.0	Audra Satham	Updated LGR and Transformation Budget Changes
13/07/2020	1.0	Audra Satham	Outturn Report
29/10/2020	1.0	Audra Satham	Outturn Report

<b>Distribution (For Information, Review or Approval)</b>	
<b>Name</b>	<b>Resp<sup>(1)</sup></b>

(1) Responsibility: I=Information, R=Review, A=Approval

<b>Document Approval</b>	
<b>Date</b>	<b>Who</b>



## 1. Introduction

The programme expenditure and benefits realisable were reviewed, amended and presented to each of the North and West Executive committees in June 2020. Progress against this realigned budget is reported on a monthly basis. The budget monitoring relates to 20/21 only with any resulting slippage for future years being noted.

## 2. Background

The budget to deliver local government reorganisation and the forecast outturn for 2020/21 is summarised below and in full detail at Appendix 1.

Investment	Budget	Outturn	Variance
	2020/21	2020/21	Under/ (Over)
	£000	£000	£000
Business Rates Retention Pilots	7,802	7,802	0
NCC Transformation	4,250	4,250	0
Other Programme Costs	4,948	4,758	190
Staff Costs	5,697	5,697	0
<b>Total</b>	<b>22,697</b>	<b>22,507</b>	<b>190</b>

Benefits Realisation	Budget	Outturn	Variance
	2020/21	2020/21	
	£000	£000	£000
Business Rates Retention Pilots	2,246	1,630	616
NCC Transformation	12,235	12,303	-68
<b>Total</b>	<b>14,481</b>	<b>13,933</b>	<b>548</b>

**Overall Total**                                      **8,216**    **8,442**    **358**

The overall variance of £0.358m has decreased since the last report by £0.058m. This is an improved position. It is still expected that savings not delivered in 20/21 will be delivered in later years.

### Investment

The majority of investments cost projections are in line with the original budget. Recruitment to the statutory positions is now complete and due to the various start dates has produced a favourable variance of £0.190m. If needed in future this can be used to supplement the contingency budget.

## Benefits Realisation

An analysis of the impact of the current health crisis on the realisation of financial benefits is undertaken regularly on each of the Business Rates Retention Pilot schemes and NCC savings. This remains a fast moving, dynamic period of time and there are a number of assumptions in the analysis that will require ongoing review as the country enters into another lockdown period, which will be challenging in the lead up to setting budgets for the two unitary councils.

The variances reported above relate mainly to adults and children's services. Since period 5, reported in September, there has been a declining position on the home to school transport income. This is directly as a result of Covid-19. The overall savings impact is a profile issue not an inability to achieve the savings.

## Outturn Position of all Northamptonshire Authorities

As was requested, for information, the table overleaf details the current forecast outturn of each of the Northamptonshire authorities.

	20/21 Projected	20/21 Covid-19 Govt Grant	20/21 Overall Adverse Variance	Mitigations: Income Grant Efficiencies Use of Reserves	Residual Variance	Comments
	£000	£000	£000			
<b>NCC</b>	31.770	35.370	-3.600	3.600	0.000	
<b>Daventry</b>	1.480	1.066	0.414	-0.414	0.000	Additional costs for Leisure services, homelessness and rough sleeping. Expected losses in planning/building control/investment income.
<b>Northampton</b>	6.473	4.023	2.450	-2.450	0.000	Main pressures: loss of income for car parks, licensing, planning and estates rental income (all as a result of covid); and additional costs for audit, housing temporary accommodation, and rough sleepers.
<b>South Northants</b>	2.184	1.663	0.521	-0.521	0.000	Additional costs for Leisure services, housing and homelessness, environmental health/services, community support, Expected losses in investment income, planning, building control and licensing.
<b>Corby</b>	2.129	1.400	0.729	-0.729	0.000	Income shortfalls from leisure and property rentals and additional covid related expenditure.
<b>East Northants</b>	1.844	1.125	0.719	-0.719	0.000	Additional costs for Leisure services, housing and homelessness, environmental services and community support. Expected losses in commercial income. Covid Reserve set up as part of 2029/20 closedown.
<b>Kettering</b>	2.662	1.574	1.088	-1.088	0.000	Additional costs for Waste & Recycling, Leisure services, homelessness and rough sleeping. Expected losses in planning, building control, investment, car park and court cost income.
<b>Wellingborough</b>	1.530	1.341	0.189	-0.189	0.000	Additional costs for Leisure services, housing and homelessness, environmental services and community support. Expected losses in commercial and events income.
<b>Total</b>	<b>50.072</b>	<b>47.562</b>	<b>2.510</b>	<b>-2.510</b>	<b>0.000</b>	

The above table shows that after receiving the government grant of £35.370m, NCC are reporting a surplus of £3.6m. There is a common theme amongst all of the district and borough authorities, with many of the pressures on additional costs and reduced income from similar services. Unfortunately, despite receiving government funding, there is still an overall shortfall forecast of approximately £2.510m. The mitigations, to bring this overall variance down to zero, include draw down from general reserves. Each authority will continue to lobby Government to fund these shortfalls as any use of available reserves will mean that each of the two new unitary authorities would have less funds available to invest.

The mitigations put in place ensure that each authority is able to continue to deliver business as usual.

Further funding has been announced that is not reflected in the above figures. The latest lockdown will no doubt come with cost pressures and an updated position will be reported to future meetings. In addition, the above figures do not show the potential losses from reduced Council Tax and Business rates which, owing to the accounting regulations, won't show until later years.

### **Revised Financial Forecast**

There remains considerable financial risk to the above outturn position, which may change on a regular basis depending on the recovery of the economy and the increasing outbreaks of Covid-19.

It is important to note that of the total £84.448m savings, £34.907m has already been delivered in 2019/20 and we are on track to deliver £13,933m during 2020/21. This will leave £35.608m to be delivered beyond vesting day.

### **3. Conclusion**

Overall we are on track to deliver local government reform and transformation within budget, despite the very challenging environment in which we are operating. Risk remains high but by the end of 2020/21 a total of approximately £50m worth of savings will have been delivered.

Future Northants Revised Benefits Realisation

Staff Costs	2019/20	2020/21	2021/24	Total
	£000	£000	£000	£000
Staff Costs	3,047	5,697	8,301	17,045

Other Programme Costs	2019/20	2020/21	2021/24	Total
	£000	£000	£000	£000
Resource - backfill	133	553		686
Legal advice		400		400
Restructuring costs			7,900	7,900
Shadow statutory appointments		832		832
Shadow member appointments		60		60
Recruitment to senior appointments		160		160
Branding & signage		500		500
National pay and conditions		250	500	750
Programme delivery contingency		2,193		2,193
LGR pre submission costs (May-Aug 2018)	148			148
LGR pre submission costs (Sept 18 - Aug 19)	1,109			1,109
Total other Programme Costs	1,390	4,948	8,400	14,738

Year End Outturn Projection	Variance Under/(Over)
2020/21	2020/21
£000	£000
5,697	0
4,758	190

Business Rates Retention	Investment			
	2019/20	2020/21	2021/24	Total
	£000	£000	£000	£000
BRR04 - CFN Improving Fostering	16	120	334	470
BRR06 - CFN Practice Improvement	482	185	128	795
BRR08 - Adults Review Task Force Team	388	12	0	400
BRR09 - Adults Review of Target Operating Model	400	0	0	400
BRR10 - Strategic Infrastructure - Growth and Infrastructure Plan	27	223	0	250
BRR18 - Customer Contact - Customer and Digital Strategy	0	1,900	3,750	5,650
BRR20 - Shared Service Redesign	43	4,057	0	4,100
BRR21 - Corporate Contracts Review	0	250	0	250
BRR26 - CFN Workforce Programme	539	196	0	735
BRR45 - Adults Overnight Carers Scheme	350	0	0	350
BRR46 - Adults Rapid Response Team	291	859	450	1,600
Unallocated funds	0	0	0	0
Total Business Rates	2,536	7,802	4,662	15,000

Savings			
2019/20	2020/21	2021/24	Total
£000	£000	£000	£000
0	281	2,019	2,300
0	294	2,106	2,400
1,000	0	0	1,000
0	815	13,185	14,000
0	0	60	60
0	0	3,000	3,000
0	0	2,500	2,500
0	0	500	500
0	138	1,262	1,400
626	0	0	626
0	718	8,115	8,833
0	0	0	0
1,626	2,246	32,747	36,619

Year End Outturn Projection	Under/(Over) delivery
2020/21	2020/21
£000	£000
381	-100
164	130
0	
1,085	-270
0	
0	
0	
0	
0	138
0	
0	718
0	
1,630	616

NCC Transformation	Investment (includes expenditure funded by FUCR)			
	2019/20	2020/21	2021/24	Total
	£000	£000	£000	£000
Adults	1,204	4,250	0	5,454
Childrens	92	0	0	92
Corporate Services	977	0	0	977
Place	0	0	0	0
LGSS	0	0	0	0
Total NCC Transformation	2,273	4,250	0	6,523

Savings			
2019/20	2020/21	2021/24	Total
£000	£000	£000	£000
22,975	7,130	-3,713	26,392
4,086	1,636	2,730	8,452
3,740	258	500	4,498
2,480	2,241	2,796	7,517
0	970	0	970
			0
33,281	12,235	2,313	47,829

Year End Outturn Projection	Under/(Over) delivery
2020/21	2020/21
£000	£000
5,895	1,235
841	795
1,093	-835
3,504	-1,263
970	0
0	
12,303	-68

Total 9,246 22,697 21,363 53,306

34,907 14,481 35,060 84,448 Total

13,933

358

# NORTH NORTHAMPTONSHIRE SHADOW AUTHORITY

## SHADOW EXECUTIVE COMMITTEE MEETING

**26<sup>th</sup> November 2020**

<b>Report Title</b>	<b>Blue Print – Change Request Process</b>
<b>Report Author</b>	<b>Lisa Hyde, Director of Transformation , North Northamptonshire Council</b>

### List of Appendices

**Appendix A – Change Request Form**

**Appendix B – Day 1 Function & Services - Cover control sheet**

**Appendix C – Day 1 Function & Services - Approved Service Treatment List**

**Appendix D – Day 1 Function & Services – Rolled up list by Service area**

### **1. Purpose of Report**

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1.1. To set out and approve the Change Request Process for the North Northamptonshire Blueprint and the required changes to the current blueprint.

### **2. Executive Summary**

---

2.1 This process has been proposed to:

- 1) ensure a clear governance and recording process and,
- 2) propose the amendments to the blueprint outlined in Appenndix A

### **Recommendations**

2.2 It is recommended that the Shadow Executive Committee:

- a) Approve the Change request process as outlined in Appendix A on the Change Request Form
- b) Approve the changes requested to the Blueprint as outlined at Appendix A in the Change request form

*(Reason for Recommendations – to ensure a robust change management and recording process for the Blueprint for the new unitary authorities).*

### **3. Report Background**

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- 3.1 This process has been proposed to ensure a clear governance and recording process for any changes to be made to the Blueprint.

### **4. Issues and Choices**

---

- 4.1 The blueprint was approved by the North Northants Shadow Executive on 24<sup>th</sup> September. The Blueprint is the key document that shows how the functions and services provided by all the constituent authorities will be placed across the two new North & West Unitary authorities.
- 4.2 **Appendix A- Section one** to this report lists the required changes to be made to the North blueprint and the subsequent impact on the West Blueprint.
- 4.3 **Appendix B** - provides a “cover control sheet” that outlines the meaning of the terminology used in the blueprint relating to disaggregation, externally provided, hosted and lead
- 4.4 **Appendix C** - provides a list of all functions and its treatment within the blueprint. This is provided so that all members and staff have a clear reference point and record.
- 4.5 **Appendix D** – Provides a single view of all the services “rolled up” into the key headings

### **5. Implications (including financial implications)**

---

#### **5.1 Resources and Financial**

There are no resources or financial implications arising from the proposals.

#### **5.2 Legal**

- 5.2.1 There are no legal implications arising from the proposals.

#### **5.3 Risk**

- 5.3.1 There are no significant risks arising from the proposed recommendations in this report.
- 5.3.2 The changes proposed to the Blueprint re designed to mitigate risks in ensuring services are safe and legal for Day 1.

#### **5.4 Consultation**

- 5.4.1 The change process does not require consultation .

## **5.5 Consideration by Overview and Scrutiny**

5.5.1 Overview & Scrutiny have established a Task & Finish Group on the Blueprint. At the time of this meeting their first meeting had been scheduled but no meetings had yet taken place.

## **5.6 Climate Impact**

5.6.1 None related to the change process outlined in this report

## **5.7 Community Impact**

5.7.1 None related to the change process outlined in this report

## **6. Background Papers**

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6.1 Blueprint –Approved by Shadow Executive 24<sup>th</sup> September 2020

## Change Request Form

<b>Document Type</b>	Change Request Form
<b>Programme Name:</b>	Day 1 Programme
<b>Audience for this document</b>	
Programme Board, Programme Manager – Day 1 Assurance, Programme Implementation Board, Joint Implementation Executive, Shadow Executive	
<b>Purpose of this document</b>	
The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Programme Implementation Board and relevant stakeholders. The Change Request Form should be used alongside the Change Request Log to track progress (template available).	

<b>Version History</b>			
Date	Version	Author	Brief Comments on Changes
28 <sup>th</sup> Oct 20	v1.0	Day 1 Programme Manager	First draft of this Change Request
29 <sup>th</sup> Oct 20	V1.1	Day 1 Programme Manager	All document approvals included

<b>Distribution (For Information, Review or Approval)</b>	
Name	Resp (1)
Programme Manager – Day 1 Assurance	A
Director of Transformation – North	A
Director of Transformation – West	A
CEO Lead for Day 1 Assurance	R

(1) Responsibility: R=Review, A=Approval, I=Information



<b>Document Approval</b>	
<b>Date</b>	<b>Who</b>
28 <sup>th</sup> Oct 20	Programme Manager – Day 1 Assurance
29 <sup>th</sup> Oct 20	CEO Lead for Day 1 Assurance (Reviewed)
29 <sup>th</sup> Oct 20	Director of Transformation – North
29 <sup>th</sup> Oct 20	Director of Transformation – West

### **1. Description of Requested Change**

The following functions to be changed on the North Unitary blueprint:

<b>Function</b>	<b>Current treatment</b>	<b>Revised treatment</b>
Adults brokerage	Hosted < 12 months - Receiver	Disaggregated
Adults commissioning	Hosted < 12 months - Receiver	Disaggregated
Adults safeguarding	Hosted < 12 months - Provider	Disaggregated
Public Health Management, Commissioning & Admin	Disaggregated	Hosted < 12 months - Provider
Public health Provider services Wellbeing	Disaggregated	Hosted < 12 months - Provider
Children’s Trust client function	Disaggregated	Lead Authority – Provider
Emergency planning	Disaggregated	Hosted < 12 months - Provider

The following functions to be changed on the West Unitary blueprint:

<b>Function</b>	<b>Current treatment</b>	<b>Revised treatment</b>
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Adults Brokerage	Hosted < 12 months - Provider	Disaggregated
Adults Commissioning	Hosted < 12 months - Provider	Disaggregated
Adults safeguarding	Hosted < 12 months - Receiver	Disaggregated
Public Health Management, Commissioning & Admin	Disaggregated	Hosted < 12 months - Receiver
Public Health Provider services Wellbeing	Disaggregated	Hosted < 12 months - Receiver
Children's Trust client function	Disaggregated	Lead Authority - Receiver
Emergency planning	Disaggregated	Hosted < 12 months - Receiver

The revised list of functions for North Unitary and West Unitary are included in Appendix A.

## **2. Purpose of Request**

To update the approved blueprint for North Unitary and the approved blueprint for West Unitary with changes made by way of various papers approved through the Future Northants governance process.

## **3. Likely Impact of Requested Change**

Updated North Unitary blueprint and updated West Unitary blueprint.

## **4. Impact of *not* implementing Requested Change**

North Unitary blueprint will not reflect revised treatments of functions and West Unitary blueprint will not reflect revised treatments of functions.

**5. Additional costs of implementing Requested Change**

As detailed in corresponding approved papers.

Capital Costs	
Revenue Costs	
Benefit Costs	

**6. Additional Benefits**

<b>Title</b>	Day 1 Functions and Service Area
<b>Version</b>	v1.1
<b>Last Updated</b>	20-Oct-20

<b>Document Purpose</b>	This document is the baseline approved by PIB, JIE & Shadow Exec (Document Reference "NCC disaggregation v4.7" setting out the planned treatment of all NCC services on Day 1 of the two new Unitaries. <u>All changes to the baseline are subject to formal change control processes and must be recorded here and taken through the PIB, JIE &amp; Shadow Execs to create a revised agreed baseline.</u>
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<b>Service Treatments</b>	<b>Description</b>	the following summarises the 4 types of treatments for all NCC services
	1. Disaggregate	These are NCC services that can clearly be split day 1 into North & West Unitary Council Services
	2. Externally Provided	These are NCC services that are provided by other organisations to NCC now and will continue to be provided in that way to the new authorities.
	3. Hosted	These are NCC services that will need to be hosted by one Unitary Council and provided the other for a period until any prerequisites or dependencies are resolved to support a future split. Generally this will be for up to 12 months with a few areas being hosted for longer until key tasks or contract periods are ended, at which point they will be split.
	4. Lead	These are NCC services that we plan to move to lead Authority model where one Unitary Council provides services to the other under an SLA because splitting them will detrimentally effect services for Council staff or in some cases external customers of those services

<b>Assumptions &amp; Guidance</b>	
<b>1</b>	All services must have the staff and capacity to operate on day 1 safely and legally.
<b>2</b>	Budgets will sit with the "destination authority" on day 1 regardless of where staff and functions geographically sit on day 1
<b>3</b>	All services will be disaggregated. Led or hosted as set on tab 2 and only amended by change control as agreed by the PIB, JIE & the shadow Execs
<b>4</b>	Unless agreed through local and specific consultation, all staff are assumed to remain in their current working location on day 1 even though their employer may change
<b>5</b>	All district and borough direct delivery (as opposed to externally contracted our outsourced) services prior to April 21 will transfer to the Unitary covering their geographical area
<b>6</b>	Where services or functions are provided on to a district and Borough or County Council by an external partner organisation (for example Finance AP/AR provided to NCC) they will continue to be provided externally on day 1 but any staff who undertake the same service functions within the district and borough prior to day 1 will TUPE transfer to the named Unitary lead even though they may be managed via the external organisation as part of the future service.
<b>7</b>	Where an NCC service is due to disaggregate but additional resources are required to deliver the disaggregated services required, approval to recruit additional staff and funding for this can only be agreed by NCCs 151 Officer in conjunction with the Unitary 151s
<b>8</b>	The decision on how to disaggregate NCC staff between North and West is subject to the HR processes and agreed criteria in relation to the home location of staff, skills and management mix and any individual circumstance agreed within the HR processes set out to managers.
<b>9</b>	Tab 3 shows the service functions that may have been rolled up under services headings

Programme [Do not amend]	Unitary [Do not amend]	Service Area [Do not amend]	Function [Do not amend]	Treatment on Approved NCC Blueprint v4.7 Do not amend	Change Request	Change log [Amends by Day 1 Office only]	Comments
Adults	North	Adults - Brokerage	Adults Brokerage	Hosted < 12 months - Receiver	Y	PIB 07 Oct endorsed change to Disaggregation	
Adults	West	Adults - Brokerage	Adults Brokerage	Hosted < 12 months - Provider	Y	PIB 07 Oct endorsed change to Disaggregation	
Adults	North	Adults - Commissioning	Adults Commissioning	Hosted < 12 months - Receiver	Y	PIB 07 Oct endorsed change to Disaggregation	
Adults	West	Adults - Commissioning	Adults Commissioning	Hosted < 12 months - Provider	Y	PIB 07 Oct endorsed change to Disaggregation	
Adults	North	Adults - Community Teams	Adults Community Teams	disaggregated			
Adults	West	Adults - Community Teams	Adults Community Teams	disaggregated			
Adults	North	Adults - Health & Care Partnerships	Health & Care Partnerships	disaggregated			
Adults	West	Adults - Health & Care Partnerships	Health & Care Partnerships	disaggregated			
Adults	North	Public Health - Adults Learning	Provider services Adults Learning	Lead Authority - Provider			
Adults	West	Adults Learning	Provider services Adults Learning	Lead Authority - Receiver			
Adults	North	Adults - Management Team	Adults Management	disaggregated			
Adults	West	Adults - Management Team	Adults Management	disaggregated			
Adults	North	Adults - PBBS (Personal Budget Service)	Adults PBBS	Hosted < 12 months - Receiver			
Adults	West	Adults - PBBS (Personal Budget Service)	Adults PBBS	Hosted < 12 months - Provider			
Adults	North	Adults Provider Services	Adults Provider Services	disaggregated			
Adults	West	Adults Provider Services	Adults Provider Services	disaggregated			
Adults	North	Adults safeguarding	Adults safeguarding	Hosted < 12 months - Provider	Y	PIB 07 Oct endorsed change to Disaggregation	
Adults	West	Adults safeguarding	Adults safeguarding	Hosted < 12 months - Receiver	Y	PIB 07 Oct endorsed change to Disaggregation	
Adults	North	Adults Social Care Assessment	Adults Social Care Assessment	disaggregated			
Adults	West	Adults Social Care Assessment	Adults Social Care Assessment	disaggregated			
Adults	North	DPH (Director of Public Health)	Public health DPH	Lead Authority - Provider			
Adults	West	DPH (Director of Public Health)	Public health DPH	Lead Authority - Receiver			
Adults	North	Public Health Intelligence & STP	Public Health Intelligence & STP	Lead Authority - Provider			
Adults	West	Public Health Intelligence & STP	Public Health Intelligence & STP	Lead Authority - Receiver			
Adults	North	Public Health - Management, Commissioning & Admin	Public Health Management, Commissioning & Admin	disaggregated	Y	PIB 07 Oct endorsed change to Hosted < 12 months	
Adults	West	Public Health - Management, Commissioning & Admin	Public Health Management, Commissioning & Admin	disaggregated	Y	PIB 07 Oct endorsed change to Hosted < 12 months	
Adults	North	Public Health - Wellbeing Services	Public health Provider services Wellbeing	disaggregated	Y	PIB 07 Oct endorsed change to Hosted < 12 months	
Adults	West	Public Health - Wellbeing Services	Public Health Provider services Wellbeing	disaggregated	Y	PIB 07 Oct endorsed change to Hosted < 12 months	
Children's	North	Childrens Trust Services	Childrens Trust Services	Externally provided			
Children's	West	Childrens Trust Services	Childrens Trust Services	Externally provided			
Children's	North	Early Education and Child Care	Early Education and Child Care	disaggregated			
Children's	West	Early Education and Child Care	Early Education and Child Care	disaggregated			
Children's	North	Education Inclusion and Partnership Team	Education Inclusion and Partnership Team	disaggregated			
Children's	West	Education Inclusion and Partnership Team	Education Inclusion and Partnership Team	disaggregated			
Children's	North	Education Psychology	Education Psychology	disaggregated			
Children's	West	Education Psychology	Education Psychology	disaggregated			
Children's	North	EHC, High Needs and 16-19 Team	16-19 Team	disaggregated			
Children's	West	EHC, High Needs and 16-19 Team	16-19 Team	disaggregated			
Children's	North		EHC	disaggregated			
Children's	West		EHC	disaggregated			
Children's	North		High Needs	disaggregated			
Children's	West		High Needs	disaggregated			
Children's	North	Safeguarding in Education	Safeguarding in Education	Hosted < 12 months - Provider			
Children's	West	Safeguarding in Education	Safeguarding in Education	Hosted < 12 months - Receiver			
Children's	North	School Admissions	School Admissions	Hosted < 12 months - Provider			
Children's	West	School Admissions	School Admissions	Hosted < 12 months - Receiver			
Children's	North	School Place Planning	School Place Planning	disaggregated			
Children's	West	School Place Planning	School Place Planning	disaggregated			
Children's	North	Schools Improvement	Schools Improvement	disaggregated			
Children's	West	Schools Improvement	Schools Improvement	disaggregated			
Children's	North	SEND Strategy [IASS]	SEND Strategy [IASS]	disaggregated			
Children's	West	SEND Strategy [IASS]	SEND Strategy [IASS]	disaggregated			
Children's	North	Sensory Impairment Team	Sensory Impairment Team	Hosted < 12 months - Provider			
Children's	West	Sensory Impairment Team	Sensory Impairment Team	Hosted < 12 months - Receiver			
Children's	North	Specialist Support Service	Specialist Support Service	disaggregated			
Children's	West	Specialist Support Service	Specialist Support Service	disaggregated			
Children's	North	Trust client function	Trust client function	disaggregated	Y	Proposed Lead Authority - Provider	
Children's	West	Trust client function	Trust client function	disaggregated	Y	Proposed Lead Authority - Receiver	
Children's	North	Virtual School	Virtual School	Lead Authority - Provider			
Children's	West	Virtual School	Virtual School	Lead Authority - Receiver			

Programme [Do not amend]	Unitary [Do not amend]	Service Area [Do not amend]	Function [Do not amend]	Treatment on Approved NCC Blueprint v4.7 Do not amend	Change Request	Change log [Amends by Day 1 Office only]	Comments		
Corporate Services	North	Business Transformation	Business Transformation	disaggregated					
Corporate Services	West	Business Transformation	Business Transformation	disaggregated					
Corporate Services	North	Communications	Communications	disaggregated					
Corporate Services	West	Communications	Communications	disaggregated					
Corporate Services	North	Executive Support	LGSS Executive Support/Executive Support	disaggregated					
Corporate Services	West	Executive Support	LGSS Executive Support/Executive Support	disaggregated					
Corporate Services	North	HR and Staff Wellbeing	Apprenticeships	Hosted < 12 months - Provider					
Corporate Services	West		Apprenticeships	Hosted < 12 months - Receiver					
Corporate Services	North		Corporate Health and Safety	Corporate Health and Safety	disaggregated				
Corporate Services	West		Corporate Health and Safety	Corporate Health and Safety	disaggregated				
Corporate Services	North		Employee Health and Safety	Employee Health and Safety	disaggregated				
Corporate Services	West		Employee Health and Safety	Employee Health and Safety	disaggregated				
Corporate Services	North		HR Advisory/Operations	HR Advisory/Operations	disaggregated				
Corporate Services	West		HR Advisory/Operations	HR Advisory/Operations	disaggregated				
Corporate Services	North		HR Learning and Development	HR Learning and Development	Hosted < 12 months - Provider				
Corporate Services	West		HR Learning and Development	HR Learning and Development	Hosted < 12 months - Receiver				
Corporate Services	North		HR Policies and Procedures	HR Policies and Procedures	disaggregated				
Corporate Services	West		HR Policies and Procedures	HR Policies and Procedures	disaggregated				
Corporate Services	North	HR Payroll and HR Transactions	HR Payroll and HR Transactions	Lead Authority - Receiver					
Corporate Services	West	HR Payroll and HR Transactions	HR Payroll and HR Transactions	Lead Authority - Provider					
Corporate Services	North	Legal and Democratic Services	Democratic services	disaggregated					
Corporate Services	West		Democratic services	disaggregated					
Corporate Services	North		Electoral services	Electoral services	disaggregated				
Corporate Services	West		Electoral services	Electoral services	disaggregated				
Corporate Services	North	Legal services - LGSS Law	Legal services	disaggregated					
Corporate Services	West		Legal services	disaggregated					
Corporate Services	North	Legal services - LGSS Law	Legal services - LGSS Law	Externally provided					
Corporate Services	West	Legal services - LGSS Law	Legal services - LGSS Law	Externally provided					
Corporate Services	North	Libraries support (incl. traded services)	Libraries support (incl. traded services)	Hosted < 12 months - Receiver					
Corporate Services	West		Libraries support (incl. traded services)	Libraries support (incl. traded services)	Hosted < 12 months - Provider				
Corporate Services	North	Lord Lieutenant Support	Lord Lieutenant Support	Lead Authority - Receiver					
Corporate Services	West		Lord Lieutenant Support	Lord Lieutenant Support	Lead Authority - Provider				
Corporate Services	North	Policy and Performance	Business intelligence	disaggregated			Additional Business Intelligence extra staff req		
Corporate Services	West		Business intelligence	disaggregated			Additional Business Intelligence extra staff req		
Corporate Services	North		Compliments, Complaints and Comments	Compliments, Complaints and Comments	disaggregated				
Corporate Services	West		Compliments, Complaints and Comments	Compliments, Complaints and Comments	disaggregated				
Corporate Services	North		Consultation, Equalities & Engagement	Consultation, Equalities & Engagement	disaggregated				
Corporate Services	West		Consultation, Equalities & Engagement	Consultation, Equalities & Engagement	disaggregated				
Corporate Services	North		Information Governance	Information Governance	disaggregated				
Corporate Services	West		Information Governance	Information Governance	disaggregated				
Corporate Services	North		Procurement services	Contract management	disaggregated				
Corporate Services	West			Contract management	disaggregated				
Corporate Services	North			Procurement services	Procurement services	disaggregated			
Corporate Services	West		Procurement services	Procurement services	disaggregated				
Corporate Services	North	Finance	Insurance	Externally provided - Lead Authority - Receiver			NCC service externally provided - D&B staff transfer to Lead Unitary operationally managed by External service		
Corporate Services	West		Insurance	Externally provided & Lead Authority - Provider			NCC service externally provided - D&B staff transfer to Lead Unitary operationally managed by External service		
Finance	North		Exchequer services (AP/AR)	Externally provided - Lead Authority - Receiver			NCC service externally provided - D&B staff transfer to Lead Unitary operationally managed by External service		
Finance	West		Exchequer services (AP/AR)	Externally provided & Lead Authority - Provider			NCC service externally provided - D&B staff transfer to Lead Unitary operationally managed by External service		
Finance	North		Finance	disaggregated					
Finance	West		Finance	disaggregated					
Finance	North		Risk and internal audit	Externally provided - Lead Authority - Receiver					
Finance	West		Risk and internal audit	Externally provided & Lead Authority - Provider					
Finance	North		Treasury	disaggregated					
Finance	West		Treasury	disaggregated					
Finance	North		Pensions	Pensions	Lead Authority - Receiver				
Finance	West			Pensions	Lead Authority - Provider				
Finance	West	Revenues and Benefits	BID levy collection	disaggregated					
Finance	North		Business rates collection	disaggregated					
Finance	West		Business rates collection	disaggregated					
Finance	North		Council Tax, Council Tax support; HB administration; Debt	disaggregated					
Finance	West	Council Tax, Council Tax support; HB administration; Debt	disaggregated				These are staff in LGSS providing to NBC only		

Programme [Do not amend]	Unitary [Do not amend]	Service Area [Do not amend]	Function [Do not amend]	Treatment on Approved NCC Blueprint v4.7 Do not amend	Change Request	Change log [Amends by Day 1 Office only]	Comments
ICT & Customer	West	Call Care	Call Care	disaggregated			
ICT & Customer	North	Customer Services	Customer Service centre	disaggregated			
ICT & Customer	West		Customer Service centre	disaggregated			
ICT & Customer	North	IT Business system - ERP	IT Business system - ERP	Lead Authority - Receiver			
ICT & Customer	West		IT Business system - ERP	IT Operations & Infrastructure	Lead Authority - Provider		
ICT & Customer	North	IT Operations	IT Operations & Infrastructure	Lead Authority - Receiver			
ICT & Customer	West		IT Operations	IT Service Delivery	Lead Authority - Provider		
ICT & Customer	North	IT Strategy and Development	IT Service Delivery	Lead Authority - Receiver			
ICT & Customer	West		IT Strategy and Development	IT Digital	Lead Authority - Provider		
ICT & Customer	North	IT Strategy and Development	IT Digital	Lead Authority - Receiver			
ICT & Customer	West		IT Strategy and Development	IT Programme team	Hosted > 12 months - Receiver		
ICT & Customer	North	Policy and Performance	IT Programme team	Hosted > 12 months - Provider			
ICT & Customer	West		Policy and Performance	IT Strategy & architecture	Hosted > 12 months - Receiver		
ICT & Customer	North	Policy and Performance	IT Strategy & architecture	Hosted > 12 months - Provider			
ICT & Customer	West		Policy and Performance	Intranet content management	disaggregated		
ICT & Customer	North		Policy and Performance	Intranet content management	disaggregated		
ICT & Customer	West	Policy and Performance	Website content management	disaggregated			
ICT & Customer	North		Policy and Performance	Website content management	disaggregated		

Programme [Do not amend]	Unitary [Do not amend]	Service Area [Do not amend]	Function [Do not amend]	Treatment on Approved NCC Blueprint v4.7 Do not amend	Change Request	Change log [Amends by Day 1 Office only]	Comments
Place	North	Bereavement services	Bereavement services	disaggregated			
Place	North	Building Control	Building Control	disaggregated			
Place	West	Building Control	Building Control	disaggregated			
Place	North	Community Safety	Community safety	disaggregated			
Place	West	Community Safety	Community safety	disaggregated			
Place	North	Coroners	Coroners	Lead Authority - Receiver			
Place	West	Coroners	Coroners	Lead Authority - Provider			
Place	North	Country Parks	Country parks	Lead Authority - Provider			
Place	West	Country Parks	Country parks	Lead Authority - Receiver			
Place	North		Community and Leisure services	disaggregated			
Place	West		Community and Leisure services	disaggregated			
Place	North		Library Services	disaggregated			
Place	West		Library Services	disaggregated			
Place	North		Outdoor Learning *	Lead Authority - Provider			
Place	West		Outdoor Learning *	Lead Authority - Receiver			
Place	North		Parks and open spaces	disaggregated			
Place	West		Parks and open spaces	disaggregated			
Place	North		Theatres	disaggregated			
Place	West		Theatres	disaggregated			
Place	North	Culture and Leisure (N Sport)	Northamptonshire Sport	Externally provided			
Place	West	Culture and Leisure (N Sport)	Northamptonshire Sport	Externally provided			
Place	North	Development Management	Development Services	disaggregated			
Place	West	Development Management	Development Services	disaggregated			
Place	North	Development Management (Highways)	Development Management (Highways)	disaggregated			
Place	West	Development Management (Highways)	Development Management (Highways)	disaggregated			
Place	North	Document Archives	Archives (Wootton Hall)	Lead Authority - Receiver			
Place	West	Document Archives	Archives (Wootton Hall)	Lead Authority - Provider			
Place	North		Digital infrastructure	Lead Authority - Provider			
Place	West		Digital infrastructure	Lead Authority - Receiver			
Place	North		Economic development and regeneration	disaggregated			
Place	West		Economic development and regeneration	disaggregated			
Place	North		Markets management	disaggregated			
Place	West		Markets management	disaggregated			
Place	North		Tourism	disaggregated			
Place	West		Tourism	disaggregated			
Place	North	Emergency Planning	Emergency planning	disaggregated	Y	PIB 07 Oct endorsed change to Hosted < 12 months	
Place	West	Emergency Planning	Emergency planning	disaggregated	Y	PIB 07 Oct endorsed change to Hosted < 12 months	
Place	North	Environmental Health	Environmental health	disaggregated			
Place	West	Environmental Health	Environmental health	disaggregated			
Place	North		Car parks management (maintenance)	disaggregated			
Place	West		Car parks management (maintenance)	disaggregated			
Place	North		Energy and carbon management	disaggregated			
Place	West		Energy and carbon management	disaggregated			
Place	North		Facilities Management	disaggregated			
Place	West		Facilities Management	disaggregated			
Place	North	Estates and Facilities Management	Property (Estate) Management	disaggregated			
Place	West	Estates and Facilities Management	Property (Estate) Management	disaggregated			
Place	North		Public Conveniences	disaggregated			
Place	West		Public Conveniences	disaggregated			
Place	North		Schools PFI contract	disaggregated			
Place	West		Schools PFI contract	disaggregated			
Place	North		Street lighting	disaggregated			
Place	West		Street lighting	disaggregated			
Place	North		Capital Projects & Governance	disaggregated			
Place	West		Capital Projects & Governance	disaggregated			
Place	North	Estates Capital Projects	Capital projects (Property)	disaggregated			
Place	West	Estates Capital Projects	Capital projects (Property)	disaggregated			
Place	North	Fleet	Fleet	disaggregated			
Place	West	Fleet	Fleet	disaggregated			
Place	North	Flood Risk Management	Flood Risk Management/Flood defences and land drainage	disaggregated			
Place	West	Flood Risk Management	Flood Risk Management/Flood defences and land drainage	disaggregated			
Place	North		Grounds maintenance	disaggregated			
Place	West		Grounds maintenance	disaggregated			
Place	North		Verge grass cutting	disaggregated			
Place	West		Verge grass cutting	disaggregated			
Place	North	Heritage	Museum and Art Galleries	disaggregated			
Place	West	Heritage	Museum and Art Galleries	disaggregated			
Place	North	Heritage (Chester Farm)	Heritage Chester Farm	Lead Authority - Provider			
Place	West	Heritage (Chester Farm)	Heritage Chester Farm	Lead Authority - Receiver			
Place	North		Business improvement	Hosted < 12 months - Receiver			
Place	West		Business improvement	Hosted < 12 months - Provider			
Place	North		Community Liaison	disaggregated			
Place	West		Community Liaison	disaggregated			
Place	North		Coordination of works on the highway	Hosted < 12 months - Receiver			
Place	West		Coordination of works on the highway	Hosted < 12 months - Provider			
Place	North		Highways Traffic Management (Kier Contract)	Hosted < 12 months - Receiver			
Place	West		Highways Traffic Management (Kier Contract)	Hosted < 12 months - Provider			
Place	North		Investigations, Searches and Definitive Map	Hosted < 12 months - Receiver			
Place	West		Investigations, Searches and Definitive Map	Hosted < 12 months - Provider			
Place	North	Highways Contract Management	Licensing - Highways licences	Hosted < 12 months - Receiver			
Place	West	Highways Contract Management	Licensing - Highways licences	Hosted < 12 months - Provider			
Place	North		New Roads and Street Works Act (NRSWA) (Administration and Inspections)	Hosted < 12 months - Receiver			
Place	West		New Roads and Street Works Act (NRSWA) (Administration and Inspections)	Hosted < 12 months - Provider			
Place	North		Rights of way	Hosted < 12 months - Receiver			
Place	West		Rights of way	Hosted < 12 months - Provider			
Place	North		Road Safety	Hosted < 12 months - Receiver			
Place	West		Road Safety	Hosted < 12 months - Provider			
Place	North		Technical approval authority	Hosted < 12 months - Receiver			
Place	West		Technical approval authority	Hosted < 12 months - Provider			



Programme [Do not amend]	Unitary [Do not amend]	Service Area [Do not amend]	Function [Do not amend]	Treatment on Approved NCC Blueprint v4.7 Do not amend	Change Request	Change log [Amends by Day 1 Office only]	Comments
Place	North	Housing	Disabled Facilities Grant	disaggregated			
Place	West		Disabled Facilities Grant	disaggregated			
Place	North		Homelessness	disaggregated			
Place	West		Homelessness	disaggregated			
Place	North		Housing needs and allocations	disaggregated			
Place	West		Housing needs and allocations	disaggregated			
Place	North		Housing strategy and development of affordable housing	disaggregated			
Place	West		Housing strategy and development of affordable housing	disaggregated			
Place	North		Management of housing stock - North	disaggregated			
Place	West		Management of housing stock - West	disaggregated			
Place	North		Private sector housing standards	disaggregated			
Place	West		Private sector housing standards	disaggregated			
Place	North		Licensing - HMO licences	disaggregated			
Place	West	Licensing	Licensing - HMO licences	disaggregated			
Place	North		Licensing - Regulatory services	disaggregated			
Place	West		Licensing - Regulatory services	disaggregated			
Place	North	Minerals and Waste Planning	Development control services incl waste, minerals	Lead Authority - Provider			
Place	West		Development control services incl waste, minerals	Lead Authority - Receiver			
Place	North		On street parking (enforcement)	Hosted < 12 months - Receiver			
Place	West		On street parking (enforcement)	Hosted < 12 months - Provider			
Place	North	Parking	Residents parking	disaggregated			
Place	West		Residents parking	disaggregated			
Place	North		Managing Growth	disaggregated			
Place	West		Managing Growth	disaggregated			
Place	North	Planning Policy	Planning policy	disaggregated			
Place	West		Planning policy	disaggregated			
Place	North	Public realm	Public realm	disaggregated			
Place	West		Public realm	disaggregated			
Place	North	Refuse and recycling collection services	Refuse and recycling collection services	disaggregated			
Place	West		Refuse and recycling collection services	disaggregated			
Place	North	Registration Service	Registration Service	disaggregated			
Place	West		Registration Service	disaggregated			
Place	North	Regulatory Services	Sports Grounds Certification	disaggregated			
Place	West		Sports Grounds Certification	disaggregated			
Place	North		Bus services - commercial registrations	Hosted < 12 months - Receiver			
Place	West		Bus services - commercial registrations	Hosted < 12 months - Provider			
Place	North		Bus services - commercial registrations and subsidised services; Traveline database and Concessionary Tra	Hosted < 12 months - Receiver			
Place	West		Bus services - commercial registrations and subsidised services; Traveline database and Concessionary Tra	Hosted < 12 months - Provider			
Place	North	Strategic Transport Planning	Major HW Projects (CPDU)	Hosted < 12 months - Receiver			
Place	West		Major HW Projects (CPDU)	Hosted < 12 months - Provider			
Place	North		Strategic Transport Planning	Hosted < 12 months - Receiver			
Place	West		Strategic Transport Planning	Hosted < 12 months - Provider			
Place	North		Travel choices	Hosted < 12 months - Receiver			
Place	West		Travel choices	Hosted < 12 months - Provider			
Place	North	Street cleansing	Street cleansing	disaggregated			
Place	West		Street cleansing	disaggregated			
Place	North	Street lighting PFI	Street lighting PFI	Lead Authority - Receiver			
Place	West		Street lighting PFI	Lead Authority - Provider			
Place	North	Street naming and numbering	Street naming and numbering	disaggregated			
Place	West		Street naming and numbering	disaggregated			
Place	North	Trading Standards	Trading Standards	disaggregated			
Place	West		Trading Standards	disaggregated			
Place	North	Transport (Home to School)	Transport (Home to School)	Hosted < 12 months - Receiver			
Place	West		Transport (Home to School)	Hosted < 12 months - Provider			
Place	North	Travellers unit	Travellers unit	Lead Authority - Provider			
Place	West		Travellers unit	Lead Authority - Receiver			
Place	North	Voluntary sector support	Voluntary sector support	disaggregated			
Place	West		Voluntary sector support	disaggregated			
Place	North	Waste Disposal (including Closed Landfills)	Waste Disposal (including Closed Landfills)	Hosted < 12 months - Provider			
Place	West		Waste Disposal (including Closed Landfills)	Hosted < 12 months - Receiver			
Place	North	Waste HWRC	Waste HWRC	Hosted > 12 months - Provider			
Place	West		Waste HWRC	Hosted > 12 months - Receiver			

Rolled up Functions - Coloured Cells are the SERVICE HEADINGS being used in future plans - the white cells below are functions now included in SERVICE HEADING above them

**ADULTS COMMUNITIES & WELLBEING**

<b>ADULTS &amp; WELLBEING</b>
Adults Financial & Operations
Adults Commissioning
Adults Brokerage
Adults Quality and Assurance
Adults PBBS (Personal Budget service)
Adults Community Teams
Adults Social Care Assessment
CHC & Care Homes
Inclusion and Mental Health
Learning disability
Business Support
Adults safeguarding
Adults Health & care Partnerships
Prevention and Occupational therapy
Adults Provider Services
Public Health - Provider services Wellbeing Service
Public Health Intelligence & STP
Public Health - Management, Commissioning & Admin
Public Health: DPH

**HOUSING & COMMUNITIES**

Homelessness
Housing
Housing needs and allocations - North
Housing needs and allocations - West
Housing strategy and development of affordable housing
Management of housing stock - North
Management of housing stock - West
Private sector housing standards
Housing Enforcement
Community Safety
Disabled Facilities Grant
Culture & leisure
Leisure services
Community services
Northamptonshire Sport
Theatres
Voluntary sector support
Parish and Town Councils
libraries
Libraries support (incl. traded services)

**CHILDRENS**

<b>CHILDRENS &amp; EDUCATION</b>
Childrens Trust Services
Trust client function
Early Education and Child Care
Education Inclusion and Partnership Team
Education Psychology
EHC,
High Needs and 16-19 Team
Safeguarding in Education
School Admissions
School Place Planning
Schools Improvement
SEND Strategy [IASS]
Sensory Impairment Team
Virtual School

**CORPORATE SERVICES**

<b>CORPORATE SERVICES</b>
Communications
Comms: Internal communications
Comms: PR, press and media relations
Comms: Social media activity and management
Comms: Strategic communications, advice and support
Print
<b>Policy &amp; performance</b>
Business intelligence
Consultation, Equalities & Engagement
Intranet content management
Website content management
<b>Executive Support</b>
<b>Lord Lieutenant Support</b>
<b>Business Transformation</b>
Partnerships
<b>HR and Staff Wellbeing</b>
Apprenticeships (Employer Support/Management and spending of levy)
Apprenticeships (Training Provider - delivering apprenticeships and earning income)
Corporate Health and Safety
HR - Employee Health and Safety
HR - Learning and Development
HR Advisory/Operations
HR Policies and Procedures
<b>HR Payroll and HR Transactions</b>
OPUS/Agency
<b>Legal and Democratic Services</b>
Democratic services
Electoral services
Legal services
Information Governance
<b>Legal services - LGSS Law</b>
<b>Registration Service</b>
Coroners

**CUSTOMER & DIGITAL**

IT Business system - ERP
IT Strategy and Development
IT Digital
IT Programme team
IT Strategy and architecture
IT Operations
IT - Infrastructure
IT Operations
IT: IT Service delivery
Customer Services
Customer Contact Centre
Call Care

**FINANCE**

<b>FINANCE</b>
Finance
Finance - Accountancy
Finance - Exchequer Services (AP/AR)
Finance - Risk and audit
Finance - Treasury
Finance - business partners
Insurance
<b>Revenues and Benefits</b>
Business rates collection
Council Tax base
Council Tax collection
Council Tax Support
Housing benefits administration
Money advice, Social Inclusion and debt advice
BID levy collection
Sundry debt collection
<b>Procurement services</b>
Contract management
Procurement services
Finance - Pensions

**Growth, Climate and Regeneration**

Digital infrastructure
Economic Development
Economic development and regeneration
Commercial Development
Culture & Tourism
Markets management
Growth & Investment
Climate Change
<b>Development Management</b>
Planning policy
Planning Enforcement
Development services
Development control services incl waste, minerals
Street naming and numbering
Estates Capital Projects
Capital Projects & Governance
Capital projects (Property)

**Assets and Environment**

Town Centre Management
Energy and carbon management
Estates and Facilities Management
Facilities Management
Property (Estate) Management
Public Conveniences
Public realm
Street lighting
Verge grass cutting
Car parks management (maintenance)
Street lighting PFI
Schools PFI contract
Bereavement services
Grounds maintenance
Fleet Vehicles
Parking
On street parking (enforcement)
Residents parking
Flood Risk Management
Country Parks
Parks and open spaces
Outdoor Learning *
Country Parks
Public realm
Document Archives
Archives (Wootton Hall)
Heritage
Museum and Art Galleries
Heritage (Chester Farm)

**PLACE & ECONOMY**

**Highways & Waste**

Development Management (Highways)
Highways Contract Management
Highways Traffic Management (Kier Contract)
Business improvement
Community Liaison
Coordination of works on the highway
Highways Traffic Management (Kier Contract)
Investigations, Searches and Definitive Map
Licensing - Highways licences
New Roads and Street Works Act
Rights of way
Road Safety
Technical approval authority
<b>Strategic Transport Planning</b>
Bus services - commercial registrations
Bus services
Major HW Projects (CPDU)
Major HW Projects (CPDU)
Strategic Transport Planning
Travel choices
Transport (Home to School)
Transport & Contracts Management
Minerals and Waste Planning
Refuse and recycling collection services
Refuse and recycling collection services
Waste Disposal (including Closed Landfills)
Waste HWRC
Street cleansing

**Regulatory**

Building Control
Environmental Health
Environmental health
Pest control
Dog Litter
Licensing
Licensing - all kinds
Trading Standards
Regulatory Services
Sports Grounds Certification
Travellers unit
Emergency Planning

# NORTH NORTHAMPTONSHIRE SHADOW AUTHORITY

## EXECUTIVE COMMITTEE

**26<sup>th</sup> November 2020**

<b>Report Title</b>	<b>Civic and Ceremonial Aspects – North Northamptonshire Council – report of the Civic Functions Task and Finish Group</b>
<b>Report Author</b>	<b>Martin Hammond, Interim Monitoring Officer, <a href="mailto:martinhammond@kettering.gov.uk">martinhammond@kettering.gov.uk</a></b>

### List of Appendices

None

### **Purpose of Report**

- 1.1. To consider the recommendations of the Civic Functions Task and Finish Group on future civic and ceremonial arrangements for the new Council.

### **1. Executive Summary**

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- 1.2. This report summarises the conclusions of the Task and Finish Group and addresses the form that civic leadership should take across the area of North Northamptonshire, making recommendations for the look and feel for these from 2021. It proposes that the traditional Mayoral leadership should be vested in town councils and that the new Council should be presided over by a chairman, supported by a deputy, and invested with a modest level of insignia and regalia to add gravitas, without detracting from the historic civic traditions of our major towns.

### **2. Recommendations**

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- 2.1 It is recommended by the Task and Finish Group that this Committee approves the following proposals: -

2.1.1 The Council's constitution should allow for:

- a) The annual election of a chairman (chair/chairperson) to preside at Council meetings and to represent the Council at those local and national civic, royal, and community events as may be appropriate,
- b) The annual election of a deputy chairman (chair/chairperson) to substitute for the chairman, with a view to that person assuming the office of chairman in the following year, subject to the Council's approval.
- c) That the office of chairman and deputy chairman be invested with a chain of office, and the office of chairman be invested with a robe of office, to be worn as appropriate at meetings and events

- d) That dedicated accommodation be provided in due course within the Council's corporate headquarters to act as a reception facility for the chairman to use
- e) That the Chief Executive be asked to identify a member of staff to act as secretary to the Chairman and Deputy Chairman during their year of office
- f) That the Council does not seek to establish a coat of arms for the new Council, but uses its adopted logo on all civic material, including the chains of office
- g) That each Chairman be entitled to appoint a chaplain or chaplains to assist him in their year of office
- h) That an allowance be provided to support the Chairman and defray their expenses during their year of office, composed of a personal allowance (to be determined by the Independent Review Panel) and a hospitality and events budget.

2.2 These recommendations are made with the following principles in mind: -

- They ensure a level of dignity and presence for the office of chairman without competing with the civic traditions of local mayors
- They are reasonably cost effective
- They allow the council to establish its own civic presence and identity over time

### **3. Report Background**

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- 3.1 This task and finish group was charged with considering the form of civic leadership across North Northamptonshire in future. The area of North Northamptonshire is characterised by a significant number of towns and communities with a long tradition of civic pride and historic precedent. The creation of new Town Councils in Corby, Kettering and Wellingborough means that each of those will inherit the Mayoralty currently enjoyed by the outgoing Borough Councils. Furthermore, across the current East Northamptonshire district there are several towns with long histories and Mayoral traditions which have endured at parish levels since 1974.
- 3.2 It is therefore not expected that the new Council will want to seek to establish a "North Northamptonshire" mayoral presence; this would conflict with those enjoyed by the towns, cause confusion and inevitably be less well regarded than the historic mayoralities already in place.
- 3.3 The new Council will still need to have someone to preside over it and to provide some civic leadership, as there will be civic roles which fall to the new Council to perform. Therefore, it is proposed that
- a) The Council has an office entitled chairman (or chair, or chairperson, depending on the preference of the person holding that office). This person shall be elected annually, at the Council's annual meeting and should normally expect to be in office for a year
  - b) They are supported by a Deputy Chairman, who can substitute for the Chairman, and who would normally be expected to succeed the chairman in the following year.

- c) Certain insignia, and support arrangements are approved, as set out in the recommendations and discussed below.

#### **4. Issues and Choices**

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- 4.1 Locally, the existing arrangements which are closest to the proposed structures are at the County Council and at East Northamptonshire Council, which both operate a chairman model. So, experience of their work volumes and arrangements have been used to draft the following commentary.
- 4.2 For the office of chairman to function effectively, it needs to feature the following attributes
- Insignia to indicate the office held and demonstrate its position
  - Accommodation from which to provide space for events, meetings and an office
  - Secretarial and other assistance to support the chairman and deputy chairman in their work
- 4.3 It is common for office holders to be provided with a chain of office; in most cases, this is available to the chairman, deputy and their consorts. It is likely that chains currently used by East Northamptonshire Council could be re-purposed for the new council to use, with a change made to the insignia on them to reflect the change of council. This would be a cost-effective route. The agreement of ENC and of Rushden Town Council would need to be sought. (before 1974, the chains belonged to Rushden UDC). It is assumed that all other Mayoral insignia in use by Borough Councils will be transferred to successor Town Councils. The Task and Finish Group considered that there was merit in providing a robe or the chairman to wear at meetings and events, this could be sourced from an existing Council's assets or acquired relatively cheaply. A proposal was made for robes to be designed by fashion/art and design students at either Tresham College or the University of Northampton as an inexpensive way of producing a distinctive, characterful and locally relevant piece of clothing. There will be a cost associated with changing the insignia on the chains of office to ones which reflect the new Council; see also para 4.9 below.
- 4.4 Council chambers are often used for civic events, where these happen within Council offices, but is usual to provide some dedicated office space for the chairman to use for smaller events, for meetings and for hospitality and for their own use. It should be possible to identify space within the new Council's estate or corporate HQ for this purpose. At NCC, the chairman has approximately 20 engagements a year plus royal visits, and at ENC approximately 90 engagements, so it is unlikely that the new Council chairman's workload will differ significantly from this.
- 4.5 It is common for civic leaders to enjoy the support of a "chaplain" or sometimes two chaplains - this is generally provided gratis by a faith leader chosen by the chairman. This tradition can be maintained into the unitary if so desired.
- 4.6 Secretarial support is usually provided to a chairman, to arrange meetings and events, keep a diary, provide advice and support both to the chairman and to those doing business with the chairman. At NCC, this consumes approximately 1 day a week of time and at ENC about 1.5 days. Some out

of hours support for events takes place as well. It should therefore be possible to identify a member of staff within the Council's establishment who could take on this role alongside other duties.

- 4.7 It is not proposed that the Chairman is provided with either a car or driver because of the expense; at NCC and ENC, the chairman provides their own transport, with use of a hire car or taxi for some evening events.
- 4.8 In terms of an allowance, at NCC, this is £12072 and at ENC it is £5100. This is intended to cover costs incurred, for example, clothing, hospitality, purchasing tickets for events and charities, gifts and sundry expenses. On top of that, mileage and subsistence claims can be made. The Vice chairman's allowance at NCC is £2219 and at ENC it is £850. Allowances for the Chairman can be divided into two distinct elements – a personal allowance to defray items such as clothing, transport and subsistence, and a hospitality and events budget to meet the direct costs. The first would be taxable, the second would be a spending budget. The Task and Finish Group agreed this was an appropriate arrangement and proposed that the Independent Review Panel examining Members' allowances should make recommendations on the amounts.
- 4.9 There is separately the issue of whether the Council should seek to adopt a coat of arms in addition to its logo, to denote its civic position in the community and more widely. The College of Arms has asked if this is a route we wish to follow. On the basis on inquiries for other coat of arm changes made recently, it is expected that the cost of creating a coat of arms will be from £13000-£20,000 including the cost of fees to the college of arms, graphic design costs, printing and casting the insignia. The Task and Finish Group proposes that the Council's agreed logo should be used and that this can be reproduced within the insignia used on the chains of office. See the points in para 4.3. above as well.
- 4.10 Most districts and Boroughs have over time, appointed honorary alderman and bestowed freedom of their Boroughs on individuals. Those appointments will novate over to the new North Northamptonshire Council, which can continue to create honorary aldermen or bestow freedom of the district on people in future. Outgoing Councils can also do that between now and vesting day.

## **5. Implications (including financial implications)**

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### **5.1 Resources and Financial**

- 5.1.1 The cost of two chains office and a robe could potentially be met by re-purposing existing chains and robes, at a small cost arising from the change of insignia.
- 5.1.2 Given the likely workload arising from the office, it is thought that the secretarial support can be absorbed within an existing job description within the democratic services team or the chief executive's office.
- 5.1.3 An allowance can be included within the overall budget for members' allowances.

- 5.1.4 There should be no direct additional costs associated with the appointment of a chaplain, or the identification of office accommodation.
- 5.1.5 The creation of a coat of arms would cost approximately £13000-£20000 in fees to the college of arms, additional graphic design, printing and casting costs to make new insignia. Replacing the insignia on a re-used chain of office will cost approximately £2000.
- 5.1.6 The additional costs identified are one off in nature and would need to be incorporated into the first year's budget for the new council. They would be funded from existing revenue budget provision or use of reserves.

## **5.2 Legal**

- 5.2.1 There are no legal implications arising from the proposals. The law requires that the Council must have a chairman, and a deputy chairman, however styled, to preside at its meetings.

## **5.3 Risk**

- 5.3.1 There are no significant risks arising from the proposed recommendations in this report.

## **5.4 Consultation**

- 5.4.1 The task and finish group has not carried out any specific consultation on these proposals.

## **5.5 Consideration by Overview and Scrutiny**

- 5.5.1 None to date

## **5.6 Climate Impact**

- 5.6.1 None.

## **5.7 Community Impact**

- 5.7.1 The proposals will create a level of civic leadership and a focal point for the new Council with the community, without competing with the various mayoralties within the district.

## **6. Background Papers**

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- 6.1 Letter from College of Arms 29<sup>th</sup> September 2020
- 6.2 Email exchange with NCC and ENC staff

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**NORTH NORTHAMPTONSHIRE SHADOW AUTHORITY**  
**SHADOW EXECUTIVE COMMITTEE MEETING**

**26<sup>th</sup> November 2020**

<b>Report Title</b>	Assets, Capital Schemes and Reserves Notification Process - Chester House Estate Update	
<b>Report Author</b>	Kerry Purnell, Assistant Director Corporate & Community Services NCC <a href="mailto:kepurnell@northamptonshire.gov.uk">kepurnell@northamptonshire.gov.uk</a>	
<b>Future Northants Programme</b>		Place
<b>Future Northants Programme Lead</b>		Martin Hammond

**List of Appendices**

Appendix A – Report to NCC Cabinet 10<sup>th</sup> November 202

Appendix B – Addendum Report to NCC Cabinet 10<sup>th</sup> November 2020

**1. Purpose of Report**

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- 1.1 The purpose of this report is to advise the Shadow Executive of a proposal that is considered to be notifiable under the Assets, Capital Schemes and Reserves Notification Process (the Process) adopted by the Shadow Executive at its meeting on 23 July 2020.

**2. Background**

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- 2.1 The new unitary authorities for North and West Northamptonshire will come into existence from 1 April 2021. The resources, investments and assets of the predecessor authorities will transfer to one or other of the new authorities on that date. It is recognised that decisions and actions taken by the existing authorities should be done so in the context of not adversely impacting on the new authorities.
- 2.2 A Process was adopted by the Shadow Executive at their meeting on 23<sup>rd</sup> June 2021. Under the process, any **proposed** purchase, disposal and transfer of assets, new capital schemes with on-going financial commitments and use of reserves **above those already set out in each council's budget**, by any of the existing councils above a set *de minimis* level must be notified to the relevant Shadow Executive(s).

- 2.3 The *de minimis* level above which notification for financial proposals must be made is £100,000. The notification requirement and *de minimis* level will apply to both capital and revenue proposals. Exceptions exist for:
- Adult and Children care packages
  - HR matters and issues.
- 2.4 The process requires that any qualifying proposal must be submitted by the applicable authority's Chief Executive or Chief Finance Officer (s.151 officer) to the Interim Chief Executive(s), who will arrange for the proposal to be discussed at the next available meeting of the Shadow Executive(s).
- 2.5 The Shadow Executive will act as a consultee and will be asked to endorse, rather than approve the proposal put before it.

### **3. Recommendations**

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- 3.1 It is recommended that the Shadow Executive Committee endorse the sovereign Authority, NCC's, decision to:
- Endorse the updated Business plan for Chester House Estate (formally Chester Farm) and acknowledge the progress made over the last 6 months
  - Support the proposed media launch (date to be determined) post lifting of national restrictions
  - Approve the proposal to uplift the budget by £850k for the bond funding which is required in order to complete the capital works as indicated in the December 2019 Cabinet report
  - Approve the uplift of the capital budget by £722k in respect of Heritage Lottery Grant Funding previously assigned to revenue for project management and other fees which will now be capitalised
  - Approve the further uplift of the capital budget by £700k in anticipation of a further Heritage Lottery Grant

### **4. Issues and Choices**

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- 4.1 The proposals for consideration are set out at Appendices A and B to this report. The Business Plan and slides at Appendices C and D provide the full outline of the Chester House Estate programme.

### **5. Implications (including financial implications)**

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#### **5.1 Policy**

- 5.2 The proposals for consideration are considered to be notifiable under the Process as outlined above.

#### **5.3 Financial Implications and Risk**

5.4 The process of notifying the Shadow Executive of the attached proposals is a mechanism for reducing the risk of an individual authority making a decision that may be detrimental to the unitary authority.

5.5 Although there were no immediate financial implications from NCC's decision to endorse the recommendations, the Shadow Authority should in particular note paragraph 2.8 in Appendix B (addendum report) which states:

'If the new NHLF grant application is not successful the intention is to complete the capital works within the existing budget envelope through any value engineering that is necessary but will not compromise the delivery of the business plan.'

5.6 NCC will know by 19<sup>th</sup> December if the new HLF grant application is successful and will know by week commencing 23<sup>rd</sup> November what the final contract sum of the new capital works contract will be, and therefore if any funding gap remains. The Chester House Estate project team are working up mitigations should a gap emerge.

5.7 In addition to the capital investment the report to NCC Cabinet sets out, the business case which will have a financial impact on the new council, will need to be incorporated into future budget provisions.

#### 5.8 **Legal**

5.9 The Process is an alternative to a Section 24 notice and allows local needs to be met, such as certain exceptions, and builds on the spirit of collaboration and co-operation in managing resources, investments and assets that already exists amongst the existing councils.

#### 5.10 **Equality and Health**

5.11 The report has no immediate or direct impact on equalities. It will be important to do equalities impact assessments when it gets to the detailed planning of individual activities that will be delivered on site.

#### 5.12 **Climate and Environment**

5.13 The whole scheme has been through a Planning Process. This includes consultation with statutory partners including Natural England, Environment Agency and Highways Agency.

#### 5.14 **Community**

5.15 None specifically.

### 6 **Background Papers**

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Chester House Estate Business Plan  
Chester House Estate Business Plan changes presentation

**CABINET**

**10<sup>th</sup> November 2020**

**DIRECTOR OF FINANCE: BARRY SCARR**

**CABINET MEMBER WITH RESPONSIBILITY FOR CHESTER FARM:  
CLLR LIZZY BOWEN**

Subject:	The future sustainability of Chester Farm
Recommendations:	<p>That Cabinet:</p> <ol style="list-style-type: none"> <li>1. Endorses the updated Business plan for Chester Farm and acknowledges the progress made over the last 6 months.</li> <li>2. Supports the proposed media launch on 1<sup>st</sup> December 2020.</li> <li>3. Approves the proposal to uplift the budget by £850k for the bond funding which is required in order to complete the capital works as indicated in the December 2019 Cabinet report.</li> <li>4. Approves the uplift of the capital budget by £672k in respect of Heritage Lottery Grant Funding previously assigned to revenue for project management and other fees which will now be capitalised.</li> </ol>

**1. Purpose of report**

1.1 The purpose of the report is to bring Cabinet members up to date with the current position of the Chester Farm programme and to highlight the key changes made to the Business Plan and associated financial projections since it was last presented to Cabinet in December 2019.

**2. How this decision contributes to the Council Plan**

The Council's vision is for Northamptonshire to be a county where everyone looks after each other and takes responsibility, where the vulnerable are protected and supported and where the people who can help themselves receive the assistance they need to stay independent and healthy.

This initiative helps the Council to deliver this vision through the following strategic priorities outlined in the Council Plan:

- Enabling individuals and communities to achieve better outcomes.
- Engaging with partners and communities to co-design and co-deliver services.
- Using innovation to find better and more sustainable ways of delivering

- services ensuring they are efficient and affordable in the long term.
- Utilising the Council's assets effectively.

### **3. Background**

- 3.1 Chester Farm is a nationally important 35-hectare Scheduled Monument, with a complex of listed farm buildings at its centre, owned by the County Council since 2002. It sits just south-east of Wellingborough, in the Nene Valley and opposite a Site of Special Scientific Interest (SSSI). The Council has a statutory responsibility to preserve and maintain the site's heritage. Support of £3.97m was secured from the National Lottery Heritage Fund (NLHF - formerly the Heritage Lottery Fund) in 2013. This enabled the authority to embark on an ambitious project to develop the site.
- 3.2 The County Council's commitment is to secure the long-term sustainability of the site by creating both a visitor destination and a commercial offer. The business case presented in December 2019 was based on the development of the site on a 'mixed use' basis with certain buildings and activities providing core income generation that will support the site's operational costs, including the heritage, education and community engagement offer necessary to meet the funding requirements of NLHF.
- 3.3 Cabinet agreed in December 2019 to support a further capital investment of £1.374m following a comprehensive options appraisal. Cabinet also agreed` to delegate authority to the Executive Director of Finance, in consultation with the Deputy Leader (portfolio holder for Chester Farm) to progress with the procurement of a new contractor to complete the construction.

### **4. Contractual Position**

- 4.1 Northamptonshire County Council decided upon a procurement route using the Fusion 21 framework. The framework offered the council an ability to approach the market swiftly. Contractors on the framework had already passed rigorous quality assessments.
- 4.2 The tender went live on Friday 6th March 2020 and the process closed in April. Unfortunately only one bid was received which was significantly above the budget allowance and also not accepted due it being non-compliant.
- 4.3 An independent Post Tender report was completed to help us understand where the bid was at odds with the Pre-Tender Estimate and what other factors were at play such as the impact of Covid-19.
- 4.4 NCC Leadership Team discussed the issue in May and agreed at that point to pause going back out to tender due to the uncertainties in the market caused by the pandemic and to liaise with NHLF to secure this leeway.
- 4.5 On 4<sup>th</sup> May 2020 the new Chester Farm Business Development Manager Jack Pishhorn took up post. The pause in tender process has afforded him the opportunity to get up to speed, review the Business Plan and to build

relationships with key stakeholders such as NHLF, Historic England, Natural England, Nenescape and academic partners amongst others.

- 4.6 In addition, soft market testing was carried out during May 2020 which indicated that the market was becoming more positive following the lockdown period – with supply chains and sub-contractors also following suit. This intelligence was used by the NLT to review the impacts upon the project and it was agreed that the project should progress with a new ‘open-book’ tender process.
- 4.7 As part of the discussions about the refreshed Business Plan with the CF Project Board, including NLHF, the Pre-Tender documents were also updated to ensure the capital works align with the new business plan and will deliver buildings and spaces that will enable the new Plan to be implemented effectively.
- 4.8 This process added in a slight further delay in the new procurement process, the impact of which means the site will not be open to the public until October 2021.
- 4.9 The new Capital Works tender was issued via an ‘open tender process’ on 25<sup>th</sup> August 2020 and closed on 2<sup>nd</sup> October. The evaluation process is underway and the aim is to award the contract in November and for works to start on site in December 2020.
- 4.10 The only exception to this will be the commissioning and finalisation of the ARC as it is already near completion. This will be tendered separately off framework as the sooner we can operationalise the building the sooner we can save on other archive storage costs, start generating income and provide better work space for the Chester Farm team.

## **5. Business Plan refresh and Key Changes**

- 5.1 The covid ‘pause’ and refresh of the plan and tender documents mean that the opening date is now planned to be October 2021. Financial projections have been updated to reflect this for both 2020/21 and 2021/22. However every effort will be made to make certain elements of the site operational ahead of the full opening to the public in October 2021 so that any opportunities to secure commercial income and/or save on revenue costs will be maximised as soon as practicable.
- 5.2 All commercial activity now has recorded expenses against each income line. All potential operational expenses are now identified in greater detail. E.g. staff uniforms, training and development, EPOS systems, the Natural England Stewardship Scheme, marketing and PR, general expenses, office supplies and bank/merchant charges.
- 5.3 The NCC Chester Farm revenue budget has been scrutinised in detail to ensure it matches the Business Plan. Revenue spend that currently sits in the HLF capital works was also not included and now is. There is now a clear and relevant revenue forecast for the next 48 months covering the Chester Farm restoration works and opening period. The projected income lines and operations have been revisited to ensure we can become financially sustainable and the business plan is achievable.

5.4 The refreshed Business Plan and summary of the changes (captured in the visual slide set) are appendices to this report.

5.5 In summary these changes include:

- running the catering in-house;
- introducing a Chester Farm retail offering - changing the use of buildings 5, 6 and 7 for retail letting instead of commercial SME lets for which the market is now unclear;
- increasing the amount of visitor events and programming and introducing a second wedding venue (marquee);
- using the residential flat in the main farmhouse building as a bed and breakfast offer for customers attending events such as weddings.
- using the large new building 17 to present the entire Chester Farm story, through the interpretation project, as a museum piece, to sit opposite building 12 which will be our main education space. This will enable Chester Farm to apply for museum accreditation;
- making Chester Farm a free to enter site by removing the car parking charge.
- installing an outdoor play area and log cabin to provide on-site accommodation for our Facilities Supervisor who has recently been recruited.
- a revised staffing structure which now includes a full time Catering Manager, Catering Supervisor, Operations Supervisor and Events and Weddings Officer. The structure also includes seasonal and casual roles for the education, events and catering offerings.
- to accompany the changes within the Business Plan, Holman Neville has been commissioned to provide 11 hand drawn artist impressions of Chester Farm. These pictures include large scale events down the main drive, the artisan shopping courtyard, the interpretation centre and the bed and breakfast offering.

5.6 The refreshed Business Plan has been shared with NLT and with NHLF and other key stakeholders with positive feedback.

5.7 It is intended that Chester Farm has a standalone identity and brand, which is currently under development and a Chester Farm Website has been commissioned and scoped. It will be fully smartphone friendly, linked to the Chester Farm EPOS till system allowing online ticket sales and donations.

5.8 A huge amount of work is ongoing around developing key partnerships and stakeholder relationships in support of the future delivery of the business plan and of the planned education and outreach programme. The vision for this programme and the activity plan which sits within it have been refreshed. The vision is for the education and outreach work is:

**‘To make the Chester Farm Heritage Park somewhere that people want to come; a place that through education, learning and enjoyment adds value to their lives, and help them to appreciate Northamptonshire’s outstanding heritage.’ ‘By developing and delivering outstanding educational programmes through the ‘4 to 104 years’.**

- 5.9 Developing partnerships include those with the University of Leicester where there is agreement for UOL to carry out university led digs at Chester Farm within the walled garden. UOL will also involve many local schools and community groups. The next dig will take place May-June 2021. UOL have also shared interest in involving their museum and interpretation department to aid the development of our interpretation spaces and providing the ARC curator a PHD student for 12 months. They will also be heavily involved in our development of the Chester Farm guidebook and history map.
- 5.10 Other emerging partnerships include University College London, Moulton College, Tresham College, Northampton College and the University of Northampton. Discussions underway cover a range of opportunities such as student placements / courses for archaeological fieldwork, archiving, land management, retail, events and marketing / social media and Artificial and Virtual Reality technology; geophysical surveys of the site, 3d modelling, land management, site restoration projects and agricultural education experiences.
- 5.11 A launch of the site is being planned for 1<sup>st</sup> December 2020 and to facilitate this a Chester Farm documentary/launch video has also been commissioned.

## **6. Financial Implications and Budget update**

- 6.1 Before going out to tender again in August a further affordability reassurance exercise was undertaken and presented to the Project Board. The exercise identified that the Pre Tender Estimate generated by the appointed external Quantity Surveyors was within the overall budget envelope agreed by Cabinet as part of the December 2019 report. Additionally the approved budget covers costs of professional appointments such as the design team, clerk of works and project managers.
- 6.2 The remaining capital works budget including the provision from the December 2019 Cabinet equates to £4,081,200. This includes use of the £850,000 bond NCC is due to receive from the Bondholder, as a result of the administration process following the collapse of Shaylor Plc, once the capital works are completed. The split of expenditure is as follows:

Construction Works	£2,527,800
Contingency	£260,262
Professional Fees	£196,446
Project Management Fees	£217,692
Clerk of Works	£24,000
Archaeological Fees	£10,000
Statutory Fees	£25,000
Additional Capital Works	£800,000
Miscellaneous Hire	£20,000



6.3 The overall financial position is summarised in the table below:

	<b>£000</b>
<b>Capital Expenditure:</b>	
Spend to date (end September 2020)	9,858
Other professional fees to tender stage still to be invoiced	58
Further expenditure (see 6.2)	4,081
<b>Total Expenditure</b>	<b>13,997</b>
<b>Funded By:</b>	
Discretionary Borrowing – approved	-8,464
Heritage Lottery Fund – received	-3,433
Heritage Lottery Fund – final claim	-484
Highways Capital Grant	-436
Revenue Contribution to Capital	-330
Other Income	-850
<b>Total Funding</b>	<b>-13,997</b>

6.4 In the Cabinet report of December 2020 the allocation of the bond to the programme was implied but not explicit. Cabinet’s approval for its allocation is now requested.

6.5 Also, in the December 2019 Cabinet report, £3,245k of Heritage Lottery Grant was assumed as part of the capital funding envelope. However, with a review of expenditure and capitalisation this is now increased to a total of £3,917k leaving a small £50k contingency against revenue items. As can be seen in the above table £3,433k of this grant has now been claimed, received and allocated to capital.

6.6 The revised 5 year Profit and Loss account resulting from the refresh of the Business Plan is attached as Appendix 1. As in the Business Plan of November 2019 the site is expected to start making a profit in year 2, but under the new plan the margins are greater, projected at circa £70k rather than £16k

6.7 The ongoing revenue position is summarised below. These figures are extracted from the more detailed 5 year P&L in Appendix 1 and rounded to the nearest 1000.

	20-21	21-22	22-23	23-24	24-25	25-26
<b>Expenditure</b>						
Staffing	-116,500	-291,000	-365,000	-377,000	-377,000	-377,000
Catering	00	-51,000	-99,500	-101,000	-101,000	-101,000
Retail	00	-7,000	-8,000	-8,000	-10,500	-10,500

Events	00	-6,000	-43,000	-43,000	-46,000	-50,000
Education	00	-8,000	-15,000	-15,000	-15,000	-15,000
Accommodation	00	00	-3,000	-3,000	-3,000	-3,000
Archiving Centre	-34,000	-14,000	-22,000	-22,000	-22,000	-22,000
Maintenance and Services	-156,000	-94,000	-86,500	-96,000	-96,000	-96,000
Marketing and PR	0.00	-28,000	-28,000	-28,000	-28,000	-28,000
Site Operations	-2400.00	-6,000	-8,000	-8,000	-8,000	-8,000
<b>Total Expenditure</b>	<b>-309,000</b>	<b>-506,000</b>	<b>-678,000</b>	<b>-702,000</b>	<b>-708,000</b>	<b>-711,000</b>
<b>Income</b>						
NCC Contribution	178,000	178,000	179,000	180,000	180,000	180,000
Artisan Shopping Lets / Land	36,000	41,000	74,000	75,000	73,000	84,000
Retail	00	6,000	15,000	15,000	20,000	20,000
Accommodation	00	00	25,000	25,000	25,000	25,000
Education	00	18,000	42,000	48,500	56,000	61,000
Archiving Centre	14,000	10,000	10,000	12,000	15,000	25,000
Donations	00	5,000	10,000	10,000	15,000	15,000
Catering	00	83,000	256,500	265,000	265,000	275,000
Events	00	50,000	136,000	154,000	180,000	204,000
<b>Total Income</b>	<b>228,000</b>	<b>391,000</b>	<b>748,000</b>	<b>784,000</b>	<b>829,000</b>	<b>888,000</b>
<b>Total Profit/Loss</b>	<b>-81,000</b>	<b>-115,000</b>	<b>70,000</b>	<b>82,000</b>	<b>121,000</b>	<b>177,000</b>

## 7. Consultation, engagement and Scrutiny

7.1 Scrutiny Committee held a session dedicated the Chester Farm following the Cabinet report in December 2019.

7.2 There has also been regular dialogue with the National Lottery Heritage Fund as the main partner funding body. The initial funding period for the project expired in July 2019. NCC applied for an extension to July 2021 and was granted one until October 2021.

## 8. Equality screening

8.1 The report has no immediate or direct impact on equalities. It will be important to do equalities impact assessments when it gets to the detailed planning of individual activities that will be delivered on site.

<b>Reason that no EqlA is required</b>	<b>as appropriate</b>
The paper is for information only	
The proposal/activity/decision has no impact on customers or	

the service they receive	
The proposal impacts upon staff but the proposed staffing changes will not affect the service that customers receive*	
Other (Please explain further)	

\*Where a proposal affects staff, the appropriate HR processes will be followed, which have already been subject to the EqIA process and will be compliant with HR legislation

## 9. Risk and Business Continuity Management

a) Risk(s) associated with not undertaking the proposal (use of Bond)-

Risk	Risk Rating
Site not completed in time and in budget remains an ongoing financial liability	Red
NCC may lose the National Lottery Heritage Fund grant	Red
Loss of reputation and County Council unlikely to get grant support for future heritage projects.	Red

## 10. List of Appendices

Appendix 1 - Chester Farm Business Plan August 2020

Appendix 2 - Chester Farm Business Plan presentation (key changes)

Author:	Name: Kerry Purnell Team: Assistant Director, Corporate & Community Services
Contact details:	Tel: 07787 266210 Email: kepurnell@northamptonshire.gov.uk
Background Papers:	
Does the report propose a key decision is taken?	YES
If yes, is the decision in the Forward Plan?	YES
Will further decisions be required? If so please outline the timetable here	No
Does the report include delegated decisions? If so, please outline the timetable here	No
Is this report proposing an amendment to the budget and/or policy framework?	Yes, use of the bond as part of the capital programme
Have the financial implications been cleared by the Strategic Finance Manager (SFM)? Have any capital spend implications passed through Capital Programme governance procedures?	YES Name of SFM: Rosemary Pallot  YES reports monthly to the Capital Board and was subject to a focussed review on 5 <sup>th</sup> October 2020
Has the report been cleared by the relevant Director?	Name of Director: Barry Scarr

Has the relevant Cabinet Member been consulted?	YES Cabinet Member: Cllr Lizzy Bowen
Has the relevant scrutiny committee been consulted?	NO Scrutiny Committee:
Has the report been cleared by Legal Services?	YES Name of solicitor: Edwina Adefehinti
Have any communications issues been cleared by Communications and Marketing?	YES Name of officer: Liam Beasley
Have any property Issues been cleared by Property and Asset Management?	YES Name of officer: James Wheeler
Have the Procurement Implications below been referenced in the Paper:	YES New contract approach agreed with LGSS Procurement
Are there any community safety implications?	N/A
Are there any environmental implications:	<p>The whole scheme has been through a Planning Process. This includes consultation with statutory partners including Natural England, Environment Agency and Highways Agency.</p> <p>The whole flood and drainage scheme for the site was designed to have minimal environmental impact by the use of a klargester, for example. There are some solar panels on some of the buildings though the extent this was constrained by the nature of the historic buildings.</p>
Are there any Health and Safety Implications:	YES Risk assessment have already been undertaken in terms of visitors using the green space. These will be reviewed and updated prior to the site being opened, and will include all hazards relating to the use of the buildings.
Are there any Human Resources Implications:	YES Staff are being recruited as per the Business Plan
Are there any human rights implications:	NO Checked with Legal Services.
Constituency Interest:	Irchester Ward, Borough Council of Wellingborough

**CABINET**

**10<sup>th</sup> November 2020**

**DIRECTOR OF FINANCE: BARRY SCARR**

**CABINET MEMBER WITH RESPONSIBILITY FOR CHESTER FARM:  
CLLR LIZZY BOWEN**

Subject:	<b>Addendum to the report - The future sustainability of Chester Farm</b>
Revised Recommendations:	<p>That Cabinet:</p> <ol style="list-style-type: none"> <li>1. Endorses the updated Business plan for Chester Farm and acknowledges the progress made over the last 6 months.</li> <li>2. Supports the proposed media launch (date to be determined).</li> <li>3. Approves the proposal to uplift the budget by £850k for the bond funding which is required in order to complete the capital works as indicated in the December 2019 Cabinet report.</li> <li>4. Approves the uplift of the capital budget by £722k in respect of Heritage Lottery Grant Funding previously assigned to revenue for project management and other fees which will now be capitalised.</li> <li>5. Approves the further uplift of the capital budget by £700k in anticipation of a further Heritage Lottery Grant.</li> </ol>

**1. Proposed Media Launch**

**1.1 Update to paragraph 5.11 of the report:**

Due to the Covid-19 November to December National Restrictions the launch of the site, originally planned for 1<sup>st</sup> December 2020, has been postponed until it is safe for site engagement with members of the local and national press.

**2. Tender Process**

2.1 The Cabinet report sets out, in paragraph 6.2, the remaining capital works budget including provision from the December 2019 Cabinet as £4,081,200.

2.2 The Pre-tender estimated cost (PTE) was £2,670,800. Only one tender was received when the procurement closed on 2<sup>nd</sup> October. Following a period of clarifications by the project team and the Quantity Surveyors, the value of the tender is currently at £3,998,831.

- 2.3 The headline differences in the PTE to tender arise from a £220k increase linked to the bidder allowing for all new flooring, doors and iron guttering. The mechanical and engineering (M&E) package is £600,000 above the PTE almost entirely due to M&E contractors who worked on the previous Shaylor contract, adding in the lost income they experienced as a result of Shaylor going in to administration. The risk in bringing in new contractors is that NCC would not obtain warranties for either the previous or new M&E, which builds in unacceptable risks for the future.
- 2.4 However, following a face-to-face meeting with the bidder, they have agreed to carry out an inventory on site, at no cost to NCC, in order to provide a further breakdown of costs with current M&E providers and a fuller estimate of what other previous work can be reclaimed. This work will start on Wednesday 11<sup>th</sup> November for two weeks. The finalised tender value will be provided following this and it is anticipated that further reductions in contract price will be achieved.
- 2.5 If the contract sum can be achieved the bidder has a short lead in time to fully starting construction on site, so that the projected timeline for the completion of the capital works and the site becoming operational, will not be compromised.
- 2.6 The Senior Responsible Officer and Project team maintain a healthy and transparent relationship with the National Lottery Heritage Fund who have been appraised of the current tender situation.
- 2.7 NHLF have agreed in principle for a £700,000 grant application increase to be considered and invited an application from NCC to be submitted forthwith. As a major stakeholder they are working with NCC to ensure site and project completion. This will decision will be made formally on 18<sup>th</sup> December 2020.
- 2.8 If the new NHLF grant application is not successful the intention is to complete the capital works within the existing budget envelope through any value engineering that is necessary but will not compromise the delivery of the business plan.

### **3. Uplift of the Capital Budget**

- 3.1 In paragraph 6.5 of the report Cabinet is informed that in the December 2019 Cabinet report, £3,245k of Heritage Lottery Grant was assumed as part of the capital funding envelope. However, with a review of expenditure and capitalisation this is now increased to a total of £3,967k, not £3,917k as stated in the report, as the proposed £50k contingency for revenue items is not required. A contingency is already built into the revenue budgets for the business plan.
- 3.2 Therefore the capital uplift requested from this HLF Grant is for £722k

3.3 As detailed in section 2 above a further uplift capital uplift is requested for £700k in anticipation of the further grant award by HLF. This will provide the approval for the maximum spend needed to ensure site completion is secured for NCC and the future Unitary Authorities.

3.4 The revised split of the capital works is shown below, taking in to account the additional funding anticipated from NHLF:

Construction Works	£2,527,800	£3,200,000
Contingency	£260,262	£260,262
Professional Fees	£196,446	£196,446
Project Management Fees	£217,692	£217,692
Clerk of Works	£24,000	£24,000
Archaeological Fees	£10,000	£10,000
Statutory Fees	£25,000	£25,000
Additional Capital Works	£800,000	£800,000
Miscellaneous Hire	£20,000	£20,000
<b>Total</b>	<b>£4,081,200</b>	<b>£4,766,954</b>

3.5 The revised overall financial position is summarised in the table below:

	<b>£000</b>
<b>Capital Expenditure:</b>	
Spend to date (end September 2020)	9,858
Other professional fees to tender stage still to be invoiced	58
Further expenditure (see 6.2)	4,767
<b>Total Expenditure</b>	<b>14, 683</b>
<b>Funded By:</b>	
Discretionary Borrowing – approved	-8,464
Heritage Lottery Fund – received	-3,433
Heritage Lottery Fund – final claim	-484
Additional Lottery Grant (Dec 20)	-700
Highways Capital Grant	-436
Revenue Contribution to Capital	-330
Other Income	-850
<b>Total Funding</b>	<b>-14,697</b>

3.6 There is no direct financial implications for NCC as a result of this addendum and no further allocation of funds is being requested.

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# NORTH NORTHAMPTONSHIRE SHADOW AUTHORITY

## SHADOW EXECUTIVE COMMITTEE MEETING

**26<sup>th</sup> November 2020**

<b>Report Title</b>	<b>External Audit Appointment Arrangements</b>
<b>Report Author</b>	<b>Glenn Hammons, Interim Chief Finance Officer, glenn.hammons@northnorthants.gov.uk</b>

### List of Appendices

#### **Appendix A – Letter from Public Sector Audit Appointments (PSAA)**

##### **1. Purpose of Report**

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- 1.1. To determine North Northamptonshire’s arrangements for appointing an external auditor from 1<sup>st</sup> April 2021.

##### **2. Executive Summary**

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- 2.1 There is a statutory requirement for external auditors to be appointed for North Northamptonshire Council by no later than 31 December in the preceding financial year before vesting day.
- 2.2 The organisation responsible for appointing external auditors for local government, the Public Sector Audit Appointments (PSAA), has written to the Shadow Authority, see appendix 1, requesting direction on the approach North Northamptonshire wishes to undertake to appoint its external auditors from 1<sup>st</sup> April 2021.
- 2.3 The report sets out the options available to the authority and proposes a recommendation to ensure the safe and legal transition of external audit arrangements from the existing sovereign councils to the new council.

##### **3. Recommendations**

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- 3.1 It is recommended that the Shadow Executive Committee:
  - a) Agree to ‘opt in’ to the Public Sector Audit Appointments (PSAA) process.

(Reason for Recommendations – the option proposed aligns most closely with being a safe and legal authority on vesting day)

## 4. Report Background

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- 4.1 The Local Audit and Accountability Act 2014 (the Act) brought to a close the Audit Commission and established transitional arrangements for the appointment of external auditors and the setting of audit fees for all local government and NHS bodies in England.
- 4.2 The Act also set out the arrangements for the appointment of auditors for subsequent years, with the opportunity for authorities to make their own decisions about how and by whom their auditors are appointed. Regulations made under the Act allow authorities to 'opt in' for their auditor to be appointed by an 'appointing person'.
- 4.3 In July 2016, PSAA were specified by the Secretary of State as an appointing person for principal local government bodies under the Local Audit and Accountability Act 2014 and the Local Audit (Appointing Person) Regulations 2015 (the Regulations). PSAA is an independent, not-for-profit company limited by guarantee and established by the LGA.
- 4.4 This specification requires PSAA to appoint the external auditor to principal local government bodies that choose to 'opt in' to its national appointment arrangements. The Regulations (regulation 10) provide that a newly-established eligible authority may opt in by giving notice to PSAA of the decision to become an opted-in authority. The authority will remain an opted-in authority for the remainder of the applicable five-year compulsory appointing period (2018/19 to 2022/23).
- 4.5 North Northamptonshire Council is eligible to become an opted-in authority from 1 April 2021, for the remaining two years of the appointing period covering the accounts for 2021/22 to 2022/23.
- 4.6 If the new authority decides to opt into the PSAA appointment process it will need to complete a notice and send it to the PSAA. The PSAA will confirm receipt of the completed notice. Once received the PSAA will consult on the proposed auditor appointment.
- 4.7 Opted-in bodies therefore have the opportunity to make representations about the firm proposed, setting out the reasons formally in a response to PSAA. The following may represent acceptable reasons:
- there is an independence issue, of which PSAA had not been informed;
  - there are formal and relevant joint working arrangements, of which PSAA had not been informed; or
  - there is another valid reason, for example a body can demonstrate a history of inadequate service from a particular firm.
- Representations are considered carefully and PSAA makes a formal response in every case, whether accepted or rejected. Where representations are accepted, the PSAA consult on a revised appointment proposal.
- 4.8 Full details on the auditor appointment process are available on the PSAA website.

- 4.9 All of the sovereign councils in North Northamptonshire agreed to 'opt in' to the PSAA appointment process when the new requirements came in. The external auditor appointed by the PSAA to all sovereign councils was EY.

## **5. Issues and Choices**

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- 5.1 There are three broad options open to the Council under the Local Audit and Accountability Act 2014 (the Act):

5.2 Option 1 - To make a stand-alone appointment

In order to make a stand-alone appointment the Council will need to set up an Auditor Panel. The members of the panel must be wholly or a majority independent members as defined by the Act. Independent members for this purpose are independent appointees, this excludes current and former elected members (or officers) and their close families and friends. This means that elected members will not have a majority input to assessing bids and choosing which firm of accountants to award a contract for the Council's external audit.

### Advantages/benefit

- Setting up an auditor panel allows the Council to take maximum advantage of the new local appointment regime and have local input to the decision.

### Disadvantages/risks

- Recruitment and servicing of the Auditor Panel, running the bidding exercise and negotiating the contract is estimated by the LGA to cost in the order of £15k plus on going expenses and allowances
- The Council will not be able to take advantage of reduced fees that may be available through joint or national procurement contracts.
- The assessment of bids and decision on awarding contracts will be taken by independent appointees and not solely by elected members.
- The timeframe is very challenging to achieve this in advance of vesting day. As such could put at risk being for being safe and legal on vesting day.

5.3 Option 2 - Set up a Joint Auditor Panel/local joint procurement arrangements

The Act enables the Council to join with other authorities to establish a joint auditor panel. Again this will need to be constituted of wholly or a majority of independent appointees (members). Further legal advice will be required on the exact constitution of such a panel having regard to the obligations of each Council under the Act and the Council will need to liaise with other local authorities to assess the appetite for such an arrangement.

### Advantages/benefits

- The costs of setting up the panel, running the bidding exercise and negotiating the contract will be shared across a number of authorities.

- There is greater opportunity for negotiating some economies of scale by being able to offer a larger combined contract value to the firms.

#### Disadvantages/risks

- The decision making body will be further removed from local input, with potentially no input from elected members where a wholly independent auditor panel is used or possible only one elected member representing each Council, depending on the constitution agreed with the other bodies involved.
- The choice of auditor could be complicated where individual Councils have independence issues. An independence issue occurs where the auditor has recently or is currently carrying out work such as consultancy or advisory work for the Council. Where this occurs some auditors may be prevented from being appointed by the terms of their professional standards. There is a risk that if the joint auditor panel choose a firm that is conflicted for this Council then the Council may still need to make a separate appointment with all the attendant costs and loss of economies possible through joint procurement.
- The timeframe is very challenging to achieve this in advance of vesting day. As such could put at risk being for being safe and legal on vesting day.

#### 5.4 Option 3 - Opt-in to PSAA auditor appointment process

This is the approach and process set out in paragraphs 4.3 to 4.6 above. The PSAA would have the ability to negotiate contracts with the firms nationally, maximising the opportunities for the most economic and efficient approach to procurement of external audit on behalf of the whole sector.

#### Advantages/benefits

- The costs of setting up the appointment arrangements and negotiating fees would be shared across all opt-in authorities
- By offering large contract values the firms would be able to offer better rates and lower fees than are likely to result from local negotiation
- The appointment process would not be ceded to locally appointed independent members. Instead a separate body set up to act in the collective interests of the 'opt-in' authorities.

#### Disadvantages/risks

- Individual elected members will have less opportunity for direct involvement in the appointment process other than through stakeholder representative groups.

- 5.5 Given the requirement for the North Northamptonshire Council to have an external auditor in place by 31 December the only feasible option to be safe and legal ahead of vesting day is option 3; 'opt in' to the PSAA arrangements.

5.6 Redmond Review

In 2019 the Government announced an independent review be undertaken into public sector audit. This review was led by Sir Tony Redmond. The Redmond Review made a number of recommendations in September 2020. These are currently being considered, and, if agreed, would see changes that impact on the way external audit is delivered in the public sector.

**6 Implications (including financial implications)**

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**6.1 Resources and Financial**

- 6.1.1 There are no resource or financial implications arising directly from the proposal to opt in to the PSAA scheme.
- 6.1.2 The existing sovereign councils in North Northamptonshire current pay a scale of approximately £207k (assuming 50% of NCCs fee) between them for external audit services. The current scale fee are set out in the table below:

<b>Council</b>	<b>PSAA Fee 2020/21 £</b>
Corby	39,692
East Northamptonshire	34,673
Kettering	41,337
Wellingborough	38,508
Northamptonshire County Council	52,999
<b>Total</b>	<b>207,209</b>

Note: NCC scale fee is 50% of the £105,998 total scale fee.

- 6.1.3 It should be noted some of the sovereign councils are likely to be paying substantially in excess of the scale fee. This is due to two factors, firstly, the national pressures faced by external auditors to deliver their requirements under the local government audit regulations and, secondly, local risks which require an enhanced level of audit work about the scales fee. It is anticipated, everything else being equal, there would be economies of scale generated for North Northamptonshire Council using the PSAA ‘opt in’ option and the audit scale fee would be less than the other options. It should be noted the Redmond Review is reviewing the audit approach in local government in light of the aforementioned national pressures which may result in an increase in fees and there maybe specific risks for the new council that result in higher audit fees.

**6.2 Legal**

- 6.2.1 In accordance with the Local Audit and Accountability Act 2014 the council is required to have made arrangements to appoint an external auditor.

6.2.2 It should be noted that regulation 19 of the Regulations requires the decision to 'opt in' to be taken by full council. However, under the constitution of North Northamptonshire Shadow Authority this decision is to be taken by Shadow Executive.

### **6.3 Risk**

6.3.1 The primary risk is not to appoint an external auditor in accordance with the Regulations. The option recommended mitigates this risk and ensures the council will be safe and legal on vesting day.

### **6.4 Consultation**

6.4.1 There are no consultation issues arising from this report.

### **6.5 Consideration by Overview and Scrutiny**

6.5.1 There are no considerations arising for Overview and Scrutiny arising from this report.

### **6.6 Climate Impact**

6.6.1 There are no climate impacts arising from this report.

### **6.7 Community Impact**

6.7.1 There are no community impacts arising from this report.

## **7 Background Papers**

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**7.1** Local Audit and Accountability Act 2014

**7.2** Local Audit Regulations 2015

**Email from Public Sector Audit Appointments (PSAA) on 25<sup>th</sup> September 2020**

Dear Mr Bridge

I write in your capacity as the Chief Executive of the North Northamptonshire shadow authority which comes into existence on 1 April 2021 and wanted to alert you to the auditor appointment requirements under the [Local Audit and Accountability Act 2014](#), as the authority must appoint a local auditor to audit its accounts for a financial year not later than 31 December in the preceding financial year.

As a relevant authority, North Northamptonshire has the option of making its own auditor appointment arrangements as set out in the act, or opting into the PSAA appointing person arrangements.

I set out below the process to be followed if the new council were to decide that it wished to opt into the PSAA appointing person arrangements.

**North Northamptonshire Council**

Public Sector Audit Appointments Limited (PSAA) is specified by the Secretary of State for Housing, Communities and Local Government as the appointing person for principal local government bodies under the [Local Audit and Accountability Act 2014](#) and the [Local Audit \(Appointing Person\) Regulations 2015](#) (the Regulations). This specification requires PSAA to appoint the external auditor to principal local government bodies that choose to opt into its national appointment arrangements. The Regulations (regulation 10) provide that a newly-established eligible authority may opt in by giving notice to PSAA of the decision to become an opted-in authority. This decision must be taken in accordance with regulation 19 of the Regulations. The authority will remain an opted-in authority for the remainder of the applicable five-year compulsory appointing period (2018/19 to 2022/23).

North Northamptonshire Council is eligible to become an opted-in authority from 1 April 2021, for the remaining two years of the appointing period covering the accounts for 2021/22 to 2022/23. A form of notice of the decision to opt in is attached to this email. If the new authority decides to opt in, please complete this notice and send it by email to [auditorappointments@psaa.co.uk](mailto:auditorappointments@psaa.co.uk). We will confirm receipt of the completed notice by email. Once we have received your notice, we will consult on the proposed auditor appointment. Further information on the [auditor appointment process](#) is available on the PSAA website.

Further information on [PSAA](#) and its [appointing person arrangements](#) are also available on our website.

PSAA confirms it is willing to receive opt-in notices by email to [auditorappointments@psaa.co.uk](mailto:auditorappointments@psaa.co.uk) and will confirm receipt of all notices by email.

Please note that PSAA is required to maintain a [list of opted in bodies](#), which is available on our website. To ensure we are able to communicate with opted-in

bodies to discharge our statutory duties as an appointing person, PSAA keeps a record of the contact details of the chief executive and director of finance for each opted-in body.

If you have any questions, please contact us at [auditorappointments@psaa.co.uk](mailto:auditorappointments@psaa.co.uk).

Kind regards

Andrew

**Andrew Chappell**

Senior Quality Manager

Public Sector Audit Appointments Limited

W: <http://www.psa.co.uk>





# NORTH NORTHAMPTONSHIRE SHADOW AUTHORITY

## SHADOW EXECUTIVE COMMITTEE MEETING

**26<sup>th</sup> November 2020**

<b>Report Title</b>	Development of proposals for the Senior Leadership structure
<b>Report Author</b>	Rob Bridge, Chief Executive, North Northamptonshire

### List of Appendices

**Appendix 1 – Proposed Structure**

**Appendix 2 – Proposed Appointment Panel for Executive Director of Place and Economy**

### **1. Purpose of Report**

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1.1. This report summarises the proposals for the development of the senior leadership structure for North Northamptonshire.

### **2. Executive Summary**

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2.1 In order for the council to deliver its services in a ‘safe and legal plus’ way from day 1, it needs to have a clear, single leadership structure in place before April 2021; building on the senior and statutory appointments that have already been undertaken.

2.2 This report outlines details of the proposed new structure, the rationale and key principles that underpin it; and overview of the selection and recruitment process required to implement it. The report also identifies the next steps, in terms of consultation with our employees who are in scope of the proposals and our recognised trade unions.

### **3. Recommendations**

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3.1 It is recommended that the Shadow Executive Committee:

1. Notes and ratifies the work undertaken to develop the proposed structure and the subsequent consultation process as specified in Section 4.
2. Agrees the proposed leadership structure as per Appendix 1, noting that this is subject to consultation with our recognised trade unions and impacted employees, and therefore may result in some revisions being made as a result of the feedback received. Minor changes would be delegated to and actioned by the Head of Paid Service with any

significant changes that are made as part of the formal consultation being shared with the shadow executive at a future meeting.

3. Notes and ratifies the selection and recruitment principles as specified in section 5 & 6, subject to any outcomes of the consultation.

### 3.2 Reason for the Recommendations

- 3.2.1 In September 2020 the Shadow Council agreed the blueprint for how North Northamptonshire would deliver its services in order to ensure that it was operating in a 'safe and legal plus' way from day one. This means having the staff, systems, budgets, procedures and policies to deliver statutory duties successfully and have clear lines of accountability.

One element of the 'plus' principle to drive the new council forward is to have a clear, single leadership structure in place before 1st April 2021 to deliver the best outcomes for residents and employees.

- 3.2.2 The Senior Appointments Committee has focused on developing a selection and appointment approach that is inclusive and will enable those who have a real stake and an interest in these appointments to be a part of the process as well as ensuring that current employees of all councils have the opportunity to apply for roles.

## **4. Report Background and the Proposed Leadership Structure**

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- 4.1 To date, the work of the Senior Appointments Committee has focused on the selection and appointment of the Statutory Senior Officers for the North Northamptonshire Council; including the Head of Paid Service (Chief Executive), Executive Director of Finance (Section 151), Director of Legal and Democratic Services (Monitoring Officer); which, in accordance with the Structural Change Order, are required to be in post before 31 December 2020. The Senior Appointments committee have also completed the selection and appointment process for two further statutory officer and senior roles - Executive Director of Adult Social Services (DASS); and the shared Executive Director Children's Services (DCS) that sits across both unitary authorities.
- 4.2 As mentioned in 3.2.1 above, one element of the 'plus' principle to drive the new council forward is to have a single leadership structure in place before 1st April 2021. The new Chief Executive, Rob Bridge, has therefore developed a draft tier 1-3 senior structure; which builds on the blueprint work and also the appointments that have been made thus far.
- 4.3 This draft structure has been shared with a number of key stakeholders; including members (through informal briefing meetings and task and finish groups) and existing sovereign council chief executives. The trade unions have also been engaged.
- 4.4 Consultation with recognised trade unions and employees is also being undertaken. The Executive will be advised of any significant changes that are made as a result of this consultation process.
- 4.5 Full details of the draft structure can be found in Appendix 1.

## **5. Employees who may be affected by the proposed structure**

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- 5.1 The proposed leadership structure reshapes and rationalises the structures that exist across our sovereign councils; and therefore adds to the complex nature of the consultation and subsequent implementation thereafter. To address this, our consultation process is underpinned by the principles of openness and transparency so that affected staff across all 8 councils can apply for roles in the new structure.
- 5.2 A due diligence process has been completed to identify any posts that are significantly affected by the new structures and therefore could not continue in their current format on Day 1 if the new structure was implemented. Sovereign Chief Executives have been engaged in this approach.
- 5.3 The following principles support this process:
1. Where a job is fundamentally unchanged and there is only one person in scope of the job currently, a job matching process is undertaken.
  2. Staff that are identified as being in scope are given the opportunity to apply for the vacant roles after this, irrespective of their current pay or level, as they are or will be potentially at risk of redundancy.
  3. In order to minimise compulsory redundancies, staff will also be able to indicate an interest for voluntary redundancy. Applications will be considered in line with the future skills required. Each case will be decided on its own merit and is not guaranteed.
  4. In the event that staff do not secure a position within the Tier 1-3 structures, and they have not applied for voluntary redundancy, then a compulsory redundancy and Individual consultation process may apply after 1 April 2021.

## **6. Recruitment to roles within the new leadership structure**

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- 6.1 The Shadow Executives have determined the recruitment approach to date in terms of appointments to the Head of Paid Service and the Tier 2 Statutory and Chief Officer roles; notably:

### Chief Executive – Tier 1

- The Local Government (Structural and Boundary Changes) (Staffing) Regulations 2008 require an appointment to the post of head of paid service by means of open competition.
- There is no requirement to ring-fence existing employees who undertake this role in the sovereign councils; but existing officers are able to apply in open competition.

## Other Senior and Statutory roles – Tier 2

- The supplementary staffing issues guidance that accompanies the 2008 Staffing Regulations states that ‘the Government **expects** to see open competition as a means of recruiting to all other senior management board posts’.
  - Leaders made the decision in March 2020 to advertise Tier 2 leadership roles internally and externally via a national campaign.
- 6.2 In addition to the statutory and senior roles already appointed to in section 4.1, a further Tier 2 role will need to be appointed to - the Executive Director of Place and Economy.
- 6.3 As with the previous Tier 2 appointments and in line with the previous recruitment strategy, it is proposed that the Executive Director of Place and Economy is member led and that it is advertised both internally and externally; Colleagues across the sovereign councils will be encouraged and supported in their applications. It is also proposed that member and partner stakeholder panels are an integral part of this process; providing feedback to the member appointment panel; and that the Head of Paid Service acts as a senior advisor to the main appointment panel. This process is consistent with that used previously to appoint the statutory and senior roles noted in section 4.1 of this report.
- 6.4 As there is no requirement or preference from central government to advertise the remaining tier 3 roles externally, it is proposed to manage these through an existing internal organisational restructure, following an internal selection process. As such it is further proposed that responsibility for implementing this process will be delegated to the Head of Paid Service; who will work with the leader and shadow executive to determine member stakeholder panels where appropriate.
- 6.5 All internal appointments will be made against the relevant person specification for the role.
- 6.6 If no appointment is made then the role(s) will be advertised wider, both internally and also externally.

## **7. Implications (including financial implications)**

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### **7.1 Resources and Financial**

The structure and roles are designed to enable a successful operational structure and one that is cost and value effective. North Northamptonshire will need to invest in its leadership to enable the safe and legal delivery of services from Day 1 as well as deliver the transformation agenda post vesting day.

The final cost of the proposed new structure will be determined as the consultation process progresses; as role profiles are further developed and graded. However, the estimated cost of the proposed new structure has been

costed at c£3.18 million, representing a saving of approximately £2 million on current leadership costs.

## **7.2 Legal**

The recruitment and selection process is in line with the statutory requirements set out in the Structural Changes Order and the agreed Shadow Authority Constitution.

## **7.3 Risk**

Recommendations have been made in accordance with the Staff Employment Procedure Rules within the Constitution

## **7.4 Consultation**

This draft structure has been shared with a number of key stakeholders; including members (through informal briefing meetings and task and finish groups) and existing sovereign council chief executives. The trade unions have also been engaged.

Feedback has been taken into consideration and used to shape the final proposals which have now been shared with employees to gain their feedback as part of a formal consultation, which is ongoing.

## **7.5 Consideration by Overview and Scrutiny**

None applicable

## **7.6 Climate Impact**

There are is no climate impact caused by the proposals

However, it should be noted that the proposed new structure brings together a consolidated emphasis on climate change and ensures that responsibility for this sits under the Director of Place and Economy. This will ensure that the councils priorities on climate change can be delivered.

## **7.7 Community Impact**

The new leadership structure will ensure that the council is able to operate in a 'safe and legal plus' one form day one ensuring that services can be delivered effectively to residents.

## **8 Background Papers**

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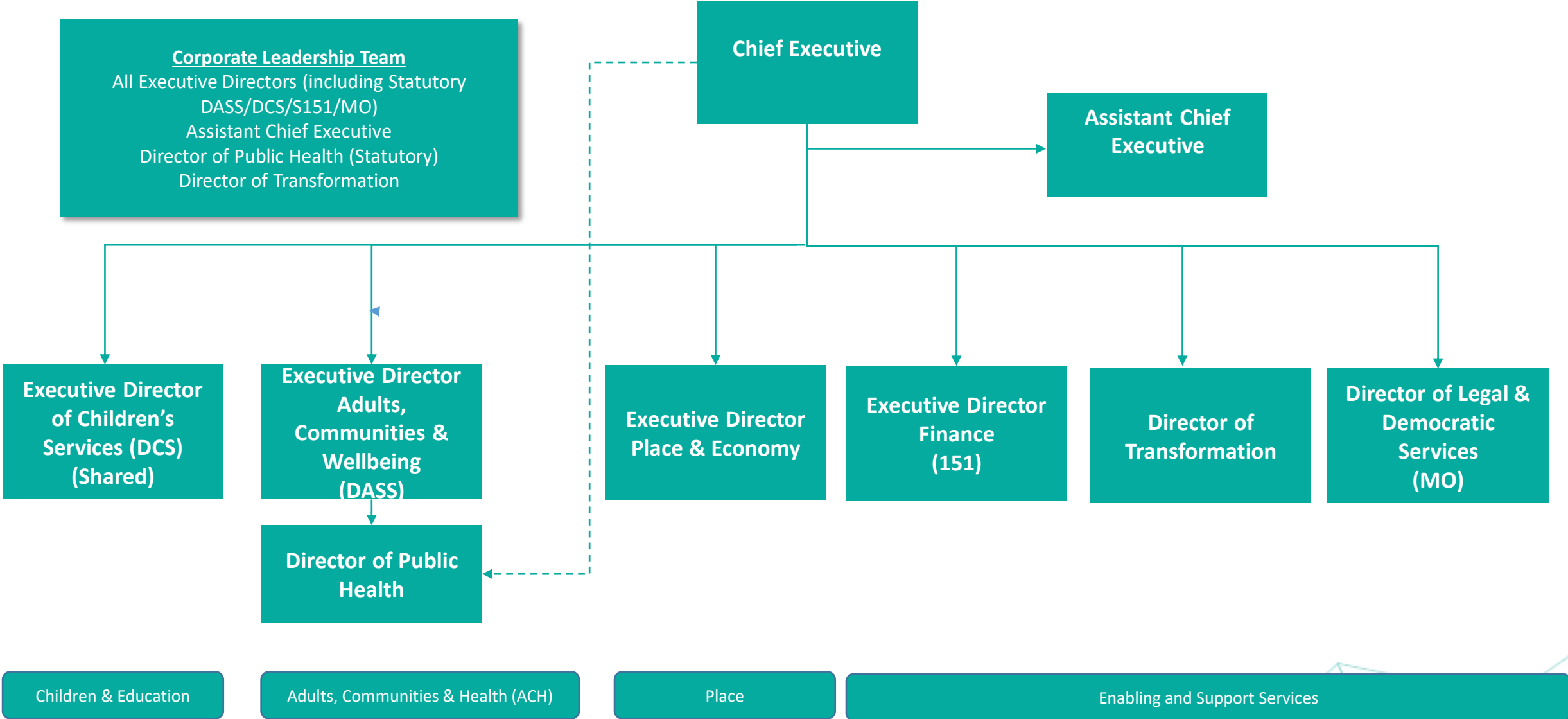
### **8.1 None applicable**



# FUTURE NORTHANTS

**North Northamptonshire Council  
Proposed Leadership Structure  
November 2020**

# North Northamptonshire Proposed Leadership Structure & Team



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Chief Executive's Office

Assistant Chief Executive

Communication/Engagement

Policy & Performance

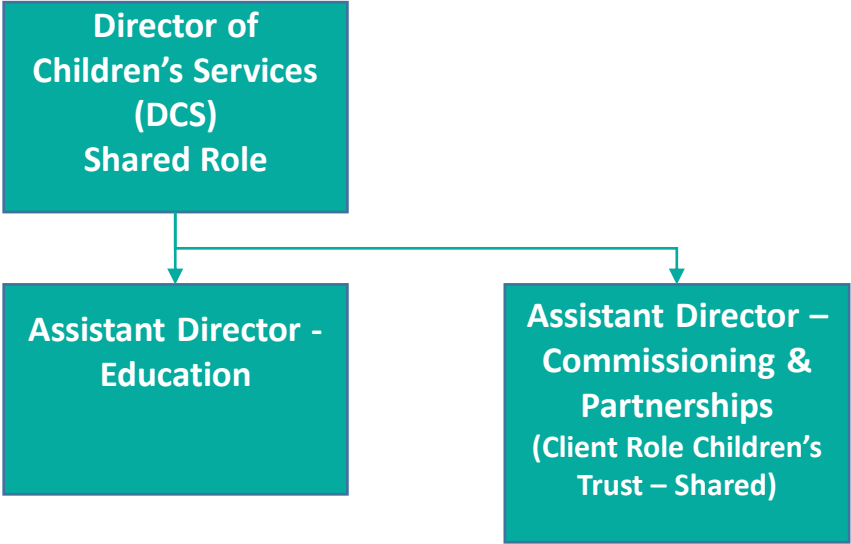
Business Intelligence

Exec Support

Lord Lieutenant Support



Children's Services



Adults, Communities & Wellbeing Services

Executive Director  
Adults,  
Communities &  
Wellbeing  
(DASS)

Assistant Director  
Commissioning &  
Performance

- Commissioning
- Quality & Assurance
- Adults Brokerage
- Financial & Operations
- PBSS**
- Business Support

Assistant Director  
Adults Services

- Community Services
- CHC & Care Homes
- Inclusion (Mental health & PD)
- Learning Disability
- Business Support

Assistant Director  
Safeguarding &  
Wellbeing

- Safeguarding
- Health & Care Partnership
- Prevention & Occupational Therapy
- Provider services/ Shaw PFI
- Business Support
- Call Care

Assistant Director  
Housing &  
Communities

- Housing
- Homelessness
- Disabled Facilities Grant
- Community & Leisure
- Community Safety
- Northamptonshire Sport
- Libraries **Libraries Support**
- Voluntary Sector
- Parish & Town Councils

Director of Public  
Health  
(Shared)

- Intelligence & STP
- Management & Commissioning
- Wellbeing services
- Adult Learning

Adults, Communities & Wellbeing (ACW)

Place & Economy Services

Executive Director –  
Place & Economy

Assistant Director  
Growth &  
Regeneration

Assistant Director  
Assets &  
Environment

Assistant Director  
Highways & Waste

Assistant Director  
Regulatory Services

Climate

Development Management

Facilities Management

Country Parks

Transport  
(Home to School)

Trading Standards

Growth & Investment

Planning Policy

Property Estates  
Management

Outdoor Learning \*

Highways Contract  
Management

Environmental Health

Economic Dev.

Planning Enforcement

Energy Management

Parks & Open Spaces

Strategic Transport Planning  
(Highways)

Licensing

Capital Projects (Property)

Street Naming  
& Numbering

On Street Parking

Public Realm

Development Management  
Highways

Travellers Unit

Street Lights PFI

Culture

Car Parks

Archives

Refuse and Recycling  
Collection

Emergency Planning

Schools PFI

Tourism

Grounds Maintenance

Chester Farm

Street Cleansing

Building Control

Digital Infrastructure

Fleet Vehicles

Town Centre Management

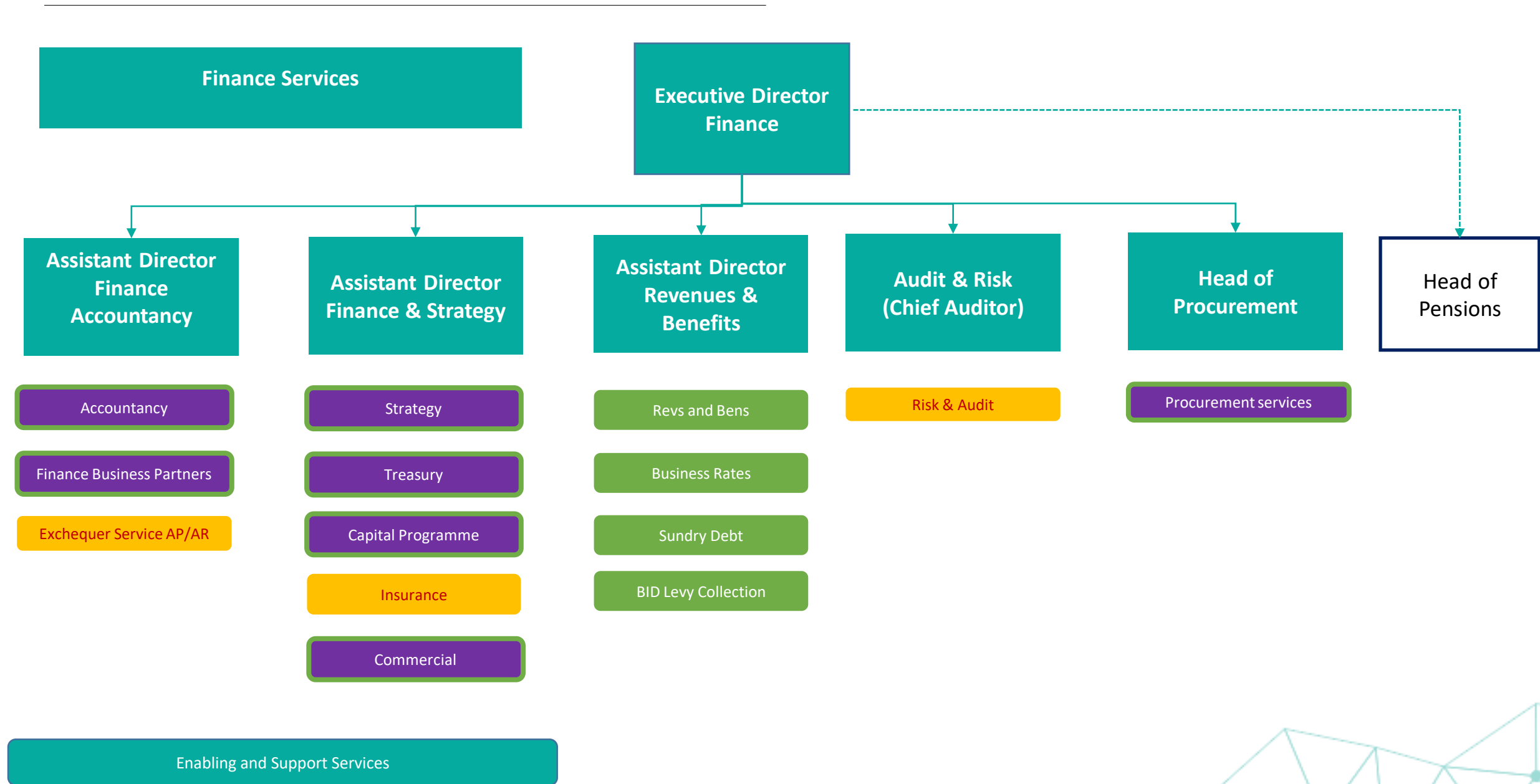
Waste Disposal & Closed  
Landfills

Bereavement Services

Waste HWRC

Flood Risk Management

Mineral and Waste Planning



**Transformation**

**Director of Transformation**

Business Transformation  
(Structure in Review Dec)

Partnerships

**Assistant Director  
Customer Services**

Customer Services

Complaints

**IT / CIO – Chief  
Information  
Officer**

IT Operations

IT Service Delivery

IT Strategy & Programmes

IT Business Systems (ERP)

IT Digital



Legal and Democratic Services & HR

Director of Legal & Democratic Services

Assistant Director Human Resources

- HR Policy & Procedures
- HR operations
- Apprenticeships
- Learning & Develop
- Corporate Health & Safety
- Payroll & Transactions
- Opus / Agencies

- LGSS Law
- Legal Services
- Information Governance
- Electoral Services
- Democratic Services
- Registration Service

# NORTH NORTHAMPTONSHIRE SHADOW AUTHORITY

**26<sup>th</sup> November 2020**

## Appendix 2 – Tiers 1-3 Leadership Structure

### Panel Members for Recruitment of Executive Director Place and Economy

#### The Appointment Panel

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<b>Main Appointment Panel - Members</b>	
Member Name	Political group
Cllr M Griffiths (Chair)	Conservative
Cllr D Jenney	Conservative
Cllr J Smithers	Conservative
Cllr M Tebbutt	Conservative
Cllr T Beattie	Labour

The Head of Paid Service will act as a Senior Advisor to the appointment panel. This is in keeping with the recruitment process for the previously recruited roles outlined in section 4.1 as well as best practice.

#### Member Stakeholder Panel

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<b>Stakeholder Member Panel</b>
Member Name
Cllr A de Capell Brooke (chair)
Cllr S North
Cllr S Edwards
Cllr D Brackenbury
Cllr B Jenney
Cllr L Thurland
Cllr A Scarborough
Cllr C Stanbra

#### External Partner Stakeholder

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The external Partner Stakeholder will comprise partners from the voluntary sector, Semlep and local businesses will also provide input from a growth and economy perspective.

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# NORTH NORTHAMPTONSHIRE SHADOW AUTHORITY

## SHADOW EXECUTIVE COMMITTEE MEETING

**26<sup>th</sup> November 2020**

<b>Report Title</b>	<b>Health, Safety &amp; Wellbeing Policy</b>	
<b>Report Author</b>	<b>Jamie Scarborough, Senior Health &amp; Safety Advisor,</b> <a href="mailto:Jamie.Scarborough@kettering.gov.uk">Jamie.Scarborough@kettering.gov.uk</a>	
<b>Future Northants Programme</b>	<b>Corporate</b>	
<b>Future Northants Programme Lead</b>	<b>Martin Cox</b>	
<b>Date of final endorsement by Joint Implementation Boards</b>	<b>04/11/20</b>	
<b>Date of final endorsement by Joint Implementation Executives</b>	<b>11/11/20</b>	

### List of Appendices

#### **Appendix A – North Northamptonshire Council Health, Safety & Wellbeing Policy**

##### **1. Purpose of Report**

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- 1.1. The Health and Safety at Work Act requires employers of more than 5 people to have a written health and safety policy in place. This policy is usually signed by the Chief Executive as the responsible person for ensuring health and safety is managed within the workplace. Democratic policy indicates that this policy needs to be approved at full council and it is good practice for the Leader to co-sign the policy.

##### **2. Executive Summary**

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- 2.1. The policy includes a short statement of the council's intentions with regards to ensuring health and safety is managed for employees, service users, visitors and anyone else who may be affected by its operations. This is supported by an arrangement section which identifies key roles and activities required to ensure the aims of the policy statement can be met.
- 2.2. Introduction of this policy will ensure we are able to react in a time of crisis e.g. a pandemic. This is a key part of assuring employees and Trade Unions that

the council recognises and accepts its statutory responsibility to provide safe and healthy working conditions.

- 2.3. The policy will be made available online and will be reviewed and amended to reflect any changes to legislation.

### **3. Recommendations**

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- 3.1 It is recommended that the North Shadow Executive Committee:

a) Approve the Health, Safety & Wellbeing policy.

- 3.2 This is a legal requirement under the Health and Safety at Work Act 1974 (HASAW Act).

### **4. Report Background**

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- 4.1 Each sovereign council currently has their own policy signed off by full council. This policy combines best practice and legal requirements from these into a fit for purpose policy for each new unitary council.

### **5. Issues and Choices**

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- 5.1 The policy statement is based on the requirements of the Health and Safety at Work Act 1974 General Duties.

- 5.2 The arrangements section follows the HSE model of good practice outlined in HS(g)65 using Plan, Do, Check, Act.

### **6. Implications (including financial implications)**

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#### **6.1 Resources and Financial**

- 6.1.1 There are no resources or financial implications arising from the policies.

#### **6.2 Legal**

- 6.2.1 This is a legal requirement under the Health and Safety at Work Act 1974.

#### **6.3 Risk**

- 6.3.1 Not having a health and safety policy in place would be a breach of the Health and Safety at Work Act 1974 and could result in prosecution and fine by HSE enforcement.

#### **6.4 Consultation**

- 6.4.1 This policy has been developed in consultation with relevant Officers and Trade Union representatives from all sovereign councils and has been approved by those involved.

## **6.5 Consideration by Overview and Scrutiny**

6.5.1 These policies have not been reviewed by the Overview and Scrutiny Committee.

## **6.6 Environmental Impact**

6.6.1 There are no environmental impacts arising from the policies.

## **6.7 Community Impact**

6.7.1 This policy covers the impact of council activities on any persons who may be affected by the councils undertaking.

## **6.8 Equalities**

6.8.1 An EQIA has been completed and there is no negative impact.

## **7. Background Papers**

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7.1 Health and Safety at Work Act 1974:

<https://www.hse.gov.uk/legislation/hswa.htm>

7.2 Managing for Health and Safety, HS(g)65:

<https://www.hse.gov.uk/pubns/books/hsg65.htm>

# North Northamptonshire Council Health, Safety and Wellbeing Policy

## April 2021

### Key Information:

Title	<i>Health, Safety and Wellbeing Policy</i>
Document Type	<i>Policy</i>
Document Status	<i>For Review</i>
Author	<i>North &amp; West Northamptonshire Health and Safety Working Group</i>
Owner	<i>Chief Executive Officer</i>
Contact	<i>Health, Safety and Wellbeing Team</i>
Date of publication	<i>DD/MM/YYYY</i>
Date of review	<i>DD/MM/YYYY</i>

### Revision History:

Version	Date	Summary of changes	Officer
<i>Draft 4.3</i>	<i>16.10.2020</i>	<i>Approved at Corporate Programme Board</i>	<i>JS</i>
<i>Draft 4.4</i>	<i>16.10.2020</i>	<i>Inclusion of Brexit and Covid-19 within policy statement.</i>	<i>JS</i>
<i>Draft 4.4</i>	<i>04.11.2020</i>	<i>Approved at Joint Implementation Board</i>	<i>JS</i>
<i>Draft 4.4</i>	<i>11.11.2020</i>	<i>Approved at Joint Implementation Executive</i>	<i>JS</i>

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# 1. Health, Safety and Wellbeing Policy Statement

North Northamptonshire Council recognises and accepts its statutory responsibility to provide safe and healthy working conditions for employees, clients, and others who use or visit council premises or may be affected by its activities. The council will also take steps to ensure that its contractors and partners in service provision conduct their activities in a manner that is safe, and any risks are appropriately managed

**To ensure that health and safety matters are given proper consideration, the council is committed to:**

- Comply with all relevant legislation and codes of practice
- Recognise and manage the additional risks arising from Brexit and the current Covid-19 Pandemic
- Work together with employee representatives to develop an effective health and safety management system
- Provide and maintain, plant, equipment and systems of work that are safe and minimise any risk to health
- Ensure arrangements are in place for the safe use, handling, storage and transport of articles and substances
- Assess our activities and implement adequate control measures
- Provide adequate information, instruction, training and supervision
- Provide and maintain a safe place of work, including safe access and egress
- Provide and maintain adequate welfare facilities
- Create a culture of injury and ill health prevention
- Review this policy annually, unless significant changes occur

## **General responsibilities for health and safety:**

The Chief Executive has overall accountability for health and safety for the Authority.

**[Leadership Team]** and Elected Members:

- Determine the health and safety strategy and objectives
- Resource and implement this policy
- Promote a positive culture towards health and safety
- Monitor the effectiveness of the management systems to ensure that best practice is maintained

Managers:

- Ensure that this policy and supporting procedures are understood and followed to ensure that all risks are managed appropriately.

Employees:

- Must take care of their own health and safety and that of others who may be affected by what they do, or fail to do, at work.

## **Arrangements for Health and Safety:**

- Arrangements and responsibilities for managing health and safety are documented within the Health and Safety Management System.

It is a requirement of the Council that this Policy, and its implications, are understood and acted upon at all levels within the Council.

[Name]  
Chief Executive  
Date: ###/###/2021

[Name]  
Leader of the Council  
Date: ###/###/2021

To ensure health and safety is given proper consideration and structure, the council will adopt the model outlined in [HSG65: Managing for Health and Safety](#).

The concept of '**Plan, Do, Check, Act**' can help achieve a balance between the systems and behavioural aspects of management. It treats health and safety management as an integral part of good management generally, rather than a stand-alone system and encourages a commitment to continuous improvement.

[See Appendix 1: Health and Safety Management System](#)



## 2.1 Health, Safety and Wellbeing Policy

The requirement for a policy comes from the [Health and Safety at Work etc. Act 1974](#), which places a duty on employers to prepare a written policy statement and bring it to the attention of employees.

The purpose of the policy is to:

- a) Set out our management commitment to health, safety and wellbeing;
- b) Outline the general responsibilities and arrangements that are in place to fulfil the responsibilities acknowledged in the statement.

The policy recognises that more specific procedures will be necessary to give proper consideration and instruction to comply with more specific areas. Procedures are given the same status as the policy.

Where necessary to ensure compliance with legislation and the health, safety and wellbeing policy, **Directorates** will develop more specific policies and procedures. These documents will recognise the Health, Safety and Wellbeing Policy and supporting procedures as 'parent' documents.

Nominated Director for Health, Safety and Wellbeing (HS&WB)

The **[Title of Director] has been appointed by the Chief Executive** to fulfil the duties of this position.

They have knowledge of health and safety legislation and the experience to recognise risk across a range of activities and environments. They are committed to the development and ongoing success of the health and safety management system.

Their aims are to:

- provide corporate leadership for HS&WB
- drive continuous improvement in HS&WB culture and practice
- agree and monitor a clear health and safety plan
- make recommendations about the targeting of resources to address areas of highest risk

[See Appendix 2 Responsibility, Accountability and Compliance Flow](#)

[See Appendix 3 Responsibilities for Managing Health and Safety](#)

## 2.2 Procedures

The nominated director for HS&WB will delegate responsibility for the completion and maintenance of corporate procedures to the **directorate** with the appropriate level of subject expertise.

Procedures will be developed to set out how the council will comply with specific legislation and identify those responsible for implementation.

[See Appendix 4: List of Procedures](#)

## 2.3 Managing Properties

To ensure that the council fulfils its obligations and complies with statutory requirements in relation to council operated and commercial premises owned by the council, the **Head of the Facilities Management Team** will:

- Ensure the provision of competent persons to support with statutory inspections and maintenance regarding premises for fire, water, asbestos, radon, electricity, gas, first aid, fixed plant and equipment.
- Maintain a list of 'building managers' and support them in fulfilling their duties.
- Monitor compliance to procedures and provide reports on progress to the **Joint Health, Safety and Wellbeing Committee (JHSWC)**.

Each council operated building will have a nominated 'building manager' to implement the day to day systems required to ensure safety. The building manager will be given specific training to ensure they are competent to fulfil this role.

Where specific regulations require it, the Building Manager may be notified in writing of his duties.

In multi-occupancy workplaces, the Building Manager/Responsible Person will, where required, facilitate a Building User Group (BUG) for effective co-operation when managing health and safety issues. Each agency or service sharing the space is required to appoint a 'Local Responsible Person' for the BUG membership and to support the overall Building Manager/Responsible Person with their health and safety responsibilities.

## 2.4 Objectives

The Corporate Health and Safety Plan sets out the corporate priorities for Health, Safety & Wellbeing taking into account priorities agreed by the Health, Safety and Wellbeing committee.

The Corporate Health and Safety Plan is published on the health, safety and wellbeing intranet pages and can be viewed [here](#).

Each **directorate** contributes to the development and implementation of the Corporate Health and Safety Plan and prepares plans which support the achievement of the corporate objectives, these should be cascaded to all levels.

Note: The findings from 'Check' and 'Act' will feed back into the objectives.





## 2.5 Risk Profiling

Risk profiling is the identification of health & safety risks, the likelihood and potential consequences of these happening for everyone that might be affected by the work activities.

Each Directorate Management Team will develop a health and safety risk profile and continually monitor this through the approaches identified in 'Check' and 'Act' of this policy.

Directorate Management Teams will maintain a risk management plan and ensure that all required assessments are completed, actions are implemented and reviewed when necessary and in accordance with the risk assessment procedure.

[See Risk Assessment Procedure.](#)

## 2.6 Cooperate

Commitment and involvement at all levels means health and safety becomes 'everybody's business'; as well as promoting ownership of health, safety & wellbeing policies by everyone we actively encourage and support consultation on issues that may affect health and safety.

### Employees

**All employees** are responsible for:

- Complying with the Council's Health, Safety and Wellbeing policy and agreed local health and safety arrangements
- Taking reasonable care of their own health and safety and that of others affected by their acts or omissions
- Co-operating with their managers on health, safety and wellbeing matters including timely reporting of incidents, problems, system failures or defects
- Using all work equipment and substances in accordance with the instruction and training received
- Co-operating with training and development requirements to meet the needs of their role

### Consultation

The council will ensure that employees are consulted on health and safety matters.

Formal consultation will take place through appointed trade union health and safety representatives. The recognised trade unions have agreed to represent all employees, including non-trade union members.

All employees are encouraged to participate in health and safety and will be given the opportunity to do so through the risk assessment process, team briefings, discussions during training and by reporting concerns through line management and the accident and incident process.

The Council will establish a [Joint Health, Safety and Wellbeing Committee \(JHSWC\)](#), which will support the council in implementing and monitoring the effectiveness of the Health, Safety and Wellbeing policy.

[See Consulting with Employee's and Employee Representatives procedure](#)

### Enforcement Officers e.g. HSE, Fire Safety Officers

The authority welcomes opportunities to work in partnership with enforcement bodies. The Health, Safety and Wellbeing Team will engage with external enforcement officers as required.

Where an enforcement officer visits the council, the visit will be facilitated by a member of the Health, Safety and Wellbeing Management Team and representatives of the appropriate Directorate.

## Procuring Goods and Services

Devolved management and contracting out does not diminish accountability for ensuring that arrangements are adequate. Statutory responsibility cannot be delegated and must be recognised alongside the duties of other parties.

Contract and purchasing managers must ensure adequate conditions and standards of health, safety and wellbeing in connection with goods and services they obtain. This includes vetting and monitoring contractors and selecting goods and articles that satisfy relevant standards as stipulated in the [procurement policy](#).

[See Contractor Management procedure](#)

## 2.7 Information, Instruction and Training

### Health, Safety and Wellbeing Policy Statement

Directorates must ensure each employee can access the latest version of the Health, Safety and Wellbeing Policy Statement. There are several ways this can be achieved; the usual methods are:

- Via the intranet
- Displayed on a notice board
- Hard copy issued to employees (where necessary)
- Available on request to a manager

In addition to this, the following are also required to be made available to employees:

- Health and Safety Law Poster
- Certificate of Employers Liability Insurance

### Induction

The health, safety and wellbeing policy will be communicated via mandatory local and corporate induction training. Senior and specialist job roles should have additional health & safety elements included in their job description and attend the manager induction training to ensure the level of competency for their role.

Directorates will need to identify further job specific training. [See Training Procedure](#)

## 2.8 Competent Advice

Under the Management of Health and Safety at Work Regulations, employers are required to have access to competent advice. The Councils Health, Safety and Wellbeing Team act as this point of competent advice based on their knowledge and experience in this role.



## 2.9 Monitor and Measure Performance

Performance is measured in two ways, Proactive and Reactive

### Proactive Measuring

- Routine audits ([See Audit Procedure](#))
- Health surveillance ([See Health Surveillance Procedure](#))
- Equipment servicing and inspection ([See Compliance Checklist](#))
- Regularly reviewing risk assessments ([See Risk Assessment Procedure](#))

## Reactive Measuring

- Investigating incidents
- Monitoring cases of ill health and absence records ([may link to HR policy](#))

[See Accident and Incident Procedure](#)



## 2.10 Review Performance and Act

Carrying out reviews allows us to check whether our health and safety systems are suitable and sufficient. For example, we will:

- Check the validity of the Health, Safety and Wellbeing policy
- Ensure the Safety Management System is effective

We will do this in the following ways:

### Policy

The policy will be reviewed annually or as necessary to take account of new or changed circumstances.

### Annual Report

Overall performance will be collated into an annual report by the Health, Safety and Wellbeing Team, which will be submitted for review to:

- [\[Leadership Team\]](#)
- Councillors
- [Joint Health, Safety and Wellbeing Committee](#)

This will be completed on a [standard annual report template \(link to template\)](#).

### Joint Health, Safety and Wellbeing Committee (JHSWC)

The [JHSWC](#) will ensure employees are able to contribute effectively to the review process.

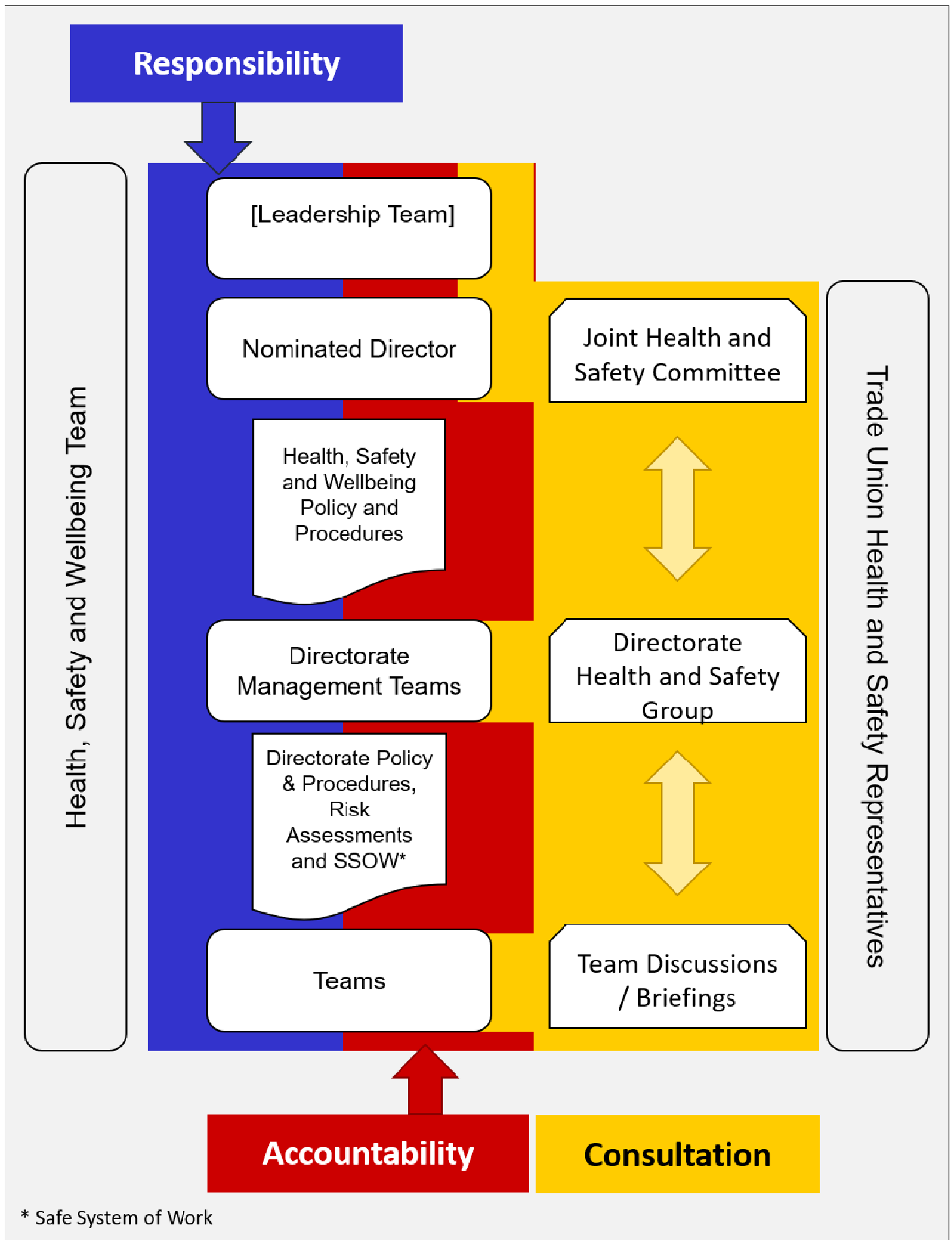
Agreed outcomes will be moved forward to the following years Health & Safety Plan.

[See consulting with Employee's and Employee Representatives procedure](#)

## Appendix 1: Health and Safety Management System

<b>PLAN</b>	
Leadership	Health, Safety and Wellbeing Policy, Management Commitment & Engagement, Accountability and Responsibilities
Planning	Health and Safety Action Plans (Corporate/Directorate/Service level), Objective Setting
<b>DO</b>	
Arrangements	Corporate policies, arrangements & procedures, local health and safety procedures
Risk Profiling and Control	Arrangements for completing risk assessments, implementing controls, risk registers. Implementation of action plans to control risks & ensure policy objectives are met
Communication	Systems in place for the communication of health, safety & wellbeing throughout the organisation
Consultation and Cooperation	Procedures in place for cooperation between employees, managers H&S representatives and third parties.
Competence	Competence of individuals through recruitment, selection, induction, training and development
<b>CHECK</b>	
Measuring and Monitoring	Measuring performance to assess effectiveness of arrangements in place; inspection and audit, tracking of action plans, statutory equipment checks, investigating causes of accidents, incidents and near misses, health surveillance, sickness absence/ill health data, health and safety reports.
<b>ACT</b>	
Reviewing	Reviewing performance, taking action on lessons learned; accidents & incidents, ill-health data, revisiting plans, policies, procedures & risk assessments

## Appendix 2: Responsibility, Accountability and Consultation Flow Chart



## Appendix 3: Responsibilities for Managing Health and Safety

Key:		Roles							
		[Leadership Team]	[Nominated Director for Health and Safety]	Directorate Management Team (inc. Schools Governing Bodies)	H, S&W Team	Facilities Management	Joint H&S Committee	Trade Union Health and Safety Representatives	Employees
Main Reference:		<u>Managing for Health and Safety (HSG65)</u>							
Plan	2.1 Develop and maintain a Health, Safety and Wellbeing Policy.	A	R	C	C		C	C	I
	2.2. Develop and maintain procedures which set out the steps needed to comply with the HSW Policy.		A	R	R		C	C	I
	2.3 Implement systems to ensure the safe use of buildings and compliance with statutory requirements.	A	C	R	C	R	C	C	I
	2.4 Set objectives which drive improvement of the H&S management system and culture.	A	R	R	C		C	C	I
Do	2.5 Develop a risk management plan, ensuring all significant risks are assessed and agreed controls are implemented.	A	I	R	C		C	C	I
	2.6 Cooperate with each other, external services, contractors and others to ensure the effective management of health and safety.	A	R	R	R	R	R	R	R
	2.7 Provide employees and others with adequate information, instruction training and supervision.	A	I	R	C		C	C	I
	2.8 Provide competent advice on health and safety matters.	A	C		R	R	C	C	I
Check	2.9 Monitor and measure performance.	A	R	R	R	R	R	C	I
Act	2.10 Review performance and take action to address concerns and continually improve the management system.	A	R	R	R		R	C	I

### Appendix 3 (Continued): Full RACI Definitions

**Accountable** – This person / job role has been given direct responsibility for ensuring the requirement is met and may not further delegate this. There will only be one Accountable person/group for each task. They will have significant influence on the decisions being made, which will quite often come down to cost.

**Responsible** – This person(s) / job role(s) will achieve given task(s) to support the accountable person. They will have an appropriate level of authorisation to achieve the task and are responsible for escalating concerns to their superior or the accountable person. They may further delegate specific tasks.

**Consulted** – This person(s) / job role(s) / Group will have an opportunity to input into decisions, they may be accountable for their advice and input but will not generally make decisions. They will escalate concerns to the respective responsible persons or accountable persons.

**Informed** – It is important that this person or job role is informed of the outcome of decisions in this area to ensure health and safety, this may also be a legal requirement.

## Appendix 4: List of Procedures

Title
Accident / Incident Reporting and Investigation
Asbestos
Audit and Inspections
Communicable & Infectious Disease Management (including Covid-19)
Confined Space Working
Construction Design Management (CDM)
Consulting with Employees and Employee Representatives
Contractor Management
Control of Substances Hazardous to Health (COSHH)
Dangerous Substances and Explosive Atmospheres (DSEAR)
Display Screen Equipment
Driving for Work
Electricity
Fire Protection and Prevention
First Aid at Work
Gas & Hot Works
Health Surveillance
Lifting Operations and Lifting Equipment (LOLER)
Manual Handling
Noise at Work
Personal Protective Equipment (PPE)
Pressure Systems (PSSR)
Provision and Use of Work Equipment (PUWER)
Radon & Ionising Radiation
Risk Assessment
Staff Alert, Lone Working & Personal Safety
Stress at Work
Training
Waste Management & Recycling
Water Management & Legionella
Whole Body & Hand Arm Vibration
Working at Height
Working on the Highway
Workplace Standards / Welfare



## NORTH NORTHAMPTONSHIRE SHADOW AUTHORITY

### SHADOW EXECUTIVE COMMITTEE MEETING

**Thursday 26 November 2020**

<b>Report Title</b>	<b>Communications &amp; Engagement – Logo/Visual Identity Approval - North Northamptonshire Council</b>	
<b>Report Author</b>	<b>Rachel Hand, Project Manager</b> <a href="mailto:rhand@northamptonshire.gov.uk">rhand@northamptonshire.gov.uk</a> <b>Claire Hazelgrove, Communications Lead</b>	
<b>Future Northants Programme</b>	<b>Corporate</b>	
<b>Future Northants Programme Lead</b>	<b>Martin Cox</b>	

#### List of Appendices

**Appendix A – Logo PowerPoint Presentation**

**Appendix B – Due Diligence on other Councils Logos**

#### **1. Purpose of Report**

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- 1.1. The purpose of this report is to present for approval, the final Visual Identity (VI)/logo and branding for North Northamptonshire Council to the North Shadow Executive.

#### **2. Executive Summary**

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- 2.1 This report contains details of the proposed final VI/logo and branding for North Northamptonshire Council. It explains the process which has taken place to bring the logo to fruition. It also contains information on what Branding is and why it's important.

#### **3. Recommendations**

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- 3.1 Approve the final logo design.
- 3.2 Note that we shaped this design around the feedback from the online logo survey which went out to staff, Trade Unions, Cllrs, partners and the public.
- 3.3 Note the use of talented in-house staff in the development and iteration of the logo throughout and avoidance of any extra cost to the FN Programme and the taxpayer.

## **4. Report Background**

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- 4.1 The purpose of this document is to present the final VI/logo for North Northamptonshire Council. The North Communications & Engagement Task & Finish Group has worked hard on developing this logo with the expert help of two internal graphic designers, who have taken the ideas generated by the group and also the feedback from the survey and used their expert knowledge to produce the logo. This final logo design is in line with the strategy and also takes into account accessibility requirements.
- 4.2 Over the summer three preferred draft logo designs for North Northamptonshire Council went out via online survey to staff, Trade Unions, Cllrs, partners and the public to seek opinion. The preferred design was that of a castle, a river, greenery and a Red Kite. The Red Kite in the logo is representative of the re-release and subsequent success of the bird in the area from the mid 90's. The castle is representative of the rich heritage and stately homes throughout North Northamptonshire and the trees, greenery and river illustrates the rich rural landscape of North Northamptonshire.

## **5. Issues and Choices**

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- 5.1 A strong brand builds recognition, awareness and trust. For a council, strong branding helps residents understand the range of services available and how to access them. By helping residents and other audiences to feel better informed about what the council does, this in turn helps to increase their satisfaction with the council.

To achieve a strong brand, the branding must be used widely, clearly and consistently across all council services. There will be extensive communications both internally to employees and externally to partners and suppliers about the implementation process for the new branding, outlining what they need to do and when, to support this. These communications will alert services to timescales, processes and their responsibilities. Importantly, the communications will inform services of the need to update contact details, particularly the website addresses at the same time as updating branding.

- 5.2 The North Communications & Engagement Task & Finish Group were given a Brief, back in June, to come up with ideas for a VI/logo for the new North Northamptonshire Council. The main points of that Brief were that the logo should;
- Clearly display the name of the Council.
  - Be a simple, modern and flexible design.
  - Be accessible e.g. to those with visual impairment.
  - Represent a new 21st century organisation.

The logo provides a strong and distinctive identity for the new council, so residents and businesses can understand who is delivering their services and where they can go for help. The aim of the design process was to create a bold and modern logo, symbolising the joining of local authorities. Three logos went out to public survey, and 3,330 people responded. Please see Appendix A for the final proposed North Northamptonshire Logo, along with some more information on the process and how we decided on this design.

- 5.3 A further paper details the approach to branding/rebranding/de-branding via a Category 1 approach to ensure that we are Safe and Legal for Day One.

## **6. Implications (including financial implications)**

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### **6.1 Resources and Financial**

- 6.1.1 We have used internal design resource for development of the logos to maximise use of our own skilled and knowledgeable designers and to avoid incurring extra cost to the FN Programme and the taxpayer. The rollout of the new logo will be done on a phased basis with critical Category 1 items only branded initially. All instances of current logo use have been reviewed to ensure re-branding is appropriate, which will also help to keep costs to a minimum. Some items will also be de-branded which will also help to keep costs down.

### **6.2 Legal**

- 6.2.1 We have legal advice from an in-house solicitor advising that there is no legal requirement for the new logo to be used by any service: the legal requirement is for the name of the new council to be displayed which can be done in writing.
- 6.2.2 We have raised a question regarding copyright to the internal Legal team, and we will adhere to any terms we are made aware of.
- 6.2.3 We have completed due diligence to check all other UK Council logos for similarities. There were no significant similarities and details are in Appendix B. We also used Google Reverse Image Search and there were no significant findings. We also completed a registered Trademark search online via the Intellectual Property Office website with no significant findings.

### **6.3 Risk**

- 6.3.1 There are no significant risks arising from this report.
- 6.3.2 Any potential risks around quality, costs or accessibility have been addressed in advance by using talented in-house staff.

### **6.4 Consultation**

- 6.4.1 There was no formal consultation required – however the Consultation Hub was utilised to facilitate a widely publicised survey for residents, members and staff to give their opinions and suggestions on the 3 shortlisted draft logos.

### **6.5 Consideration by Overview and Scrutiny**

- 6.5.1 N/A

### **6.6 Environmental Impact**

6.6.1 There is no environmental impact of this logo process or selection.

### 6.7 **Community Impact**

6.7.1 This logo will become the emblem resembling the communities of North Northamptonshire's new council, and will be widely seen on items, vehicles and throughout the services used in the community.

### 6.8 **Equalities**

6.8.1 The logo has been designed in line with accessibility requirements.

## 7. **Background Papers**

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**N/A**

# Final Logo Presentation

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## Visual Identity/Logo for North Northamptonshire Council

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East  
Northamptonshire  
Council



Northamptonshire  
County Council

Borough Council of  
**Wellingborough**

**Kettering**  
*Borough Council*

# Design Brief

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- Clearly display the name of the Council.
- Simple, modern and flexible design.
- Accessible e.g. visual impairment.
- Represent a new 21<sup>st</sup> century organisation.

Font Simplistic  
Representative  
Buildings River  
Black North  
Fresh Belonging Green  
Icon  
Modern  
Dynamic Rings  
New  
Yellow Colour  
Symbolism Clean  
Recognisable  
Northamptonshire

# 3 logo designs presented in public survey

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3,330 people responded to the survey



- The favoured design received 1,339 votes



- The second design received 679 votes



- The third design received 516 votes

# Development of selected design

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**North  
Northamptonshire  
Council**

- Modern and bold
- Celebrates rural, heritage, wildlife
- Similar style to many LAs

## Suggested amendments following survey comment analysis

- Change the appearance of the water so it is less resembling of the sea.
- Make minor adjustments to give a more modern/mature feel.
- Give an explanation of the relevance of each element, especially the castle.



# Final North Northamptonshire Council Logo Design

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**North  
Northamptonshire  
Council**

# Final North Northamptonshire Council Logo Design – In Situ

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# Final North Northamptonshire Council Logo Design

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North  
Northamptonshire  
Council



North  
Northamptonshire  
Council



North  
Northamptonshire  
Council

## Amendments following survey comment analysis

- The river was made to look more smooth and it was repositioned with some greenery below – this represents a riverbank.
- Minor adjustments to placement were made to give a more fluid design.
- The Red Kite in the logo is representative of the re-release and subsequent success of the bird from the mid 90's. The castle is representative of the rich heritage and stately homes through North Northamptonshire and the trees, greenery and river illustrates the rich rural landscape of North

## North Northamptonshire Council Logo Similarities Check

Research exercise to check that the proposed logo for North Northamptonshire Council is not too similar to any other council logos in England, Northern Ireland, Ireland, Scotland and Wales.



Results are below. Some logos feature similar elements, but none are too closely comparable.

### Sources used:

A-Z list of Councils on LGA website

<https://www.local.gov.uk/our-support/guidance-and-resources/communications-support/digital-councils/social-media/go-further/a-z-councils-online>

My Gov Scot list of local authorities <https://www.mygov.scot/organisations/>

NI Direct Government Services <https://www.nidirect.gov.uk/contacts/local-councils-in-northern-ireland>

Ireland Department of Housing, Local Government and Heritage <https://www.housing.gov.ie/local-government/administration/local-authorities/local-authorities>

Logos featuring similar elements to the North Northamptonshire Council logo (bird, castle, water, hills).





(Dover)



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## NORTH NORTHAMPTONSHIRE SHADOW AUTHORITY

### SHADOW EXECUTIVE COMMITTEE MEETING

**Thursday 26 November 2020**

<b>Report Title</b>	<b>Recommendations Paper - Communications &amp; Engagement – Visual Identity/Branding</b>
<b>Report Author</b>	<b>Rachel Hand, Project Manager rhand@northamptonshire.gov.uk Claire Hazelgrove, Communications Lead</b>
<b>Future Northants Programme</b>	<b>Corporate</b>
<b>Future Northants Programme Lead</b>	<b>Martin Cox</b>
<b>Date of final endorsement by Joint Implementation Boards</b>	<b>4 November 2020</b>
<b>Date of final endorsement by North/West/Joint Implementation Executives</b>	<b>N/A – Did not go to JIE</b>

#### List of Appendices

N/A

#### **1. Purpose of Report**

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- 1.1. Recommendations of Category 1 Items for branding/rebranding/de-branding to ensure we are Safe and Legal for Day One.

#### **2. Executive Summary**

---

2.1 Why is council branding important?

A strong brand builds recognition, awareness and trust. For a council, strong branding helps residents understand the range of services available and how to access them. By helping residents and other audiences to feel better informed about what the council does, this in turn helps to increase their satisfaction with the council.

To achieve a strong brand, the branding must be used widely, clearly and consistently across all council services.

#### **3. Recommendations**

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- 3.1 North Shadow Executive duly notes the contents of this paper which outlines proposals for how the new branding should be implemented, along with timescales.



- 3.2 Delegated Authority is granted to the Transformation Directors and the Corporate Board in consultation with the North Communications & Engagement Task & Finish Groups for approval of spend for re-branding critical items for Day One from the FN Communications & Engagement Project re-branding budget.
- 3.3 Approval of the proposed criteria for implementation of the new branding (including costs, timescales and responsibilities), broken down as follows:
- **Category 1 – Safe and Legal – Day One**
  - **Category 2 – Proactive Rebrand – Day Two Onwards**
  - **Category 3 – As and when**
- 3.4 Clear agreement that Category 1 items are to be rebranded to be Safe and Legal for Day One.
- 3.5 If there are non-essential items suggested for Day One rebranding in addition to Category 1 items, e.g. to assist with Cultural Change and Customer Need, that – given budget limitations and prioritisation - these items are also supported with funding from the respective FN workstreams and Programmes.
- 3.6 Approval of the principle that items which require proactive rebranding post Day One will become BAU and will be funded by the services themselves.

#### **4. Report Background**

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4.1 Ultimately, the entirety of the council branding will need replacing but the cost of doing this must be kept as low as possible, so the proposals below advocate a phased implementation, meeting statutory requirements and ensuring coverage of key public-facing touch points and channels to launch the new authorities effectively.

The final logo designs are also being presented for approval to the North Shadow Executive in this November round of meetings, and the visual identity/branding guidelines are being developed in time for a 'live' date (i.e. ready to use for preparation of items) of 4 January 2021.

#### **5. Issues and Choices**

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##### **5.1 Proposed principles for use and implementation of the new North Northamptonshire brands**

5.1.1 The new North Northamptonshire brand will be used widely and consistently across all North Northamptonshire Council services, complying with the brand guidelines at all times.

5.1.2 There shall be no sub-brands North Northamptonshire services, unless agreed in consultation with the relevant Communications team as an exception. All services shall use the North Northamptonshire branding.

5.1.3 Partnerships and separately funded initiatives will retain their existing identity, but will adopt either the North Northamptonshire logo where that of a sovereign council currently appears.



5.1.4 Governance of the North Northamptonshire brands shall sit with the relevant Communications team, who shall have authority to oversee its correct use and implementation.

5.1.5 It is proposed that, as far as possible, the new North Northamptonshire branding is not used prior to 1 April 2021, as this may confuse customers. This requirement needs to be communicated clearly and carefully to all colleagues.

However, in certain specific circumstances (see \*5.2.2 below), it is more cost-effective and practical – and in some cases necessary - for the new branding to be used ahead of Day One. These circumstances are the exception to the rule.

5.1.6 Colleagues across all four authorities will be asked to be cognisant of the change in branding in April 2021 and factor this into any spend on branded items leading up to that time which are likely to have a shelf life beyond April 2021. Any current branded items are to be used up as much as possible prior to Day One, and any merchandise (mugs, pens etc.) with the old branding is to be used internally only from 1 April 2021 to avoid confusion.

## 5.2 Proposed implementation of the new North Northamptonshire branding

5.2.1 When considering what branding is business critical for Day One of North Northamptonshire Council there are two main criteria that have been used: customer need and cultural change.

5.2.1.1 **Customer need:** to make it as easy and clear for customers (and other audiences) as possible to understand the services delivered by the new North Northamptonshire Council and how to access them. This will as a priority be looked at from a safe and legal perspective as per the wider programme.

On a practical level, we know that use of the correct branding/logo adds weight, authority and legitimacy to people’s perceptions, and is central to visibly launching the new authorities, so it is proposed that the new branding should be used from Day One on items such as signage on main council headquarters, and items which have an official or legal status, such as parking tickets, official identity badges, council tax bills, main communication channels. See the table below for further information.

5.2.1.2 **Cultural change:** what is needed, as a minimum from Day One, to support establishing a new internal culture for all employees so they feel a sense of belonging to the new North Northamptonshire Council such as email signatures, ID badges etc.

5.2.2 Budgetary and timing implications mean that it is not advisable to rebrand all items for April 1 2021. Through intelligence gathered from an audit process we have developed three categories to prioritise the rebranding process – the below table is to illustrate the Categories.

Category	Explanation	Example	Timing
Category 1 – Safe and Legal – Day One	Items which have an official, statutory or	Statutory documentation such as	Ahead of Day One/for Day One.

	legal status.	planning, complaints, licensing, elections. Car park tickets and penalty notices.  Exterior building signage – prioritising main council offices and staffing hubs with high levels of customer contact.	
Category 2 – Proactive Rebrand – Day Two Onwards	Items which need to be proactively rebranded as need arises on cyclical basis or in year one.	Any other signage on buildings or vehicles which is not covered by Category 1 or Category 3.	As required and/or in year one.
Category 3 – As and When Re-brand/BAU	Items which should have new brand in place when replacement required.	Waste bins/dog waste bins/salt bins etc.	As reprints are required and/or medium-term priorities.

\* Pre-Day One – it is not possible to brand items requiring a longer lead time in or implementation, such as signage, to all be replaced overnight on 31 March 2021. Therefore, some of the branding may be visible ahead of Day One, and this information and rationale will be proactively shared internally and externally ahead of time.

Out of Scope:

- Council owned or leased buildings that will be disaggregated.
- Council owned or leased buildings that may no longer be used by the council after the asset rationalisation process is completed.
- Countryside/Country Parks and Rangers.
- Bus Stops.

5.2.4 The above template is intended to act as a framework to guide services on which items should be prioritised for rebranding. Enquiries for items that do not fit into one of the above categories should be discussed with relevant Heads of Service and Communications.

5.2.5 It is proposed that no old branding of the old sovereign councils should be visible or in place after 5 years from January 2021, at the latest. This gives a deadline of January 2026 for all council services to be correctly branded with the new visual identity/logos.

5.2.6 It is proposed that services cover the cost themselves of any re-branding that is required for Category 2 and 3 items.

5.2.7 Work is progressing on the branding implementation plan through the Future Northants programme team. To ensure best value for money, we advise that the services across NCC and D's & B's collaborate to ensure that their orders are placed in bulk, with one provider and this will also ensure consistency of design/production.

5.3 Old branding and logo decommissioning

While establishing the new brand is important, decommissioning older branding is arguably of equal importance. Continuing to display logos and branding for organisations that no longer exist may cause confusion for residents and hinder efforts to establish the identity of the new council.

It is proposed that one way of keeping costs down is to simply remove existing county/borough/district logos and branding from identified priority items that are not included in Day One. For priority items, such as signs, banners, information boards etc., this can be achieved by removing old branding where practicable (e.g. removing vinyl stickers) or by placing hard-wearing stickers over existing logos on a temporary basis until said assets are retired or replaced. It should be noted that this not a requirement across the board, and items will be agreed on a case by case basis.

5.4 The Communications & Engagement Team will oversee approval of all branding. We are currently exploring either using internal or external design support, which will be informed by the capacity of in-house team's vs level of work required. There may be ongoing costs associated with this to factor in.

5.5 There will be extensive communications both internally to employees and externally to partners and suppliers about the implementation process for the new branding, outlining what they need to do and when, to support this. These communications will alert services to timescales, processes and their responsibilities. Importantly, the communications will inform services of the need to update contact details, particularly the website addresses at the same time as updating branding.

## **6. Implications (including financial implications)**

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### **6.1 Resources and Financial**

#### **6.1.1 Delegated Authority**

6.1.1.1 We ask that Authority is delegated to the Transformation Directors and the Corporate Board in consultation with the North Communications & Engagement Task & Finish Group for approval of spend for re-branding critical items for Day One from the FN Communications & Engagement rebranding budget. If costs look to exceed the allocated budget, authorisation of the prioritisation of items to be re-branded will also be delegated to Transformation Directors and the Corporate Board in consultation with the North Communications & Engagement Task and Finish Group. The appropriate procurement rules on spend threshold will be adhered to and any spend will go through the correct procurement process if required. The definitive list of re-branded items and costs for your information will be presented back to PIB at the early January 2021 meeting.

6.1.1.2 A strong agreement across the board must be reached with approval of the Category 1 Safe and Legal for Day One approach. Also items that are perhaps not essential to be Safe and Legal for Day One, but are however required to assist with Cultural Change and Customer Need – with these non-essential items, we ask for approval that the other FN Programmes offer budget towards these items. The FN Communications & Engagement workstream have a budget of £400k to go towards Category 1 items to ensure

Safe and Legal for Day One. We propose that these Category 1 items are funded as one-off transformation costs. If the full £400k budget is not used up on Category 1 items, the remainder will be split between the authorities to enable them to add this to their budget for Category 2 items.

## **6.2 Legal**

6.2.1 We have legal advice from an in-house solicitor advising that there is no legal requirement for the new logo to be used by any service: the legal requirement is for the name of the new council to be displayed which can be done in writing.

## **6.3 Risk**

6.3.1 Significant change is required across the board within this programme and branding is no exception – as mentioned previously in this report, while establishing the new brand is important, decommissioning older branding is arguably of equal importance. Continuing to display logos and branding for organisations that no longer exist may cause confusion for residents and hinder efforts to establish the identity of the new council.

6.3.2 There may be issues with enforcement if the correct council name is not displayed on enforcement notices. We are seeking internal legal advice on this and we have added this to the Risk Register. We have included statutory Notices in Category 1 for re-branding to mitigate the risk.

## **6.4 Consultation**

6.4.1 No formal consultation on re-branding is required. A survey was taken for views on preferred draft logos for the new Unitary Councils.

## **6.5 Consideration by Overview and Scrutiny**

6.5.1 N/A

## **6.6 Environmental Impact**

6.6.1 N/A

## **6.7 Community Impact**

6.7.1 N/A

## **7. Background Papers**

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7.1 Rebranding Information Paper presented at PIB – 4 November 2020.