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**North
Northamptonshire
Council**

Meeting: Shared Services Joint Committee
Date: Wednesday 23rd March, 2022
Time: 2.00 pm
Venue: Judges Lodgings, County Hall, Northampton, NN1 1DD

To members of the Northamptonshire Joint Shared Services Committee:-

Councillors Lloyd Bunday, Helen Harrison and Jason Smithers (North)
Councillors Adam Brown, Malcolm Longley and Jonathan Nunn (West)

Agenda			
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Exempt Items			
08	None notified		
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To consider any items of business for which notice has been given to the Proper Officer prior to the meeting and the Chairman considers to be urgent pursuant to the Local Government Act 1972.			
09	Close of Meeting		
<p>Adele Wylie, Monitoring Officer North Northamptonshire Council</p>  <p>Proper Officer 15 March 2022</p>			

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Committee Administrator: Jenny Daniels
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Agenda Item 4



Minutes of a meeting of the Shared Services Joint Committee

At 2.00 pm on Wednesday 19th January, 2022 in the
Held as Room 28, County Hall, Northampton

Members in Attendance:

Councillor Lloyd Bunday	North Northamptonshire Council (NNC)
Councillor Phil Larratt (substitute for Councillor Adam Brown)	West Northamptonshire Council (WNC)
Councillor Graham Lawman (substitute for Councillor Helen Harrison)	North Northamptonshire Council (NNC)
Councillor Malcolm Longley	West Northamptonshire Council (WNC)
Councillor Jonathan Nunn (Chairman)	West Northamptonshire Council (WNC)
Councillor Jason Smithers	North Northamptonshire Council (NNC)

Officers in Attendance:

Simon Bowers	Assistant Director, Assets & Environment (WNC)
Rob Bridge	Chief Executive (NNC)
Katie Brown	Assistant Director for Safeguarding and Wellbeing (WNC)
Jane Carr	Director of Transformation (WNC)
Emma Conway	Head of Programme Management & Strategic Partnerships (WNC)
Jenny Daniels	Democracy Officer, Democratic Services (NNC)
Anne Marie Dodds	Assistant Director of Education (NNC)
Janice Gotts	Director of Finance (NNC)
Martin Henry	Executive Director of Finance (WNC)
Lisa Hyde	Director of Transformation (NNC)
Chris Kiernan	Assistant Director of Education (WNC)
Zakia Loughhead	Assistant Director of Safeguarding and Wellbeing (NNC)
Rochelle Mathieson	Head of Transformation – Partnerships & Design (NNC)
Jonathan Waterworth	Assistant Director, Assets & Environment (NNC)
Adele Wylie	Monitoring Officer and Director of Governance and HR (NNC)

55 Apologies for Absence

Apologies were received from Councillor Adam Brown (Councillor Phil Larratt substituting) and Councillor Helen Harrison (Councillor Graham Lawman substituting) as well as Anna Earnshaw, Chief Executive (WNC) Kerry Purnell, Assistant Director of Housing & Communities (NNC).

56 Declarations of Interest

The Chairman invited those who wished to do so to declare any interests in respect of items on the agenda.

No declarations were made.

57 Minutes of the previous meeting

RESOLVED that:

The minutes of the meeting held on 15 December 2021 be approved as a correct record.

58 Notification of requests to address the meeting

The Chair reported that no notifications from the public to address the meeting had been made.

59 Previous Actions

The Chair noted that there were no previous actions to note at this time.

a) **Lead/ Hosted Services - Change Requests - Education Safeguarding**

The Joint Committee considered a report of the Assistant Directors of Education (WNC and NNC), which set out the re-profiling of the timeline of Safeguarding in Education disaggregation from 31 March 2022 to September 2022 in line with the academic year. The report was marked as item 6a on the agenda for the meeting.

It was confirmed that there was a plan to ensure the Service was delivered within the current budget. The Service would make use of school effectiveness officers who went into schools anyway so the increased capacity within the service should be provided without any additional cost.

RESOLVED that:

That the Joint Committee (Shared Services) approves reprofiling the disaggregation of the Safeguarding in Education service from March 2022 to September 2022 in line with the academic year allowing further review of the impact assessment into its disaggregation.

61 Lead/ Hosted Services - Change Requests - Education Sensory Impairment

The Joint committee considered a report of the Assistant Director of Education (WNC) which set out the re-profiling of the timeline of the Education – Sensory Impairment Service (SIS) disaggregation from April 2022 to September 2022. The report was marked as item 6b on the agenda for the meeting.

RESOLVED that:

That the Joint Committee (Shared Services) approves reprofiling the disaggregation of the Education Sensory Impairment Service to September 2022

62 **Lead/ Hosted Services - Disaggregation - Country Parks**

The Joint Committee considered a report of the Assistant Directors, Assets & Environment (WNC and NNC), which set out the process for disaggregation of the shared Country Parks and Outdoor Learning service. The report was marked as item 7a on the agenda for the meeting.

RESOLVED that: That the Joint Committee (Shared Services):

- (a) approves the disaggregation of the Country Parks and Outdoor Learning service by 31 March 2022;
- (b) Approves the proposed arrangements for disaggregation, budget, staffing, contract and cost implications, as set out in section 5 and section 7; and
- (c) Grants delegated authority to the Monitoring Officers for North Northamptonshire Council and West Northamptonshire Council to complete the decisions and actions necessary to give effect to the recommendations and conclude the requirements for the exit plan for IAA schedule 2H2.

63 **Lead/ Hosted Services - Disaggregation -Deprivation of Liberty Service (DoLS)**

The Joint Committee considered a report of the Assistant Director of Safeguarding & Wellbeing (NNC) which set out the disaggregation of the Deprivation of Liberty Safeguards service that was currently hosted by North Northamptonshire Council (NNC) and provided to West Northamptonshire Council (WNC). The report was marked as item 7b on the agenda for the meeting.

The Assistant Director of Safeguarding and Wellbeing (NNC) added that the consultation with staff ended that day and it would determine where the vacancies were so that they could fill them.

In answer to a query it was confirmed that although some of the work had been postponed whilst the Council had declared a critical incident situation regarding the COVID pandemic this disaggregation was not affected. They still held weekly shared meetings to move it forward. The Critical incident currently affected children's and adults' social care. Although no staff had currently been taken off the transformation projects there was the possibility that it could happen in the future.

RESOLVED that: The Joint Committee (Shared Services):

- (a) approves to disaggregate the Deprivation of Liberty Safeguards service in its current form by April 2022;
- (b) Approves to create one additional Team Manager post in the West (as set out in section 7.1) to enable each newly disaggregated Deprivation of Liberty Safeguards service to be led effectively.
- (c) Grants delegated authority to the Monitoring Officers for North and West Northamptonshire Councils to take any further decisions and actions necessary to implement the recommendations and conclude the requirements of the exit plan for IAA schedule 2A4.

64 Inter-Authority Agreement (IAA) Services Delivery Update

The Joint Committee considered a report of the Head of Programme Management & Strategic Partnerships (WNC) and Head of Transformation – Partnerships & Design (NNC) which set out the performance measures and finance information for the Service Plans for the Virtual Schools, Archives and Heritage and Northamptonshire Archaeological Resource Centre (NARC). The report was marked as item 8 on the agenda for the meeting.

RESOLVED that: the Joint Committee (Shared Services)

- (a) Approves of the performance measures and finance information for the Service Plans listed below:
 - Virtual Schools
 - Archives and Heritage
 - Northamptonshire Archaeological Resource Centre (NARC)

- (b) Approves the proposals for the addition of a Phase 4 to enable services 'new in scope' to have Service Plans developed; and

- (c) Approves the proposed IAA Quarterly Performance reporting timetable (as shown in Table 1 of the report).

65 Any Other Business

The Chair reported that there was no other business to be transacted.

66 Close of Meeting

There being no urgent items or exempt items of business, the Chair thanked the members and officers for their attendance, and closed the meeting.

Chair

Date

The meeting closed at 2.21 pm



Shared Services Joint Committee Wednesday 23rd March 2022

Report Title	Schools Admissions Disaggregation
Report Authors	<p>Ann Marie Dodds - Interim Director of Children's Services anmarie.dodds@northnorthants.gov.uk</p> <p>Chris Kiernan, Assistant Director, WNC Chris.Kiernan@westnorthants.gov.uk</p>
Executive Members	<p>Cllr Scott Edwards, Executive Member for Children, Families, Education and Skills, NNC</p> <p>Cllr Fiona Baker, Portfolio Holder for Children, Families and Education, WNC</p>

Key Decision	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is the decision eligible for call-in by Scrutiny?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Are there public sector equality duty implications?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Does the report contain confidential or exempt information (whether in appendices or not)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Applicable paragraph number/s for exemption from publication under Schedule 12A Local Government Act 1972	N/A

List of Appendices

None

1. Purpose of Report

- 1.1. To seek approval to proceed with the disaggregation of the Schools Admissions service that is currently hosted by North Northamptonshire Council (NNC) and provided to West Northamptonshire Council (WNC).

2. Executive Summary

- 2.1. The Schools Admissions service is intending to disaggregate by September 2022.
- 2.2. On 15th December 2021 the Shared Services Joint Committee resolved that the Education Admissions disaggregation timeline be re-profiled to allow for the work required to be undertaken at the most appropriate time to minimise risk and impact to delivery to customers for this high-profile service with the physical disaggregation work conducted at the least busy time of the year prior to the new academic year commencing in September 2022
- 2.3. The School Admissions Service performs a high profile and statutory led function. The service manages the allocations of school places across Northamptonshire including transfer of schools in-year, the appeals process and ensuring the 'fair access' protocol panels are in place and operational across the county for the placement of unplaced children (especially the vulnerable).
- 2.4. Approval is sought to disaggregate the service on an equal basis.

3. Recommendations

3.1. That the Joint Committee Shared Services:

- a) Approve the disaggregation of the Schools Admissions service in its current form and on an equal basis by September 2022 as set out within Option 2 (section 5.1 of the report).
- b) Grant delegated authority to the Monitoring Officers for North and West Northamptonshire Councils, in consultation with the Section 151 officers, to take any further decisions and actions necessary to implement recommendation a) above and conclude the requirements of the exit plan for IAA schedule 2B3.

3.2. Reason for Recommendations

- The proposed option to disaggregate the Schools Admissions service adopts and adheres to the Local Government Reform Blueprint, outlining services such as this, that are hosted for a period prior to safely and legally disaggregating.
- The Council (or customers) will receive the maximum benefit from the option proposed by localisation of service delivery.

3.3. Alternative Options Considered

- One alternative option has been considered in the preparation of this report. Namely, not to disaggregate and remain as a service hosted by North Northamptonshire Council and provided to West Northamptonshire Council. This option would be counter to the approval and adoption of the Disaggregation Blueprint by North Northamptonshire Shadow Executive

4. Report Background

- 4.1. The School Admissions team (the 'Service') deal with the allocations of school places across Northamptonshire, including the transfer of schools in-year. This is a statutory service delivered in accordance with The Department for Education (DfE) School Admissions Code 2014, (as amended). The Provision includes delivery of 'Co-ordinated Schemes' pursuant to Schedule 2 of the School Admissions Regulations 2012. The service also manages applications via the 'Fair Access' process (for unplaced children, especially the most vulnerable).
- 4.2. The team plays a key role in championing and protecting the rights of parents, children, and young people in terms of their access to education in an increasingly academy-led education environment, providing robust challenge to schools and academies where required.
- 4.3. The team perform several statutory duties under the following Acts:
 - School Standards and Framework Act 1988 and the law relating to admissions
 - School Admissions Code (2014)

The councils have a statutory duty to:

- Ensure that the 'Co-ordinated' Schemes for admission to primary, junior, and secondary schools are delivered in accordance with the national statutory timescales within the School Admissions Code.
 - Formulate and publish 'Co-ordinated' Schemes for admission to primary, junior, and secondary schools, and ensure that they are delivered in accordance with national statutory timescales within the School Admissions Code.
 - Ensure that a Fair Access Protocol Panel is in place and operational in all areas of the county for the placement of unplaced children, especially the most vulnerable.
 - Process in-year applications for Community and Voluntary Controlled schools in the county.
 - Make arrangements for appeals against refusal of a school place (Community and Voluntary Controlled schools).
 - Consult on any changes to the admission arrangements for schools where WNC / NNC are the admission authorities (Community and Voluntary Controlled schools) and determine the arrangements annually according to dates specified in the School Admissions Code.
 - Produce an annual report on admissions for the Schools Adjudicator for all schools in the area for which they co-ordinate admissions.
- 4.4. The Service has 29 staff (24 FTE) with an actual staffing cost of £730k; The Admissions Team budget for 2021/22 is £969k.

5. Issues and Choices

5.1. **Staffing** – Two alternative means of service provision were appraised, with option 2 being the recommended option.

Options	Benefits	Dis-benefits
Option 1 – Remain as a hosted service	<ul style="list-style-type: none">• No disruption to the team or service• The skills and knowledge remain in one team• Relationships with schools, Academy Trusts and other stakeholders are easier to maintain with a single point of contact	<ul style="list-style-type: none">• Not compliant with blueprint for future service delivery• Accountability issues• No ability for receiver authority to shape service delivery• Duplication of work with other services that have disaggregated
Option 2 – Disaggregate on an equal basis by September 2022	<ul style="list-style-type: none">• No increase in budget requirements• Each authority has control over respective service delivery and team structures• Compliant with Blueprint	<ul style="list-style-type: none">• Less resilience from smaller teams• Short term disruption (mitigate by selective timing of disaggregation)

5.2. **Resources** – As a joint project between North and West Northamptonshire Council Enabler resource across both authorities will provide support to the project within the expected timescales however, this is dependent on capacity and has been included as a risk.

5.3. **Budget** – Both Councils will meet the funding requirements through a review and realignment of existing budgets across the teams as required. No additional base budget is required to fund the service from either Council.

6. Next Steps

6.1. A decision is to be made by the Directors of Education and the Assistant Directors of the respective service area to agree employee allocation across North and West Northamptonshire Councils against the disaggregation principles agreed with the Trades Unions.

7. Implications (including financial implications)

7.1. Resources and Financial

- 7.1.1. There are no resources or financial implications arising from the proposals and all costs arising will be met from within existing base budgets.
- 7.1.2. North and West Northamptonshire Council will meet the funding requirements through a review and realignment of existing budgets across the teams as required. No additional base budget is required to fund the service from either Council.

7.2. Legal and Governance

- 7.2.1. The Joint Committee (Shared Services) is responsible for “ensuring there are robust plans for any disaggregation of services and that there is a smooth transition to new service delivery arrangements”. They are also responsible for ensuring that statutory arrangements are in place for each Council.
- 7.2.2. The Schools Admissions service is a statutory service which is currently hosted by North Northamptonshire Council and provided across North and West Northamptonshire. Upon the termination of this hosted Inter-Authority Agreement arrangement, an Exit Strategy will be put in place.
- 7.2.3. As part of the disaggregation process, employees will undergo a consultation period where the outcome of employee allocation will be determined, and some employees will transfer across to West Northamptonshire Council under TUPE rules, and against the disaggregation principles agreed with the Trades Unions.

7.3. Relevant Policies and Plans

- 7.3.1. The disaggregation of the Schools Admissions service complies with the requirements of the approved Blueprint, whereby it outlines the hosted services in each authority that require disaggregating.

7.4. Risk

- 7.4.1 The split of the team would need to ensure a balance of skills, knowledge, and experience, if this is not achieved there is a risk of disruption to the service

7.5. Consultation

- 7.5.1. Consultation with affected employees, supported by the Trades Unions, will take place prior to September 2022.

7.6. Consideration by Executive Advisory Panel

7.6.1. No considerations arising from this report.

7.7. Consideration by Scrutiny

7.7.1. No considerations arising from this report.

7.8. Equality Implications

7.8.1. At present it is not possible to fully assess the actual impact on all protected characteristic groups, at this point in the process. During consultation, the situation will be reviewed and as any impact becomes apparent, appropriate mitigating action will be taken (where this is possible).

7.8.2. Standard Council HR policies and procedures will apply, and all of these have been equality impact assessed.

7.9. Climate Impact

7.9.1. None arising from this report.

7.10. Community Impact

7.10.1. This proposal will deliver a positive community impact because the disaggregated teams will be solely responsible for service delivery in each administrative area.

7.11. Crime and Disorder Impact

7.11.1. None arising from this report.

8. Background Papers

8.1. [Joint Committee \(Shared Services\) 15 December 2021 SSJC/48 Hosted and Lead Change Request - Education Admissions](#)



Shared Services Joint Committee

Wednesday, 23rd March 2022

Report Title	Highways and Transport Disaggregation
Report Authors	Fiona Unett (Assistant Director, WNC) Graeme Kane (Assistant Director, NNC)
Executive Members	Councillor Graham Lawman Executive Member Portfolio Holder for Highways, Travel and Assets, NNC Councillor Phil Larratt, Portfolio Holder for Climate, Transport, Highways and Waste Services, WNC

Key Decision	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is the decision eligible for call-in by Scrutiny?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Are there public sector equality duty implications?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Does the report contain confidential or exempt information (whether in appendices or not)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Applicable paragraph number/s for exemption from publication under Schedule 12A Local Government Act 1972	

List of Appendices

None

1. Purpose of Report

- 1.1. To seek approval of the recommendations to commence the disaggregation of the Highways and Transport service.
- 1.2. To seek approval of the recommendations following the completion and review of an Impact Assessment, set out within this report for the Committee's consideration, based on Officers' assessment for both authorities in relation to the disaggregation of the hosted Highways and Transport service.

2. Executive Summary

Highways and Transport Service Disaggregation

- 2.1 There is a requirement to disaggregate the teams within the Highways and Transport service formally employed by Northamptonshire County Council (NCC) and now hosted by West Northamptonshire Council (WNC) on behalf of North Northamptonshire Council (NNC) – the requirement to disaggregate by April 2022 was agreed in the Local Government Reform (LGR) Blueprint and set out in the Transformation Task and Finish Group Priority Disaggregation timeline¹. NNC Executive and WNC Cabinet (in July 2021) agreed to extend the existing highways contract until end of September 2022 in order to conclude the procurement of the new highways contracts². It was also agreed that the hosting arrangement would continue until the new contracts were in place.
- 2.2 Both authorities want to disaggregate the service to allow them to localise strategic planning and service delivery.
- 2.3 The team (112 posts including approximately 13 vacancies) currently provides a service to NNC through a hosting arrangement. The details and basis of the hosting arrangement has been agreed in the Inter Authority Agreement between the authorities.
- 2.4 The hosting and intended disaggregation are in line with the LGR blueprint previously agreed through the LGR transformation programme. The services provided by the team include a mix of statutory duties, exercising statutory powers and discretionary services. Services provided are summarised as follows:
- Highway Services Contract Management
 - Children’s & Adults Transport Services
 - Major Highways Projects Delivery
 - Network Management
 - Regulations and Enforcement
 - Investigations, Searches and Definitive Maps
 - New Roads and Street Works Act (NRSWA)
 - Community Liaison
 - Transport Planning, Travel Choices and Public Transport
 - Development Management (some elements were disaggregated on Vesting Day)
 - Parking and Bus Lane Enforcement
- 2.5 A task plan has been created and work undertaken to assess the impact of the service disaggregation and the exit plans must now be created for ending the related elements of Inter Authority Agreement (IAA, the agreement that sets out the general terms on which the hosted and lead functions and services will be discharged and delivered between the Councils) Schedule 2.

¹ Please see Section 5.1 – Background Papers for further information

² Please see Section 5.2 and 5.3 – Background Papers for further information

- 2.6 The proposed disaggregation date for the in-scope service is September 2022, however the operational delivery of the team will be split between NNC and WNC from April 2022, i.e., moving away from a hosted service provision to a 'virtual' model that reflects future service delivery, with teams working predominately for one authority. However, to support the mobilisation of the new contracts, and continue to manage the existing contracts, staff will not be formally migrated into new roles until September 2022 when employees will either transfer to NNC under the Transfer of Undertakings (Protection of Employment) (TUPE) regulations or will remain in their current roles employed by WNC to ensure continuity of the 'business as usual' client-side activities.

3. Recommendations

3.1 That the Shared Services Joint Committee:

- a) Approve the disaggregation of the Highways and Transport service by 30th September 2022.
- b) Approve the proposed arrangements for disaggregation, budget, staffing, contracts and cost implications, as set out in section 5 and section 7 of this report.
- c) Grant delegated authority to the Monitoring Officers for North Northamptonshire Council and West Northamptonshire Council to take any actions required to give effect to the recommendations and conclude the requirements of the Exit Plan of IAA Schedule 2.

3.2 Reasons for recommendation

- a) The proposed option to disaggregate the Highways and Transport service adopts the LGR Blueprint, whereby a service has been hosted for a period of time before it can safely and legally disaggregate.
- b) Ensures the Councils and customers receive the most benefit from the delivery of the Highways and Transport service by changing the treatment of the service to allow it to be disaggregated, localising the strategic direction and service delivery in future.
- c) So that disaggregation of the Highways and Transport service can be completed by 30th September 2022.

3.3 Alternative Options Considered

- a) The Highways and Transport service is currently being delivered as a host authority service in accordance with the Administrative Agreement for the hosted /lead provision of functions and services between NNC and WNC. This provides management and operational duties to both North Northamptonshire and West Northamptonshire administrative areas. This arrangement could continue as for a longer period of time before disaggregation. (see Option 2 shown below at 5.1.2 and Option 3 shown below at 5.1.3)

4. Report Background

- 4.1 The Highways and Transport Service manage, operate and maintain all public highways within their area of control, regulate and enforce the Highways Act, parking enforcement, street lighting, rights of way, winter gritting, Major Scheme delivery, enable sustainable travel and electric vehicle on-street charging points, and the transport of approximately 12,000 adults and children, some with special needs clients, travelling to and from school or college every day (during term time) in North and West Northamptonshire.
- 4.2 Since the launch of the two new unitary authorities in April 2021, the Highways and Transport service has been hosted by WNC and currently WNC delivers the duty of running the service for both NNC and WNC.
- 4.3 Disaggregation of the service will facilitate both NNC and WNC integrating the former NCC Highways and Transport service into their respective highways services.
- 4.4 An Impact Assessment was completed, detailing options and recommendations around the future service and impact that this would have on customers. The outcomes of which allows each authority, should they desire, the option to take a different preferred approach towards the delivery of the service following disaggregation. Both NNC and WNC have requested integration of the former NCC Highways and Transport service into their relevant NNC and WNC highways services.
- 4.5 To facilitate this approach, it is therefore recommended to disaggregate the existing service 'as is' and allow each authority to move separately towards two new delivery models after disaggregation, which will be reported to each individual council for approval according to its corporate governance.

5. Issues and Choices

- 5.1 The following options were considered:

Option 1 – Approval of full disaggregation including TUPE transfer of affected staff from WNC to NNC by 30th September 2022, with teams “virtually” split North and West from 31st March 2022. To support mobilisation of the new contracts, teams will remain employed by WNC and in their current roles to ensure continuity of the ‘business as usual’ client-side activities until the new contracts are in place.

Option 2 – Delay disaggregation

Option 3 – Put in place on-going lead authority arrangements whereby the team and services remain as one team provided to one authority by the other.

- 5.1.1 **Option 1** is the recommended option for the following reasons:

- It allows each authority the autonomy to invest in and deliver its own services aligned strategically with local objectives allowing WNC/ NNC to build integrated highways services:
 - Simplifies processes related to governance and delegated authority for operational decisions.
 - Fulfils the corporate vision to disaggregate all services and form two independent authorities by the agreed timescale
 - Ability to tailor services to the corporate vision and priorities of the specific Council i.e., NNC or WNC
 - Ensures 'sovereignty' of all key Highways and Transport client-side service areas
 - Aligns with the management of two Highways Services contracts – one for each Council - by late summer 2022
 - Corporate IT systems such as SharePoint etc can be separated easily (although note that some service specific systems are not easily disaggregated)
 - Staff allocated to the needs of each Council's key stakeholders
 - Good safe and legal GDPR in place at North and West Northamptonshire Councils (assuming H&T team structures are affordable in both NNC and WNC and all roles can be filled).

5.1.2 **Option 2** (not recommended) – Delay disaggregation

- The service would continue as currently provided under a host arrangement.
 - The agreed disaggregation timeline will not be met.
 - There are no significant operational disbenefits with adopting this option, however the opportunities arising from the benefits noted for Option 1 in Section 5.1.1 above would not be forthcoming.

5.1.3 **Option 3** (not recommended) - Put in place on-going lead authority arrangements whereby the team and services remain as one team provided to one authority by the other.

- The service would continue as a single team providing services to both authorities: currently provided under a host arrangement.
 - This option would not deliver the strategic decision by both authorities to establish their own highways services team.
 - This option would not be in line with the current procurement exercise to establish two separate highways services contracts; a single team would have to manage two independent contracts
 - If this option was considered, then the current IAA would need to be amended and it would constitute a change to the previously agreed LGR Blueprint.

5.2 **Core Impact and Considerations**

5.2.1 **Policy/ Service Delivery** – Through disaggregation of the service both authorities will integrate the former Northamptonshire County Council (NCC) Highways service into their relevant NNC and WNC Place and Economy services. This includes disaggregation of the staff, contracts, policies, statutory processes, GDPR requirements, IT and business support provisions.

5.2.2 **Staff** – Staff will be split in accordance with new team structures currently in development, those allocated to the North will become North Northamptonshire Council employees following disaggregation. A full and

proper consultation will be undertaken with all staff directly affected by the disaggregation.

5.2.3 Resources – As a shared project between West and North, it has been agreed that the West and North Transformation teams will both provide a lead Project Manager, working jointly together on the delivery of this project. Additional resources will be required from the enabler services as well as the Highways and Transport team to support the disaggregation and TUPE of staff.

5.2.4 Assets/ Equipment – As per the Inter Authority Agreement (IAA, the agreement that sets out the general terms on which the hosted and lead functions and services will be discharged and delivered between the Councils) all equipment in WNC/ NNC is owned by the appropriate authority and will remain at the existing locations. This agreement will be reviewed and agreed in line with corporate guidance.

5.3 Benefits

The core benefits of this proposed approach are:

- 5.3.1 Each Council will have full autonomy regarding how the service is shaped.
- 5.3.2 Ability to offer customers and residents services /opportunities aligned to any local consultation and engagement feedback.
- 5.3.3 Allow the Councils to set their own fees and charges, seek internal and external funding for investment in infrastructure and equipment and to develop income generating ideas and deliver services aligned with their own council strategy and priorities.
- 5.3.4 Reduce the administrative burden around the need for discussion regarding operational decision making and service delivery, that the lead model currently requires.
- 5.3.5 To integrate the Highways and Transport teams with equivalent functions in each respective council, offering opportunities for service improvement and efficiency.

6. Next Steps

6.1 Should the Shared Services Joint Committee approve the recommendations shown in section 3 above then an exit plan would be developed in accordance with the requirements of the Inter Authority Agreement (IAA) for the hosted provision of functions and services between NNC and WNC.

7. Implications (including financial implications)

7.1 Resources and Financial

7.1.1 Budgets were split on the basis of asset size and service demands within each authority area at the point of Unitary creation in April 2021.

- 7.1.2 For North Northamptonshire Council (NNC) the current total budget for Highways and Transport is £21.1 million. An additional £900k³ has been proposed in the draft budget for 2022/23 and future Medium Term Financial Plan for highways services to enable NNC to establish its own highways and transport team. A further £455k⁴ has been included in the draft budget for 2022/23 to fund the creation of a highway services contract for NNC. These figures are in addition to the current highways and transport budget for NNC.
- 7.1.3 For West Northamptonshire Council (WNC) the current total budget for Highways and Transport is £23.5 million. An additional £887k⁵ has been proposed in the draft budget for 2022/23 and future Medium Term Financial Plan for highways services to enable WNC to support additional staffing needs. A further £175k⁶ has been included in the draft budget for 2022/23 to fund the creation of a highway services contract for WNC. These figures are in addition to the current highways and transport budget for WNC.
- 7.1.4 The current staff team will be split equitably according to service need but will require further investment to ensure the teams are resilient and capable of delivering the ambitions and objectives of each authority.
- 7.1.5 Initial modelling indicates that current FTE numbers of c112 need to extend to c150 to allow the current level of service to be maintained. This will be beyond the current financial envelope available to the services. Once a final budget is confirmed through the Councils' budget setting process the teams will need to be structured to reflect the available budgets for 2022/23 and beyond.

7.2 Legal and Governance

- 7.2.1 Changes to the relevant elements of the existing IAA Schedule 2 will need to be made through an agreed Exit Plan.
- 7.2.2 Provisions may be made for a Collaborative working agreement between the North and the West Northamptonshire Authorities to ensure that service delivery to either authority is not jeopardised by any residual matters that cannot be resolved after the full disaggregation of the service has been completed.
- 7.2.3 New data sharing agreements and Data Protection Impact Assessments (DPIAs) may be required.
- 7.2.4 There are a number of key contracts that will require legal assistance to advise on the appropriate treatment for each, including:
- Kier WSP
 - SCP
 - NSL
 - Marsden Enforcement

³ North Northamptonshire Council – Budget Proposals 2022/23 to 2024/25, [Appendix B, pg. 8](#)

⁴ North Northamptonshire Council – Budget Proposals 2022/23 to 2024/25, [Appendix B, pg. 8](#)

⁵ West Northamptonshire Council – Budget Proposals 2022/23 to 2025/26, [Appendix B4](#)

⁶ West Northamptonshire Council – Budget Proposals 2022/23 to 2025/26, [Appendix B3](#)

- Highways Amenity Maintenance
- Outspoken Cycle Training
- Highways Communication Systems: BT Global Services Cambridgeshire County Council BT PLC Vix Technology UK Ltd.
- Bramble Hub Limited
- Vix Technology UK Ltd.
- Unicard
- Euclid
- ICES

7.3 Relevant Policies and Plans

7.3.1 The proposal will assist delivery of the North Northamptonshire Corporate Plan 2021-2025 “Safe and thriving places” priority.

7.3.2 The proposal will assist delivery of the West Northamptonshire Council Plan 2021-2025 by enabling greater “connected communities”.

7.4 Risk

7.4.1 Risks are regularly reviewed by the Project and Programme teams and will be monitored via approved project governance.

7.4.2 Key risks have been identified in the Impact Assessment.

7.5 Consultation

7.5.1 Service areas from North and West Northamptonshire Councils have been consulted in this report with both Executive Directors agreeing the approach.

7.5.2 There is no statutory requirement for public consultation.

7.5.3 Consultation with affected staff, supported by Trade Unions, will be undertaken and the team members will be involved in the process via 1:1s and team meetings, with the opportunity to raise questions and concerns.

7.6 Consideration by Executive Advisory Panel

7.6.1 No considerations arising from this report

7.7 Consideration by Scrutiny

7.7.1 No considerations arising from this report

7.8 Equality Implications

7.8.1 At this point in the process, it is not possible to fully assess the actual impact on all protected characteristic groups. However, an Equalities Officer was consulted and a plan will be formulated to ensure that anyone with a protected characteristic can work effectively from their future place of work, as is outlined in West and North Northamptonshire Council’s Equality policies. An initial

Equalities Impact Assessment (EqIA) will be undertaken in the disaggregation process.

7.8.2 The disaggregation proposal and processes are restricted to the method of delivery of the service rather than changes to service delivery itself, as such it is unlikely that there will be an impact of the proposal on equality groups. During consultation the situation will be reviewed and as any impact becomes apparent, appropriate mitigating action will be taken (where this is possible).

7.8.3 Standard Council HR policies and procedures will apply, and all of these have been equality impact assessed.

7.9 Climate Impact

7.9.1 There are minimal impacts arising from this change although localisation of the operational oversight of this service may have a beneficial effect if staff are working closer to their home.

7.10 Community Impact

7.10.1 Webpages and customer journeys for North and West Northamptonshire Councils will be reviewed to establish separate information and customer handling processes as part of the project. New guidance will also be provided to customer contract centres, libraries, community hubs, and customer service colleagues to help answer any telephone or walk-in queries.

7.11 Crime and Disorder Impact

7.11.1 None arising from this report

8. Background Papers

8.1 [NNC Executive decision: Highways Procurement](#)

8.2 [WNC Cabinet decision – Highways Procurement](#)

8.3 [Transformation Task and Finish Group Priority Disaggregation timeline](#)

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Shared Services Joint Committee 23rd March 2022

Report Title	Inter Authority Agreement Services Delivery Update
Report Author	Emma Conway – WNC, Head of Programme management and strategic partnerships Emma.Conway@westnorthants.gov.uk Rochelle Mathieson , NNC Head of Transformation – Partnerships & Design Rochelle.Mathieson@northnorthants.gov.uk

List of Appendices

Appendix A - IAA Service Plans phased delivery plan

Service plans

- Appendix B - SEND Information and Support Services service plan
- Appendix C - Assistive Technology service plan
- Appendix D - Visual Impairment service plan
- Appendix E - Shared Lives service plan
- Appendix F - Personal Budgets Support Service plan
- Appendix G - Adult Mental Health Practitioners service plan
- Appendix H - Household Waste Recycling Centres (HWRC) service plan
- Appendix I - Streetlighting PFI service plan

1. Purpose of Report

- 1.1. To update on progress to date in relation to the development of Service Plans for lead and hosted shared services between North Northamptonshire Council and West Northamptonshire Council.
- 1.2. To present Service Plans (*see Appendix B - I*) and seek approval of the performance measures and finance information as set out within the individual Service Plans for the services listed below:
 - SEND – Information and support service (IASS)
 - Assistive technology
 - Visual Impairment Service
 - Shared Lives
 - Personal budget support service (PBSS)
 - Adult Mental Health Practitioners (AMHP)

- Household Waste Recycling Centres (HWRC)
- Streetlighting PFI

2. Executive Summary

- 2.1 All project phases of the IAA Service Plan Delivery schedule are now complete and the resource allocated from the Transformation Teams (both North and West) can be redeployed. Support for the co-ordination of the completion, management and performance reporting of plans will be handed over to 'business as usual' from April 1st 2022 to Provider Authority Service Leads in consultation with Legal Services.
- 2.2 IAA service plans that remain in development have been reprofiled to the March governance cycle, for presentation to Shared Services Joint Committee in April 2022. **(See Appendix A)**
- 2.3 Those services due to disaggregate before September 2022 and therefore identified as requiring an Exit Plan, rather than a Service Plan, will be picked up within the related disaggregation workstreams, as agreed by the Shared Services Joint Committee on 19th January 2022. **(See Appendix A)**

3. Recommendations

- 3.1 It is recommended that the Committee:
- 3.1.1. Approve the proposed service plans;
- Appendix B - SEND Information and Support Service (IASS) service plan
 - Appendix C - Assistive Technology service plan
 - Appendix D - Visual Impairment service plan
 - Appendix E - Shared Lives service plan
 - Appendix F - Personal Budget Support Service (PBSS) service plan
 - Appendix G - Adult Mental Health Practitioners (AMHP) service plan
 - Appendix H - Household Waste Recycling Centres (HWRC) service plan
 - Appendix I - Streetlighting PFI service plan
- 3.2 Reason for Recommendations:
To ensure completed service plans are agreed and reporting mechanism is in place for all approved IAA Service plans.
- 3.3 Options Considered:
The alternative of not approving the recommendations would create a delay to the reporting and monitoring of the performance measures while required adjustments are made to the Service Plans.

4. Report Background

- 4.1 A phased delivery timeline (**Appendix A**) and reporting approach for IAA service plan development was agreed at Shared Services Joint Committee on 6th October 2021.
- 4.2 All IAA service plan delivery stages have now been completed.

- 4.3 Public Health Management, Commissioning service and Public Health Admin and Wellbeing service will now require Exit Plans due to them profiled to disaggregate by end of Quarter Two 2022.
- 4.4 The Public Health Adults Learning service plan KPIs have been agreed, however further discussions are underway to agree the finance schedule 3 information. There have been some delays due to an Ofsted inspection of the service, therefore approval of the completed service plan will be reprofiled to the March governance cycle (April 2022 Shared Services Joint Committee).
- 4.5 Draft service plans have been agreed however further discussions are required by the services regarding Public Health Intelligence and STP and the Schools swim service to establish whether a service plan or change request will be required. These service plans have been reprofiled to the March governance cycle (April 2022 Shared Services Joint Committee) to reflect this.
- 4.6 The IT service plan development has commenced, however will require additional time to allow for further discussions and joint agreement, there are complexities around both KPI and finance information. It is anticipated that this plan will not be completed until the March governance cycle at the earliest and delivery timescales will need to be reprofiled accordingly.

5. Issues and Choices

- 5.1 Following completion of all phases, Service plans (**Appendix B-I**) now require Committee approval.

Should the Committee be minded to not approve the Service Plans; this may create a delay to the reporting and monitoring of the performance measures while required adjustments are made to the Service Plans.

6. Implications (including financial implications)

6.1 Resources and Financial

Legal, Finance and Performance resources are required to produce the associated remaining Service Plans referenced within this report. This is being delivered within existing resource across both West and North Northamptonshire Councils and there are no resources or financial implications arising from the proposals. Financial and performance implications relating to individual services are considered and set out within the relevant service plans.

6.2 Legal

The Shared Services Joint Committee are responsible for “Approving the Service Plans for the Specified functions including targets for service quality, performance and efficiency.” As well as “Agreeing the responsibilities of each Council to deliver the Service Plans and agreed strategy, including any specific responsibilities of the Provider Council and that the responsibilities are documented within the Service Plans.”

6.3 **Risks/Issues Resource**

- Provision of financial data for inclusion within Service Plans; owing to capacity constraints, notably in North Northamptonshire which has seen the departure of the North IAA finance lead from the organisation, the creation of financial information is noted as a risk to meeting the phased timetable. **Mitigation:** this risk is under regular review within the Joint Working Group and finance resource is being provided to aid, however this may cause a delay in resolution of finance queries.
- Unplanned absence due to Covid19 has delayed the completion of draft KPI information for some service areas and impacted the delivery timelines. **Mitigation:** this risk is being mitigated by ensuring that any drafts being worked on by performance leads are stored in the appropriate shared areas so they can be picked up by other team members if necessary.

6.4 **Consultation**

6.4.1 No consultation activity is required because of this report/activity.

6.5 **Consideration by Scrutiny**

6.5.1 No consideration by scrutiny has been requested.

6.6 **Climate Impact**

6.6.1 There is no climate impact arising from the recommendations within the report.

6.7 **Community Impact**

6.7.1 There is no anticipated community impact because of this report.

6.8 **Consideration by Executive Advisory Panel**

6.8.1 No consideration by Executive Advisory Panel has been requested.

6.9 **Equality Impact**

6.9.1 There is no equality impact arising from the recommendations within the report.

6.10 **Crime and Disorder Impact**

6.10.1 There is no anticipated crime and disorder impact because of this report.

7. **Background Papers**

7.1 Administrative agreement

<https://northnorthants.moderngov.co.uk/documents/s1068/7.%20Appx%20B%20-%20IAA%20and%20Schedules.pdf>

Appendix A: Phased plan (Please note that depending on complexity service plans and both parties agreeing sign off , scheduled phases may subject to change and brought forward or pushed back)

Pilot Services Target completion date: 30 th September 2021 (Complete)	Phase 1 (Lead Services) Target completion date: 31 st October 2021 (SSJC – December 2021)	Phase 2 (Lead Services) Target completion date: 30 th November 2021 (SSJC – January 2022)	Phase 3 (Hosted Services) Target completion date: 31st December 2021 (SSJC - February 2022) Meeting cancelled so all approvals to March SSJC.	Phase 4 (Hosted Services) Reprofiled disaggregation and subject to change request Target completion date: 31st January 2022 (SSJC - March 2022)
Minerals and Waste Planning Complete	Lord Lieutenancy Support Removed from scope	Public Health – Adult Learning Moved to Phase 4	Adults – Adult Mental Health Practitioners (AMHPs) Appendix G	Childrens – Sensory Impairment Service Exit plan
Digital Infrastructure Complete	Place – Culture and Leisure and OL Learning Exit plan	Public Health – Director of Public Health (DPH) Exit Plan	Adults - Assistive Technology Appendix C	Childrens – School admissions Exit plan
Libraries Complete	Place – Country Parks Exit Plan	Public Health – Public Health Intelligence & STP Moved to Phase 3	Adults - Shared Lives Appendix E	Childrens –Safeguarding in Education Exit plan
L&D (schedule includes Apprenticeship) Complete	Children’s – The Virtual Schools Complete	Adults – Community and Leisure - Northamptonshire Archaeological Resource Centre (NARC) Complete	Adults – Deprivation of Liberty Service Exit Plan	Place – Household Waste recycling centre (HWRC) Appendix H
	Place – Street Lighting (PFI contract) Moved to Phase 3	Place – Portable Antiquities Scheme (PAS) Complete	Public Health - Management, Commissioning and Admin Exit plan	Place – Street Lighting (PFI contract) Appendix I
	Northamptonshire Traveller Unit Complete	Place - Historic Environment Record (“HER”) Complete	Public Health - Wellbeing Services Exit plan	Public Health – Adult Learning Reprofiled to April SSJC Finance discussion ongoing

Pilot Services Target completion date: 30 th September 2021 (Complete)	Phase 1 (Lead Services) Target completion date: 31 st October 2021 (SSJC – December 2021)	Phase 2 (Lead Services) Target completion date: 30 th November 2021 (SSJC – January 2022)	Phase 3 (Hosted Services) Target completion date: 31 st December 2021 (SSJC – February 2022) Meeting cancelled so all approvals to March SSJC.	Phase 4 (Hosted Services) Reprofiled disaggregation and subject to change request Target completion date: 31 st January 2022 (SSJC - March 2022)
		Place – Archives and Heritage Service Complete	Adults – Visual Impairment Appendix D	Public Health – Public Health Intelligence & STP In progress for March governance cycle so presentation to April SSJC.
		Adults – Community and Leisure – Chester House Exit plan	Children – SEND Information and Support Service (IASS) Appendix B	Adults Community and Leisure Schools swim service In progress for March governance cycle so presentation to April SSJC.
			Adults Personal Budget Support Service Appendix F	IT – Operation/Infrastructure/Digital In progress for March governance cycle so presentation to April SSJC.

SCHEDULE 3B2

SERVICE PLAN

SERVICE AREA	Children's Services
FUNCTION	Information Advice and Support Service (IASS)
SERVICE TREATMENT	Host
PROVIDER AUTHORITY	North Northamptonshire Council ("NNC")
RECEIVING AUTHORITY	West Northamptonshire Council ("WNC")

1. OVERVIEW

- 1.1 This Service Plan sets out the approved budget and key performance indicators (KPIs) in respect of the delegated Function(s) and Services detailed in the corresponding Schedule 2B2.

2. CRITICAL SERVICE FAILURE(S)

- 2.1 Critical service failures in respect of the Delegated Functions in this Schedule 3B2 are:

2.1.1 Failure to facilitate a formal agreement between all partners in line with the requirements of the Children and Families Act 2014.

2.1.2 Failure to provide a SEND IASS service to users by not responding to referrals and enquiries in line with agreed service level as set out in IASS2

3. NOTICE PERIOD

- 3.1 The Notice period for termination of this Delegated Function is 9 months.

4. KEY PERFORMANCE INDICATORS

4.1 National / Statutory key performance indicators and reporting requirements

KPI ref	KPI description	KPI Target	Performance threshold levels	Guidance	Reporting frequency	Who measure is reported to? (e.g. Govt dept)
IASS1	A joint agreement for the provision of IASS is in place between all partners in accordance with the CFA 2014	A formal agreement is in place between all partners	Green = formal agreement in place Red = formal agreement not in place	The formal agreement should be in line with the requirements set out within the Children and Families Act 2014	Annual	A copy of the agreement is provided to the Council for Disabled Children

4.2 Locally agreed key performance indicators

KPI ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (May include references to baseline data)
IASS2	% of referrals and enquiries responded to within 3 working days	90%	Green = 90-100% Amber = 80 -90% Red = 80% or below	Quarterly	
IASS3	A quarterly progress report is provided to the North and West Directors for Children's Services (DCS) providing an overview of the IASS service delivery	Report produced and provided on a quarterly basis	Green = quarterly report produced and provided Amber = quarterly report produced but not provided Red = quarterly report not produced or provided	Quarterly	This report will provide an overview of service delivery of the IASS service in relation to delivery against the minimum standards set. This will include information regarding feedback from service users as well as staff training completions.

DRAFT

5. FINANCIAL INFORMATION

1. Recharging Principles

- 5.1. All costs and income associated with running the service will be recovered during the financial year in line with the disaggregated budget as approved by each Council respectively.
- 5.2. The lead authority shall invoice the receiving authority for the payments quarterly, each payment will be an equivalent proportion of the budget for quarters 1-3, as set out in table 1. Quarter 4 will be a balancing payment or refund to reflect actual expenditure incurred by the host authority, following a reconciliation process as set out in the financial KPI's.
- 5.3. Using regular open book management will ensure that any variation from expected volumetrics (performance and financial) will be flagged as soon as it is known to both, to facilitate a review of mitigations/variance management.

6. Carry Forwards

- 6.1. A sum of £127,882.35 was carried forward in NCC at the end of the 20/21 financial year as a receipt in advance relating to ringfenced Council for Disabled Children funding. NNC shall invoice WNC for this payment separately to the disaggregated budget to be recharged.

Table 1 – Disaggregated Budgets to be recharged – 2021/22

Service area	Budget before disaggregation	WNC Expenditure Budget 2021/22	NNC Income Budget 2021/22	Quarter 1 recharge April - June 2021	Quarter 2 recharge July - Sept 2021	Quarter 3 recharge Oct - Dec 2021	Quarter 4 recharge Jan - Mar 2022
IASS WNC 40000154	£407,045	£211,654*	-£211,654	£52,914	£52,914	£52,914	£52,914 Plus of minus reconcili amount based o actual incurre through the year

*WNC gross expenditure budget made up of:
WNC DSG 10,829
WNC general fund 200,825

Disaggregation % split
Disaggregation metric used

53.57%	46.43%
0-18 Population	

DRAFT

SCHEDULE 3A2

SERVICE PLAN

SERVICE AREA	Adults
FUNCTION	Assistive Technology
SERVICE TREATMENT	Host
PROVIDER AUTHORITY	West Northamptonshire Council (“WNC”)
RECEIVING AUTHORITY	North Northamptonshire Council (“NNC”)

1. OVERVIEW

- 1.1 This Service Plan sets out the approved budget and key performance indicators (KPIs) in respect of the delegated Function(s) and Services detailed in the corresponding Schedule 2A2.

2. CRITICAL SERVICE FAILURE(S)

- 2.1 Critical service failures in respect of the Delegated Functions in this Schedule 3A2 are:

2.1.1 Removal of any staff posts within the establishment by the Host Authority of the service without the prior agreement from the Receiving Authority.

2.1.2 Any policy or process change which impacts on demand or capacity of the service introduced without agreement from both Councils.

2.1.3 Any decision regarding an increase in resources required to deliver the service being taken without agreement by both Councils.

3. NOTICE PERIOD

- 3.1 The Notice period for termination of this Delegated Function is 12 months.

4. KEY PERFORMANCE INDICATORS

4.1 National / Statutory key performance indicators and reporting requirements

4.1.1 There are no national or statutory key performance indicators for this service.

4.2 Locally agreed key performance indicators

KPI ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (May include references to baseline data)
AT1	Average response time (working days) to standard referrals received	7 working days	Green = 7 or below Amber = 8 to 11 days Red = 12 or above	Quarterly	From the moment referral is processed by Customer Contact Centre until first attempt to contact. Standard referrals are classed as low risks to someone in the community where equipment would be useful but not essential.
AT2	Average response time (working days) to urgent referrals received	2 working days	Green = 2 days Amber = 3-4 days Red = 5 days and above	Quarterly	From the moment referral is processed by CSC until first attempt to contact. Service need to be aware of any delays in processing via CSC. An urgent referral = support hospital discharge or prevent someone being admitted to hospital
AT3	Number of referrals to be processed by assistive technology team (excluding customer contact centre) which are open as at quarter end	150	Green = 150 or below Amber = 150 -200 Red = Above 200	Quarterly	Total of open referrals awaiting appointment to be booked 3 attempts are made before closing referral and sending letter.
AT4	Provision of a quarterly service performance report to be presented at a quarterly review meeting. <ul style="list-style-type: none"> Number of installations completed Number of people supported by AT rentals Establishment review and any 	Quarterly report provided and meeting taken place	Green – Report provided in agreed timescale. Red – Report not provided	Quarterly	Number of total installations per year including rentals and standalone equipment. Number of rentals including telecare, Canary and GPS devices. A Service review meeting to take place between the Primary Service Contacts and Service Directors (or their nominated representatives) from each Party, to review the delivery of the functions as a minimum

KPI ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (May include references to baseline data)
	proposed changes. <ul style="list-style-type: none"> Policy and procedure changes. 				quarterly.
AT5	Number of services users awaiting Adult Social care Lifeline response utilization.(Social care response)	0	Green = 0 Amber = 1-3 Red = 4	Quarterly	Number of residents across Northamptonshire with Social care response.

5. FINANCIAL INFORMATION

5.1 Recharging Principles

- 5.1.1 All costs and income associated with running the service will be recovered during the financial year in line with the disaggregated budget as approved by each Council respectively.
- 5.1.2 The lead authority shall invoice the receiving authority for the payments quarterly, each payment will be an equivalent proportion of the budget for quarters 1-3, as set out in table 1. Quarter 4 will be a balancing payment or refund to reflect actual expenditure incurred by the host authority, following a reconciliation process as set out in the financial KPI's.
- 5.1.3 Using regular open book management will ensure that any variation from expected volumetrics (performance and financial) will be flagged as soon as it is known to both, to facilitate a review of mitigations/variance management.
- 5.1.4 The full budget for Assistive Technology is funded through Better Care fund allocations. There is no base budget in the West. These figures will need to be reviewed on an annual basis as funding amounts may vary.

Table 1 – Disaggregated Budgets to be recharged – 2021/22

Service area	Budget before disaggregation	NNC Expenditure Budget 2021/22	WNC Income Budget 2021/22	Quarter 1 recharge April - June 2021	Quarter 2 recharge July - Sept 2021	Quarter 3 recharge Oct - Dec 2021	Quarter 4 recharge Jan - March 2022
Assistive Technology	£315,076	£164,172	-£164,172	£41,043	£41,043	£41,043	£41,043 Plus or minus reconciling amounts based on actuals incurred throughout the year

Disaggregation % split	47.9%	52.1%
Disaggregation metric used	Split based on population aligned to the Better Care fund	

Summary - West Hosted Budget

West Northamptonshire Council Assistive Technology Gross Budget	£315,076
Income from North Northamptonshire Council	-£164,172
West Northamptonshire Council Net Budget	£150,904

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SCHEDULE 3A8

SERVICE PLAN

SERVICE AREA	Adults
FUNCTION	Visual Impairment
SERVICE TREATMENT	Host
PROVIDER AUTHORITY	West Northamptonshire Council (“WNC”)
RECEIVING AUTHORITY	North Northamptonshire Council (“NNC”)

1. OVERVIEW

1.1 This Service Plan sets out the approved budget and key performance indicators (KPIs) in respect of the delegated Function(s) and Services detailed in the corresponding Schedule 2A8.

2. CRITICAL SERVICE FAILURE(S)

2.1 Critical service failures in respect of the Delegated Functions in this Schedule 3A8 are:

2.1.1 Removal of any staff posts within the establishment by the Host Authority of the service without the prior agreement from the Receiving Authority.

2.1.2 Any policy or process change which impacts on demand or capacity of the service introduced without agreement by both Councils.

2.1.3 Any decision regarding an increase in resources required to deliver the service being taken without agreement by both Councils.

3. NOTICE PERIOD

3.1 The Notice period for termination of this Delegated Function is 12 months (provided that both parties have the staff with the necessary training and qualifications in place to continue to deliver the service).

4. KEY PERFORMANCE INDICATORS

4.1 National / Statutory key performance indicators and reporting requirements

KPI ID	KPI description	Target	Performance threshold levels	Reporting frequency	Guidance on definition	Who is measure reported to? (e.g. Government department, national body)
VI 01	% of Certified Visually impaired receivers added to the visual impairment register once user consent received.	100%	Green = 100% Amber = 90-99% Red = Below 90%	Six-monthly	It is a statutory requirement to add CVI receivers to the Visual Impairment register where consent has been provided by the individuals consent.	This is a statutory requirement subject to individual's consent.

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4.2 Locally agreed key performance indicators

KPI ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (May include references to baseline data)
VI 02	% of referrals responded to within agreed timescales (5 working days).	90%	Green = 90% and above Amber = 80% to 90% Red = below 80%	Quarterly	
VI 03	Visual Impairment quarterly service review meeting to take place.	Four quarterly meeting	Green = Service review meeting held Red = Service review meeting not held	Quarterly	A Service review meeting to take place between the Primary Service Contacts and Service Directors (or their nominated representatives) from each Party, to review the delivery of the functions as a minimum quarterly.

5. FINANCIAL INFORMATION

5.1 Recharging Principles

- 5.1.1 All costs and income associated with running the service will be recovered during the financial year in line with the disaggregated budget as approved by each Council respectively.
- 5.1.2 The lead authority shall invoice the receiving authority for the payments quarterly, each payment will be an equivalent proportion of the budget for quarters 1-3, as set out in table 1. Quarter 4 will be a balancing payment or refund to reflect actual expenditure incurred by the host authority, following a reconciliation process as set out in the financial KPI's.
- 5.1.3 Using regular open book management will ensure that any variation from expected volumetrics (performance and financial) will be flagged as soon as it is known to both, to facilitate a review of mitigations/variance management.
- 5.1.4 The visual impairment staff sit within the Community Occupational Therapy team that is funded through the Better Care Fund

Table 1 – Disaggregated Budgets to be recharged – 2021/22

Service area	Budget before disaggregation	NNC Expenditure Budget 2021/22	WNC Income Budget 2021/22	Quarter 1 recharge April - June 2021	Quarter 2 recharge July - Sept 2021	Quarter 3 recharge Oct - Dec 2021	Quarter 4 recharge Jan - March 2022
Visual Impairment *BCF funding	£100,000	£50,000	£-50,000	£12,500	£12,500	£12,500	£12,500 Plus or minus reconciling amounts based on actuals incurred throughout the year

Disaggregation % split	50%	50%
Disaggregation metric used	50% as 2 members of staff covering West and North	

Summary - West Hosted Budget

West Northamptonshire Council Gross Budget	£100,000
Income from North Northamptonshire Council	£-50,000
West Northamptonshire Council Net Budget	£50,000

SCHEDULE 3A7

SERVICE PLAN

SERVICE AREA	Adults
FUNCTION	Shared Lives
SERVICE TREATMENT	Host
PROVIDER AUTHORITY	West Northamptonshire Council (“WNC”)
RECEIVING AUTHORITY	North Northamptonshire Council (“NNC”)

1. OVERVIEW

1.1 This Service Plan sets out the approved budget and key performance indicators (KPIs) in respect of the delegated Function(s) and Services detailed in the corresponding Schedule 2A7.

2. CRITICAL SERVICE FAILURE(S)

2.1 Critical service failures in respect of the Delegated Functions in this Schedule 3A7 are:

2.1.1 Removal of any staff posts within the establishment by the Host Authority of the service without the prior agreement from the Receiving Authority.

2.1.2 Any policy or process change which impacts on demand or capacity of the service introduced without agreement by both Councils.

2.1.3 Any decision regarding an increase in resources required to deliver the service being taken without agreement by both Councils.

3. NOTICE PERIOD

3.1 The Notice period for termination of this Delegated Function is 12 months.

4. KEY PERFORMANCE INDICATORS

4.1 National / Statutory key performance indicators and reporting requirements

KPI ID	KPI description	Target	Performance threshold levels	Reporting frequency	Guidance on definition	Who is measure reported to? (e.g. Government department, national body)
SL1	Number of reported breaches of the Care Quality Commission regulations	Zero	Green = 0 Amber = 1 to 3 Red = 3 and above	Quarterly	The Care Quality Commission inspection tool inspects services under 5 key areas as part of the fundamental standards Health and social care Act 2008 (regulated activities) Regulations 2014	CQC report to the nominated individual.

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4.2 Locally agreed key performance indicators

KPI ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (May include references to baseline data)
SL 2	a. % of initial referrals responded to within 3 working days	95%	Green = 95% or above Amber =85% to 95% Red = 85% or below	Quarterly	
SL 3	b. % of emergency respite referrals known to the	95%	Green = 95% or above Amber =85% to 95%	Quarterly	An emergency placement is defined as a service that is required to be provided on the same day or

KPI ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (May include references to baseline data)
	service responded to on same working day		Red = 85% or below		in the next 72 hours
SL 4	Provision of monthly service review/performance report to Receiver authority	Report provided on a monthly basis	Green = 3 monthly reports provided during quarter Amber = 2 monthly reports provided during quarter Red = 0 or 1 monthly report provided during quarter	Monthly	The monthly performance report to include: <ul style="list-style-type: none"> • Carer numbers • Long term placements • Respite placements • Safeguarding notifications
SL 5	All carers & placements are monitored to ensure compliance % of scheduled 12- week full compliance reviews completed	100%	Green = 100 % Amber = 85-99 % Red = Below 85%	Quarterly	Every placement is to have a full compliance review completed every 12 weeks.
SL 6	Shared Lives quarterly service review meeting to take place.	Four quarterly meeting	Green = Service review meeting held Red = Service review meeting not held	Quarterly	A Service review meeting to take place between the Primary Service Contacts and Service Directors (or their nominated representatives) from each Party, to review the delivery of the functions as a minimum quarterly.

5. FINANCIAL INFORMATION

5.1 Recharging Principles

- 5.1.1 All costs and income associated with running the service will be recovered during the financial year in line with the disaggregated budget as approved by each Council respectively.
- 5.1.2 The lead authority shall invoice the receiving authority for the payments quarterly, each payment will be an equivalent proportion of the budget for quarters 1-3, as set out in table 1. Quarter 4 will be a balancing payment or refund to reflect actual expenditure incurred by the host authority, following a reconciliation process as set out in the financial KPI's.
- 5.1.3 The disaggregated budgets reflect the staffing resource and overheads only. The Shared Lives payments to families are outside of the IAA agreement and are accounted for by each Local Authority.
- 5.1.4 Using regular open book management will ensure that any variation from expected volumetrics (performance and financial) will be flagged as soon as it is known to both, to facilitate a review of mitigations/variance management.

Table 1 – Disaggregated Budgets to be recharged – 2021/22

Service area	Budget before disaggregation	NNC Expenditure Budget 2021/22	WNC Income Budget 2021/22	Quarter 1 recharge April - June 2021	Quarter 2 recharge July - Sept 2021	Quarter 3 recharge Oct - Dec 2021	Quarter 4 recharge Jan - March 2022
	£232,349	£92,832	-£92,832	£23,208	£23,208	£23,208	£23,208 Plus or minus reconciling amounts based on actuals incurred throughout the year

Disaggregation % split	40%	60%
Disaggregation metric used	Staff Costs – LD Client split %	

Summary - West Hosted Budget

West Northamptonshire Council Gross Budget	£232,349
Income from North Northamptonshire Council	£92,832
West Northamptonshire Council Net Budget	£139,517

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SCHEDULE 3A9

SERVICE PLAN

SERVICE AREA	Adults
FUNCTION	Personal Budgets Service (PBSS)
SERVICE TREATMENT	Host
PROVIDER AUTHORITY	North Northamptonshire Council (“NNC”)
RECEIVING AUTHORITY	West Northamptonshire Council (“WNC”)

1. OVERVIEW

- 1.1 This Service Plan sets out the approved budget and key performance indicators (KPIs) in respect of the delegated Function(s) and Services detailed in the corresponding Schedule 2A9.

2. CRITICAL SERVICE FAILURE(S)

- 2.1 Critical Service Failures in respect of the Delegated Functions in this Schedule 3A9 are;

- 2.1.1 Removal of any staff posts within the establishment by the Host Authority of the service without the prior agreement from the Receiving Authority.
- 2.1.2 Any policy or process change which impacts on demand or capacity of the service introduced without agreement by both Councils.
- 2.1.3 Any decision regarding an increase in resources required to deliver the service being taken without agreement by both Councils.
- 2.1.4 Failure to make invoice payments by payment due date (in line with support budgets) to care providers for a period of two months or more (unless an active query in place). Payment by scheduled date for those directly employed by Direct Payment recipients.
- 2.1.5 Failure to complete any statutory returns within the required timescales as detailed below in 4.1.

3. NOTICE PERIOD

The Notice period for termination of this Delegated Function is 9 months

4. KEY PERFORMANCE INDICATORS

4.1 There current National / Statutory key performance indicators and reporting requirements for PBSS are listed below.

KPI ref	KPI description	KPI Target	Performance threshold levels	Guidance	Reporting frequency	Who measure is reported to? (e.g. Govt dept)
PBSS 1	HMRC real time information returns for all employers submitted to HMRC by the provider within required timescale.	4 Weekly completion of return	Green – return complete by required timeframe. Red – Return complete outside required timeframe.	Returns are submitted by the team weekly to ensure HMRC 4 weekly deadline is met.	Quarterly	HMRC
PBSS 2	HMRC PAYE/NI P30 payments for all holding account employers made by the Provider within required HMRC timescales.	Quarterly payments processed	Green – Payments complete by required timeframe. Red – Payments complete outside required timeframe.	HMRC deadline dates will vary each quarter so detailed date not specified as this is subject to change.	Quarterly	HMRC
PBSS 3	HMRC real time information quarter-end report for all employers submitted by the Provider within required HMRC timescales.	Quarterly submission of return	Green – Report submitted within required timeframe. Red – Report submitted outside		Quarterly	HMRC

KPI ref	KPI description	KPI Target	Performance threshold levels	Guidance	Reporting frequency	Who measure is reported to? (e.g. Govt dept)
			required timeframe.			
PBSS 4	HMRC real time information Year-End Report for all employers submitted by the Provider within HMRC annual deadline.	Annually (April)	Green – Report submitted within required timeframe. Red – Report submitted outside required timeframe.		Annually	HMRC
PBSS 5	Percentage of New Employers with completed HMRC registration on payroll set up.	100%	Green – 100% Red – below 100%		Quarterly	HMRC
PBSS 6	Workplace Pension Assessments undertaken, and eligible employees enrolled into a workplace pension scheme completed by the Provider within required timescales.	4 Weekly completion of return	Green – All Assessments and enrolments during the quarter were completed within required timeframe. Red – Some assessment and enrolments during the quarter were completed outside required timeframe.	Returns are submitted by the team weekly to ensure HMRC 4 weekly deadline is met.	Quarterly	Pension's regulator
PBSS 7	Percentage of Pension regulator	100%	Green – 100%	Confirmation that all	Quarterly	Pension's regulator

KPI ref	KPI description	KPI Target	Performance threshold levels	Guidance	Reporting frequency	Who measure is reported to? (e.g. Govt dept)
	Declaration of Compliance checks completed within required the pensions regulator statutory deadlines.		Red – below 100%	qualifying employers within timescale have been completed.		
PBSS 8	Percentage of required pension regulator Re-declaration of Compliance checks (3 yearly) completed within pension regulator statutory deadlines	100%	Green – 100% Red – below 100%		Quarterly	Pension's regulator
PBSS 9	Percentage of Pension Contributions reported to NEST for all Employers with enrolled workers by required deadline.	100%	Green – 100% Red – below 100%	Return to be completed by the 22 nd of the month following 4 weekly payday.	Quarterly	NEST (National Employment savings trust)
PBSS 10	Percentage of pension contribution payments to NEST processed for all employers with enrolled workers by required deadline.	100%	Green – 100% Red – below 100%	Return to be completed by the 22 nd of the month following 4 weekly payday.	Quarterly	NEST (National Employment savings trust)

4.2 Locally agreed key performance indicators:

KPI ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (May include references to baseline data)
PBSS 9	PBSS quarterly service review meeting to take place.	Four quarterly meeting	Green = Service review meeting held Red = Service review meeting not held	Quarterly	A Service review meeting between the Primary Service Contacts and Service Directors (or their nominated representatives) from each Party, to review the delivery of the Functions.

5. FINANCIAL INFORMATION

Recharging Principles

- 5.1. All costs and income associated with running the service will be recovered during the financial year in line with the disaggregated budget as approved by each Council respectively.
The lead authority shall invoice the receiving authority for the payments quarterly, each payment will be an equivalent proportion of the budget for quarters 1-3, as set out in table 1. Quarter 4 will be a balancing payment or refund to reflect actual expenditure incurred by the host authority, following a reconciliation process as set out in the financial KPI's.
- 5.2. The Quarter 4 recharge will be plus or minus reconciling amounts based on actuals incurred throughout the year in the North as agreed with the West as per IAA Financial guidance.
- 5.3. Using regular open book management will ensure that any variation from expected volumetrics (performance and financial) will be flagged as soon as it is known to both, to facilitate a review of mitigations/variance management.

Table 1 – Disaggregated Budgets to be recharged – 2021/22

Service area	Budget before disaggregation	WNC Expenditure Budget 2021/22	NNC Income Budget 2021/22	Quarter 1 recharge April - June 2021	Quarter 2 recharge July - Sept 2021	Quarter 3 recharge Oct - Dec 2021	Quarter 4 recharge Jan - March 2022
PBSS	£351,408	£171,868	-£171,868	£42,967	£42,967	£42,967	£42,967

Disaggregation % split	48.9%	51.1%
Disaggregation metric used	Overarching Adult Social Care Client % split	

Summary - North Hosted Budget

North Northamptonshire Council PBSS Gross Budget	£351,408
Income from West Northamptonshire Council	-£171,868
North Northamptonshire Council Net Budget	£179,940

SCHEDULE 3A1

SERVICE PLAN

SERVICE AREA	Adults
FUNCTION	Approved Mental Health Professionals (AMHPs)
SERVICE TREATMENT	Host
PROVIDER AUTHORITY	North Northamptonshire Council (“NNC”)
RECEIVING AUTHORITY	West Northamptonshire Council (“WNC”)

1. OVERVIEW

1.1 This Service Plan sets out the approved budget and key performance indicators (KPIs) in respect of the delegated Function(s) and Services detailed in the corresponding Schedule 2A1.

2. CRITICAL SERVICE FAILURE(S)

2.1 Critical service failures in respect of the Delegated Functions in this Schedule 3A1 are:

2.1.1 Removal of any staff posts within the establishment by the Host Authority of the service without the prior agreement from the Receiving Authority.

2.1.2 Any policy or process change which impacts on demand or capacity of the service introduced without agreement from both Councils.

2.1.3 Any decision regarding an increase in resources required to deliver the service being taken without agreement by both Councils.

3. NOTICE PERIOD

3.1 The Notice period for termination of this Delegated Function is 12 months.

4. KEY PERFORMANCE INDICATORS

4.1 National / Statutory key performance indicators and reporting requirements

KPI ID	KPI description	Target	Performance threshold levels	Reporting frequency	Guidance on definition	Who is measure reported to? (e.g. Government department, national body)
AMHP 1	Completion of return to advise on the number of people subject to Section 7 guardianship.		Green – Return submitted within timescale Red – Return not submitted.	Annual		Department of Health NHS Digital

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4.2 Locally agreed key performance indicators

KPI ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (May include references to baseline data)
AMHP1	Respond to referrals within 3 hours of receipt (and agree action plan with referrer)	95%	Green = 95% Amber = 80 - 94% Red = < 80%	Quarterly	
AMHP2	Provision of resource to fully staff the AMHP rota and ensure appropriate shift cover on a weekly basis.	23 shifts a week covered	Green = 23 + Amber = 22.9 - 22 Red = < 22	Quarterly	Although the number of shifts will be covered on a weekly basis, this measure will be reported on a quarterly basis to demonstrate the average during the period.
AMHP3	Numbers of new AMHPs trained and warranted per year.	4	Green = 4 Amber = 3 - 2 Red = 1- 0	Annually (end of Q4)	AMHPs are trained in annual cohorts so there are not quarterly returns.

KPI ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (May include references to baseline data)
AMHP4	AMHP quarterly service review meeting to take place.	Four quarterly meeting	Green = Service review meeting held Red = Service review meeting not held	Quarterly	A Service review meeting to take place between the Primary Service Contacts and Service Directors (or their nominated representatives) from each Party, to review the delivery of the functions as a minimum quarterly.

5. FINANCIAL INFORMATION

- 5.1 All costs and income associated with running the service will be recovered during the financial year in line with the disaggregated budget as approved by each Council respectively.
- 5.2 The lead authority shall invoice the receiving authority for the payments quarterly, each payment will be an equivalent proportion of the budget for quarters 1-3, as set out in table 1. Quarter 4 will be a balancing payment or refund to reflect actual expenditure incurred by the host authority, following a reconciliation process as set out in the financial KPI's.
- 5.3 Using regular open book management will ensure that any variation from expected volumetrics (performance and financial) will be flagged as soon as it is known to both, to facilitate a review of mitigations/variance management.
- 5.4 There is currently no identified budget for commissioning. Charges for warrants, taxis, expenditure for individuals being assessed will be invoiced for on top of the staffing expenditure. Legal advice will be charged to the appropriate Local Authority.
- 5.5 The staffing budget detailed below is purely for the full time AMHP service. In addition to this non-substantive AMHPs within North and West Northamptonshire provide shifts on the rota.

Table 1 – Disaggregated Budgets to be recharged – 2021/22

Service area	Budget before disaggregation	WNC Expenditure Budget 2021/22	NNC Income Budget 2021/22	Quarter 1 recharge April - June 2021	Quarter 2 recharge July - Sept 2021	Quarter 3 recharge Oct - Dec 2021	Quarter 4 recharge Jan - March 2022
Add lines for each cost centre / area whichever is most appropriate for the area to aid monitoring	£380,894	£186,142	-£186,142	£46,536	£46,536	£46,536	£46,536 Plus or minus reconciling amounts based on actuals incurred throughout

							the year
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Disaggregation % split
Disaggregation metric used

49%	51%
Cases worked on April – Nov 2021	

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Summary - North Hosted Budget

North Northamptonshire Council AMHP Gross Budget	£380,894
Income from West Northamptonshire Council	£186,142
North Northamptonshire Council Net Budget	£194,752

SCHEDULE 3G3

SERVICE PLAN

SERVICE AREA	Place - Highways and Transport
FUNCTION	Household waste Recycling Centres (HWRCs)
SERVICE TREATMENT	Lead
PROVIDER AUTHORITY	North Northamptonshire Council (“NNC”)
RECEIVING AUTHORITY	West Northamptonshire Council (“WNC”)

1. OVERVIEW

- 1.1 This Service Plan sets out the approved budget and key performance indicators (KPIs) in respect of the delegated Function(s) and Services detailed in the corresponding Schedule 2G3

2. CRITICAL SERVICE FAILURES

- 2.1 Critical service failures in respect of the Functions set out in Schedule 2G3 include:
- 2.1.1 The Provider Authority failing to provide a contract manager to fulfil the contract management responsibilities set out in Schedule 2G3, for a period of more than two consecutive months.

3. NOTICE PERIOD

- 3.1 The Notice period for termination of this Function is two years.

4. KEY PERFORMANCE INDICATORS

4.1 National / statutory reporting

Ref	KPI description	Target	Performance threshold levels	Guidance on definition	Reporting frequency	Reported to (e.g. Govt dept)
-	None	-	-	-	-	-

4.2 Locally agreed KPIs

Ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (may include references to baseline data)
HWRC1	% of payments made to Urbaser Ltd within agreed contractual timescales for services received.	100%	Green = 100% Red = Less than 100%	Quarterly	
HWRC2	Number of monthly contract monitoring meetings attended by relevant NNC representatives.	10 (meetings per year)	For each quarter: Green = 10 or more meetings attended Amber = 8 or 9 meeting attended Red = 7 or below meetings attended	Annual	Data to be provided on a quarterly basis
HWRC3	Provision of the following key contractual information monthly: <ul style="list-style-type: none"> Audit information (if required) Monthly revenue financial forecasts Contractual performance data. 	Monthly	Green = provided Red = did not provide	Monthly	Audit information to be provided as and when requested this may not be required every month.
HWRC4	Provision of annual tonnage figures	Annual	Green = Forecast	Annually	Annual growth forecasts form part of

Ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (may include references to baseline data)
	for the previous year by August to enable WNC to calculate the annual growth forecast figures by September of each year.		provided Red = Forecast not provided		WNC Waste model so can be sourced locally but should be sense checked with NNC as part of MTFP budget setting
HWRC5	Provide any required data for WNC Corporate performance dashboards by agreed dates.	4 data sets per annum	Green = Provided Red =Did not provide	Quarterly	As per Corporate performance dashboard. Dates may be subject to change so not specified.

5. FINANCIAL INFORMATION

Recharging Principles

All costs and income associated with running the service will be recovered during the financial year in line with the disaggregated budget as approved by each Council respectively.

- 5.1 The lead authority shall invoice the receiving authority for payments Quarterly, in the month following the end of the quarter, each payment will be based on the actual spend for the months making up the quarter.
- 5.2 The costs in future years will be inflated in line with indexation
 - The HWRC Contract (including Wood Waste Bonus) is inflated by RPIx (using the CHMK index figure within the RPIX Indices) each year using the September published index,
 - Residual waste disposed via Lot 1,2,3 contract will be inflated by RPIx (using the CHMK index figure within the RPIX Indices) each year using the October published index
- 5.3. Income is recovered and will be split between authorities based on site actuals, as set out in monthly reports, the income values are adjusted in line with contract rates and review dates:
 - Guaranteed materials recycling rates (as included in Contract) combined with agreed material rates is calculated for the quarter in accordance with movement in materials prices)
 - Guaranteed reuse licence income fees (as included in Contract) combined with income to Contractor from Reuse licence fee.
 - Guaranteed income per tonne for commercial waste as included in Contract multiplied by tonnage for month.
 - Treatment Fee for commercial wood waste recovered sent to ACL for treatment. – Will be recovered at the ACL contract rate for the period of the recharge.

- 5.4. Performance deductions will be calculated in accordance with clause 47.2 of the HWRC Contract. The income generated from any performance deductions will be either general contract or site specific, as such
- General contract deductions will be allocated between NNC and WNC on a ninths basis as per number of site NNC (4/9) WNC (5/9)
 - Site specific deduction will be allocated to the authority in which the site sits.
- 5.5. Using regular open book management will ensure that any variation from expected volumetrics (performance and financial) will be flagged as soon as it is known to both, to facilitate a review of mitigations/variance management.

Table 1 – Disaggregated Budgets to be recharged – 2021/22

Service area		Budget before disaggregation	WNC Budget 2021/22	NNC Budget 2021/22	Quarter 1 recharge April - June 2021	Quarter 2 recharge July - Sept 2021	Quarter 3 recharge Oct - Dec 2021	Quarter 4 recharge Jan - March 2022
Add lines for each cost centre / area whichever is most appropriate for the area to aid monitoring	Revenue*	£6,356,448	£3,320,700	£3,035,748	£826,425	£826,425	£826,425	£826,425
					Plus or minus based on actuals incurred throughout the quarter	Plus or minus based on actuals incurred throughout the quarter	Plus or minus based on actuals incurred throughout the quarter	Plus or minus based on actuals incurred throughout the quarter
	Capital**	£64,927	£36,071	£28,856		£36,071		
Disaggregation % split	Revenue	based on Actuals	52.25%	47.75%				
	Capital	based on No Sites	55.56%	44.44%				

<u>Summary – North Hosted Budget</u>	<u>Revenue</u>	<u>Capital</u>
North Northamptonshire Council HWRC Gross Budget*	£6,356,448	£64,927
Income from West Northamptonshire Council	-£3,320,700	-£36,071
North Northamptonshire Council Net Budget*	£3,035,748	£28,856

* Revenue Budget is split over two cost centres c15k Hazardous Waste (40000187/20000183) & c.3.3mHWRC (40000188/20000184)

**Capital expenditure to be part of Capital program until 2024/25.

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SERVICE PLAN

SERVICE AREA	Place - Highways and Transport
FUNCTION	Street lighting PFI (as more particularly described in NNC’s Scheme of Delegation)
SERVICE TREATMENT	Lead
PROVIDER AUTHORITY	West Northamptonshire Council (“WNC”)
RECEIVING AUTHORITY	North Northamptonshire Council (“NNC”)

1. OVERVIEW

1.1 This Service Plan sets out the approved budget and key performance indicators (KPIs) in respect of the delegated Function(s) and Services detailed in the corresponding Schedule 2E8.

2. CRITICAL SERVICE FAILURES

2.1 Critical service failures in respect of the Functions set out in Schedule 2E8 include:

- 2.1.1 The Provider Authority invoking provisions set out within section I – “Step-In and Termination” – of the PFI Streetlighting Contract without prior written notification to the Receiving Authority
- 2.1.2 The Provider Authority failing to provide a contract manager to fulfil the contract management responsibilities set out in Schedule 2E8, for a period of more than two consecutive months.

3. NOTICE PERIOD

3.1 The Notice period for termination of this Function is two years.

4. KEY PERFORMANCE INDICATORS

4.1 National / statutory reporting

Ref	KPI description	Target	Performance threshold levels	Guidance on definition	Reporting frequency	Reported to (e.g. Govt dept)
-	None	-	-	-	-	-

4.2 Locally agreed KPIs

Ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (may include references to baseline data)
SL1	% of payments made to Connect Roads within contractual timescales for services received	100%	Green = 100% Red = Less than 100%	Quarterly	
SL2	Number of monthly contract monitoring meetings attended by relevant WNC representatives	12 (meetings per year – 3 per quarter)	For each quarter: Green = 3 out of 3 meetings attended Amber = 2 out of 3 meetings attended Red = 1 or zero meetings attended	Quarterly	
SL3	Quarterly Network Board meeting attended by relevant WNC representatives	Yes	Green = attended Red = did not attend	Quarterly	
SL4	Provision of key contractual information within required timescales: <ul style="list-style-type: none"> Audit information (as required) Monthly revenue financial forecasts Annual growth forecasts	Yes	Green = provided Red = did not provide	Quarterly / annually	Annual growth forecasts to be provided once per year
SL5	Provision of an updated asset register	Yes	Green = Provided	Annually	

Ref	KPI description	Target	Performance threshold levels	Reporting frequency	Overview / Supporting notes (may include references to baseline data)
	on an annual basis to inform charging for the next financial year.		Red =Did not provide		
KPIs which measure health of the contract (reported at the contract meetings and included in IAA for information only)					
SL6	Reports on the average length of time for lamp repair in North Northamptonshire	5 days	N/A – for information	Quarterly	This information will enable the Receiving Authority to monitor how the Provider Authority are managing the supplier's performance of this service in PFI Contract
SL7	Reports on the number of occasions on which lighting points are not in light during the Lighting Up Period in North Northamptonshire (excluding intentionally switched-off lights)	N/A	N/A – for information	Quarterly	This information will enable the Receiving Authority to monitor how the Provider Authority are managing the supplier's performance of this service in PFI Contract
SL8	Percentage of lights in Light during the Lighting Up Period in North Northamptonshire	>99%	N/A – for information	Quarterly	This information will enable the Receiving Authority to monitor how the Provider Authority are managing the supplier's performance of this service in PFI Contract

5. FINANCIAL INFORMATION

Recharging Principles

All costs and income associated with running the service will be recovered during the financial year in line with the disaggregated budget as approved by each Council respectively.

- 5.1. The lead authority shall invoice the receiving authority for the payments quarterly, each payment will be an equivalent proportion of the budget for quarters 1-3, as set out in table 1. Quarter 4 will be a balancing payment or refund to reflect actual expenditure incurred by the host authority, following a reconciliation process as set out in the overarching financial KPI's. The quarterly invoicing shall only begin once the IAA has been agreed.
- 5.2. The costs in future years will be inflated – the street lighting maintenance contract is inflated by RPIx each year (the January RPIx rate is applied from October, the contract anniversary date); and the costs for energy will be inflated in line with current market prices.
- 5.3. As part of the annual budget forecast, the Provider Authority shall produce a revised asset register to the Receiver Authority. This will be agreed by the Parties in the Service Review and used to agree the cost apportionment and budget for the forthcoming year.
- 5.4. Using regular open book management will ensure that any variation from expected volumetrics (performance and financial) will be flagged as soon as it is known to both, to facilitate a review of mitigations/variance management.

Table 1 – Disaggregated Budgets to be recharged – 2021/22

Service area	Budget before disaggregation	WNC Budget 2021/22	NNC Budget 2021/22	Quarter 1 recharge April - June 2021	Quarter 2 recharge July - Sept 2021	Quarter 3 recharge Oct - Dec 2021	Quarter 4 recharge Jan - March 2022
Add lines for each cost centre / area whichever is most appropriate for the area to aid monitoring	£5,954,646	£3,072,597	£2,882,049	£720,512.25	£720,512.25	£720,512.25	£720,512.25 Plus or minus reconciling amounts based on actuals incurred throughout the year

Disaggregation % split	51.6%	48.4%
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Summary - West Hosted Budget

West Northamptonshire Council Street Lighting PFI Gross Budget	£5,954,646
Income from North Northamptonshire Council	- £2,882,049
West Northamptonshire Council Net Budget	£3,072,597



Shared Services Joint Committee 23rd March 2022

Report Title	Inter Authority Agreement – 2021 / 2022 Quarter 3 Performance Report
Report Author	Andrew Maddison – WNC Performance and Governance Manager <i>(on behalf of West Northamptonshire and North Northamptonshire Councils)</i>

List of Appendices

Appendix A – IAA Quarterly Performance Report – Quarter 3 2021/22

1. Purpose of Report

1.1. To provide Shared Services Joint Committee with the quarter three performance report for services delivered via the Inter-Authority Agreement (IAA) arrangements between North Northamptonshire Council (NNC) and West Northamptonshire Council (WNC) (see section 7.1 Background Papers).

2. Executive Summary

2.1 On 15th December 2021 the Shared Services Joint Committee were provided with the quarter 1 and quarter 2 performance for associated services delivered via the Inter-Authority Agreement (see section 7.2 Background Papers)

2.2 This report provides Members an overview of performance for those services delivered via the Inter-Authority Agreement in place between North Northamptonshire Council and West Northamptonshire Council. The report covers the period between October and December 2021 inclusive (quarter 3).

2.3 Included within his report are those services whose schedule 3 Service Plans were approved by the Shared Services Joint Committee on or before the 15th December 2021 (see section 7.3 Background Papers).

2.4 Performance indicators included in the report have been approved by the Shared Services Joint Committee as part of the development of IAA schedule 3 service plans.

- 2.5 Each agreed schedule 3 service plan includes a suite of performance indicators that will be used to measure the service delivered to the receiving authority by the providing authority.
- 2.6 On a quarterly basis a performance report will be produced to provide Members with assurance that services are being delivered in line with the previously agreed target measures. Where performance has not met agreed targets an overview of the reasons why, along with any mitigating actions taken, will be presented by a senior officer from the associated service.
- 2.7 Table 1, below, details the services which are included within the quarter 3 performance report, split by providing authority. It should be noted that performance for the Countywide Traveller Unit is reported on a six-monthly frequency, and therefore the performance data included within the quarter 3 performance report covers the period April to September 2021.

Table 1: Services reported within Q3 IAA Performance Report

Services provided by NNC to WNC:
<ul style="list-style-type: none"> ➤ Countywide Traveller Unit ➤ Digital Infrastructure ➤ Learning and Development ➤ Minerals and Waste Planning
Services provided by WNC to NNC:
<ul style="list-style-type: none"> ➤ Library Support Services

- 2.8 A total of 14 performance indicators have been reported in the quarter 3 report. All indicators met or exceeded their agreed performance targets for this period. Full details of each measure outturn reported can be found in Appendix A.

3. Recommendations

- 3.1 It is recommended that the Shared Services Joint Committee:
 - a) Note the quarter three performance report shown in Appendix A.
- 3.2 *(Reasons for Recommendations - to provide the Joint Committee with the detailed quarter three performance report.)*
- 3.3 *Alternative Options Considered – none as this report is for information only.*

4. Report Background

- 4.1 This report is produced on a quarterly basis in order to provide members of the Shared Services Joint Committee performance information relating to the

services delivered via the Inter-Authority Agreement (IAA) arrangements between North Northamptonshire Council (NNC) and West Northamptonshire Council (WNC)

5. Issues and Choices

- 5.1 As this report is for noting, there are no other options identified in the production of this performance report.

6. Implications (including financial implications)

6.1 Resources and Financial

Performance and Service area resources are required to produce the associated quarterly performance reporting, set out within this report. This is being delivered within existing resource across both West and North Northamptonshire Councils and there are no resources or financial implications arising from the proposals.

6.2 Legal and Governance

The Shared Services Joint Committee are responsible for “Reviewing the performance of the services and initiating additional/remedial action where appropriate”.

6.3 Risk

There are no risks associated arising from the recommendations within this report.

6.4 Consultation

No consultation activity is required because of this report/activity.

6.5 Consideration by Scrutiny

No consideration by scrutiny has been requested.

6.6 Climate Impact

There is no climate impact arising from the recommendations within the report.

6.7 Community Impact

There is no anticipated community impact because of this report.

6.8 **Consideration by Executive Advisory Panel**

No consideration by Executive Advisory Panel has been requested.

6.9 **Equality Impact**

There is no equality impact arising from the recommendations within the report.

6.10 **Crime and Disorder Impact**

There is no anticipated crime and disorder impact because of this report.

7. **Background Papers**

7.1 **Administrative Agreement -**

<https://northnorthants.moderngov.co.uk/documents/s1068/7.%20Appx%20B%20-%20IAA%20and%20Schedules.pdf>

7.2 **Shared Services Joint Committee - Wednesday 15th December, 2021 2.00 pm – Item 8 (Appendix C) -**

<https://northnorthants.moderngov.co.uk/ieListDocuments.aspx?CId=152&MId=498&Ver=4>

7.3 **Shared Services Joint Committee, List of Meetings -**

<https://northnorthants.moderngov.co.uk/ieListMeetings.aspx?Committeeld=152>



**North
Northamptonshire
Council**



**West
Northamptonshire
Council**

**Inter-Authority Agreements
Quarterly Performance Report
Quarter 3 2021/22 (October to December 2021)**

Introduction

This report provides an overview of performance for services delivered via Inter-Authority Agreements (IAA). This report covers the quarter 3 reporting period for 2021/22 (October to December 2021) for those services with a signed off IAA schedule 3 as at the end of December 2021.

The report is split into two key sections:

Section 1: Performance information for services provided by North Northamptonshire Council to West Northamptonshire Council.

Section 2: Performance information for services provided by West Northamptonshire Council to North Northamptonshire Council.

The tables below outline the services for which Q3 performance information has been reported:

Section 1: Services provided by North Northamptonshire Council to West Northamptonshire Council
Countywide Traveller Unit
Digital Infrastructure
Learning and Development
Minerals and Waste Planning

Section 2: Services provided by West Northamptonshire Council to North Northamptonshire Council
Library Support Services

Quarter 3 Overview

A total of 14 key performance indicators have been reported across five service areas. The tables below provide an overview of the KPI status outturns per service area. All measures reported for the period met or exceeded their target. Further details for each service can be found in this report (clicking on the service name will take you to each respective page)

Q3 KPI overview - services provided by North Northamptonshire Council to West Northamptonshire Council

The table on the right provides an outturn summary, by service, of quarter 3 performance for services provided by NNC and delivered to WNC. A total of 12 key performance indicators were reported across these services, with all measures meeting or exceeding target. A further two measures were not reported as they were not due to be reported during this quarter.

Service	Outturn			No activity
	G	A	R	
Countywide Traveller Unit	3	0	0	0
Digital Infrastructure	2	0	0	0
Learning and Development	4	0	0	2
Minerals and Waste Planning	3	0	0	0
Total:	12	0	0	2

Q3 KPI overview - services provided by West Northamptonshire Council to North Northamptonshire Council

The table on the right provides an outturn summary for the Library Support Service, a service provided by WNC and delivered to NNC. During quarter 3 there were two performance indicators reported which both met or exceeded their target. The other 4 measures were not due to be reported for this quarter.

Service	Outturn			No activity
	G	A	R	
Library Support Service	2	0	0	4
Total:	2	0	0	4



Section 1: Services provided by NNC to WNC



Countywide Traveller Unit

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KPI ID	KPI	National or Local KPI	Reporting Frequency	KPI Target	2021/22 Performance Outturn		
					Apr to Sept 2021	Oct 2021 to Mar 2022	YTD
NTU01	% of new encampments to be visited within one working day of notification; unless operational difficulties prevent this	Local	Six-monthly	95.00%	100%		100%
NTU02	% of enquiries dealt with a contact within 3 working days	Local	Six-monthly	90%	100%		100%
NTU03	Advise partner agencies of current encampment status on a weekly basis	Local	Six-monthly	95%	100%		100%

Supporting commentary

Performance indicators for the Countywide Traveller Unit will be reported on a six-monthly frequency. As this is the first report to be produced since the schedule 3 service plan has been approved, performance data for the first six-months of 2021/22 has been included within this report.

Digital Infrastructure

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KPI ID	KPI	National or Local KPI	Reporting Frequency	KPI Target	2021/22 Outturn				
					Q1	Q2	Q3	Q4	YTD
DI1	Overall Superfast Northamptonshire project (RAG) status as at end of quarter	Local	Quarterly	Green status	Green	Green	Green		N/A
DI2	A project update report on all Digital Infrastructure projects and activity (excluding Superfast Northamptonshire project) is provided to WNC within 20 working days from end of quarter	Local	Quarterly	Report provided	Report provided to WNC	Report provided to WNC	Report provided to WNC		N/A

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Supporting commentary

DI1: Excellent progress is being made against countywide speed and coverage targets. At the end of Q3, full fibre coverage had reached 35.5% of premises (target 40% by end of 2023). Full fibre coverage continues to grow with Openreach, CityFibre and Gigaclear in particular extending their commercial investment in the county. Gigabit capable broadband coverage had reach 75.0% at the end of Q3 (December 2021), achieving the end 2023 target two years early. New coverage targets were agreed in December 2021 through the IAA. These were for 80% of premises countywide to have access to full fibre and 90% of premises able to access gigabit capable broadband by the end of 2028. Further preparations for Project Gigabit procurements covering parts of Northamptonshire were made this quarter.

DI2: Inter-Authority Agreement for Digital Infrastructure now agreed (15/12/21) by the Joint Shared Committee. E-scooter trial continues to operate successfully across seven towns. Rides have now exceeded 1 million (1,420,000) with over 50,000 (53k) registered users across the seven towns. Level of comments and complaints very low. Starship operation running successfully. Now serves nine communities and 38,500 homes across Northampton. Some 62,500 deliveries made to end Q3.

Learning and Development

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KPI ID	KPI	National or Local KPI	Reporting Frequency	KPI Target	2021/22 Performance Outturn				
					Q1	Q2	Q3	Q4	YTD
LD1	Completion and submission of Individualised Learner Record (ILR) return for WNC	National	Quarterly	ILR submitted	ILR submitted	ILR submitted	ILR submitted		N/A
LD2	Apprenticeship Public Sector Target	National	Annual (Q4)	2.3%	N/A	N/A	N/A		N/A
LD3	Annual Apprenticeships self-assessment report and quality improvement plan produced and submitted to Ofsted	National	Annual (Q3)	Report and Plan submitted	N/A	N/A	Report and Plan produced	N/A	
LD4	Quarterly L&D management information dashboard produced and provided to WNC	Local	Quarterly	Dashboard provided	Dashboard provided	Dashboard provided	Dashboard provided		N/A
LD5	% of WNC apprentices that start qualification who go onto successfully complete	Local	Quarterly	75%	N/A	N/A	N/A		N/A
LD6	% of WNC delegates rating that the learning intervention was of a 'direct value to my work' was recorded as a 3 or above	Local	Quarterly	80%	96.5%	99.0%	96.9%		96.9%

Supporting commentary

LD2: The first annual report for this measure is not required to be submitted until 30th September 2022

LD3: The Self Assessment Report to Ofsted has been written and are awaiting the Ofsted submission link to submit. We are currently looking to be a Level 3 Provider - Improvement Required. We have already starting to implement a quality improvement plan with a number of key areas identified: Teaching, Learning and Assessment Observations and best practice in teaching are key themes. We are also implementing learner voice surveys on a regular basis with key questions regarding intent, implementation and impact as feedback for continuous improvement of programmes, reviewed on a quarterly basis. A new quality calendar is being implemented and will run all activities in the future to ensure we reach good before December 2022.

LD5: 40 learners on Apprenticeship programmes. 38 are continuing to progress. 1 learner has withdrawn (Level 5 leader in adult care) and 1 learner has paused (level 7 senior leader). We expect the number of learners to continue to rise as we complete the transfer of final learners into the new West Northants DAS account. We do not expect to be able to report on any completions until April 2022 at the earliest due to the expected completion dates for learners currently on Apprenticeship programmes.

LD6: During quarter 3 a total of 13,960 delegates provided an evaluation rating following attendance at a training session. Of these, 13,523 delegates rated that the learning intervention experienced was of direct value to their work with a score of 3 or above, resulting in a 96.9% outturn for the quarter.

Minerals and Waste Planning

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KPI ID	KPI	National or Local KPI	Reporting Frequency	KPI Target	2021/22 Performance Outturn				
					Q1	Q2	Q3	Q4	YTD
MWP1	% of County Matter planning decisions made within required timescales	Local	Quarterly	95%	100%	100%	100%		100%
MWP2	% of responses made in relation to Duty to Co-operate matters with other minerals and waste planning authorities within time period requested	Local	Quarterly	95%	100%	100%	100%		100%
MWP3	% of responses to planning archaeology consultations from the area planning offices of NNC/WNC within timescales	Local	Quarterly	95%	95.4%	91.8%	96.8%		95.7%

Supporting commentary:

MWP1: Two county matter planning decisions were made during quarter 3, one each during October and December. Both of these decisions were made within the required timescales.

MWP2: A total of two duty to co-operate responses were submitted during quarter 3, both of which were responded to within the time period requested. These matters both were completed in October 2021, with no activity during November and December 2021.

MWP3: A total of 218 responses to planning archaeology consultations were completed during quarter 3, with 211 of these completed within the required timescales, resulting in a 96.8% outturn.



Section 2: Services provided by WNC to NNC



Library Support Services

[Return to summary](#)

KPI ID	KPI	National or Local KPI	Reporting Frequency	KPI Target	2021/22 Performance Outturn				
					Q1	Q2	Q3	Q4	YTD
LIB01	Annual CIPFA return completed and submitted for North Northamptonshire Local Authority area within required timescale (31st July)	National	Annual (Q2)	Return submitted	N/A	Returned submitted	N/A	N/A	Returned submitted
LIB02	% of book stock deliveries completed against planned schedule	Local	Quarterly	95%	96.3%	96.8%	100%		97.9%
LIB03	Number of Northamptonshire BIPC interventions supported	Local	Annual (Q4)	170	0	108	31		139
LIB04	Number of new businesses started with support from the BICP Northamptonshire	Local	Annual (Q4)	25	12	7	5		24
LIB05	Number of sessions/activities/ workshops accessible in the North Northamptonshire area	Local	Annual (Q4)	60	0	56	19		75
LIB06	% of annual SLA Reviews completed for each Community Managed Library (within NNC area)	Local	Quarterly	100%	100%	100%	100%		100%

Supporting commentary

It should be noted that quarterly volumes for measures **LIB03**, **LIB04** and **LIB05** have been included but as these measures have an annual target the full outturn will not be compared to target until the end of quarter 4. However, performance outturn for LIB05 has already exceeded the target set for 2021/22 with one quarter of the financial year still to complete.

Report collated on behalf of North Northamptonshire Council and West Northamptonshire Council by the WNC Performance and Governance team.



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