



CABINET AGENDA

Wednesday, 20 January 2010

The Jeffery Room

6:00 pm

Members of the Cabinet:

Councillor: Brian Hoare (Leader of the Council)
Councillor: Paul Varnsvery (Deputy Leader)
Councillors: Sally Beardsworth, Richard Church,
Trini Crake, Brian Markham, David Perkins

Chief Executive David Kennedy

If you have any enquiries about this agenda please contact Jo Darby at
jdarby@northampton.gov.uk or 01604 837089

PORTFOLIOS OF CABINET MEMBERS

CABINET MEMBER	PORTFOLIO TITLE
Councillor B. Hoare	Leader Partnership and Improvement
Councillor P.D. Varnserry	Deputy Leader Community Engagement
Councillor S. Beardsworth	Housing
Councillor R. Church	Planning and Regeneration
Councillor T. Crake	Environment
Councillor B Markham	Performance and Support
Councillor D. Perkins	Finance

SPEAKING AT CABINET MEETINGS

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

Registration can be by:

Telephone: (01604) 837101, 837089, 837355, 837356
(Fax 01604 838729)

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

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

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

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

KEY DECISIONS

 denotes the issue is a 'Key' decision:

- Any decision in relation to the Executive function* which results in the Council incurring expenditure which is, or the making of saving which are significant having regard to the Council's budget for the service or function to which the decision relates. For these purpose the minimum financial threshold will be £50,000;
- Where decisions are not likely to involve significant expenditure or savings but nevertheless are likely to be significant in terms of their effects on communities in two or more wards or electoral divisions; and
- For the purpose of interpretation a decision, which is ancillary or incidental to a Key decision, which had been previously taken by or on behalf of the Council shall not of itself be further deemed to be significant for the purpose of the definition.


NORTHAMPTON BOROUGH COUNCIL

CABINET

Your attendance is requested at a meeting to be held at The Jeffery Room on Wednesday, 20 January 2010 at 6:00 pm.

D Kennedy
Chief Executive

AGENDA

1. APOLOGIES
2. MINUTES
3. DEPUTATIONS/PUBLIC ADDRESSES
4. DECLARATIONS OF INTEREST
5. ISSUES ARISING FROM OVERVIEW AND SCRUTINY COMMITTEES
6. WEST NORTHAMPTONSHIRE JOINT STRATEGIC PLANNING COMMITTEE - 20 OCTOBER 2009
Minutes (attached) to be noted.
7. LEGAL FRAMEWORK AGREEMENT: WEST NORTHAMPTONSHIRE JOINT STRATEGIC PLANNING COMMITTEE
Report of the Director of Planning and Regeneration
8. HOUSING TENANCY AGREEMENT
 Report of the Director of Housing Services
9. FLEXIBLE WARRANTING FOR HEALTH AND SAFETY ENFORCEMENT
Report of the Director of Environment and Culture
10. PERFORMANCE
 - (A) PERFORMANCE MONTHLY REPORT - NOVEMBER 2009
Report of the Assistant Chief Executive
 - (B) GENERAL FUND REVENUE BUDGET MONITORING 2009-10 PERIOD 8
Report of the Director of Finance and Support
 - (C) HOUSING REVENUE ACCOUNT 2008/09 MONITORING PERIOD 8
Report of the Director of Finance and Support

(D) CAPITAL PROGRAMME 2009-10 MONITORING PERIOD 8:
PROJECT APPRAISALS AND VARIATIONS

Report of the Director of Finance and Support

11. EXCLUSION OF PUBLIC AND PRESS

THE CHAIR TO MOVE:

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

Agenda Item 6

WEST NORTHAMPTONSHIRE JOINT STRATEGIC PLANNING COMMITTEE

Tuesday, 20 October 2009

PRESENT: Councillor Tony Woods (Chair); Councillor Chris Millar (Deputy Chair); Councillors Wendy Amos, Sandra Barnes, Richard Church, Stephen Clarke, Keith Davies, David Garlick, Andrew Grant (substitute), Joan Kirkbride (substitute), Ken Melling, Brian Markham and Mr David Dickinson.

1. APOLOGIES FOR ABSENCE

Apologies were received from Councillors Bass, Brown and De Savage.

The Chair welcomed Councillor David Garlick to his first meeting of the Joint Committee and also to Mr David Atkinson who had been recently appointed as Head of the JPU but had not yet taken up the post.

2. MINUTES OF THE MEETING HELD ON 4 AUGUST 2009

The minutes of the meeting of the Joint Committee held on 4 August 2009 were signed by the Chair.

3. DECLARATIONS OF INTEREST

- (1) Councillors Sandra Barnes, Richard Church, Chris Millar, Tony Woods and Mr David Dickinson declared personal interests as members of the WNDC Board.
- (2) Councillor Brian Markham declared a personal interest as the Chair of Northampton Borough Council's Planning Committee.
- (3) Councillor Wendy Amos declared a personal interest as member of WNDC's Daventry Planning Committee.
- (4) Councillor Steven Clarke declared a personal interest as a member of the East Midlands Regional Assembly.

4. MATTERS OF URGENCY

None.

5. REVIEW OF THE LOCAL DEVELOPMENT SCHEME

The Interim Head of the JPU submitted a report that set out an invitation from the Government Office for the East Midlands (GOEM) to review the Local Development Scheme in recognition of the complex infrastructure issues that needed to be better understood or resolved before pre-submission of a Joint Core Strategy took place. She elaborated upon the need to complete the evidence base, ongoing work to analyse the responses to the consultation on the Emergent Joint Core Strategy and potential risks in reworking the timetable for the production of the Joint Core Strategy. The Interim Head of the JPU also referred to the situation in respect of the Affordable Housing and Developer Contributions Development Plan Document.

The invitation from GOEM to revise the Local Development Scheme was welcomed although the inherent danger in leaving what would essentially be a policy vacuum was

noted. It was important for the Joint Core Strategy to be firmly evidence based and as far as was practicable that it was acceptable to the public. In answer to a question the Interim Head of the JPU commented that in respect of the Urban Capacity Study, the Strategic Housing Land Availability Study was almost complete and a study of employment land that might be used for housing purposes instead was also nearly complete. She also noted that in the meantime, before a Joint Core Strategy was approved, Councils could use national guidance, regional policy guidance and their own saved policies to consider any planning applications that were received. Engagement with Councillors would be timetabled as far in advance as was practicable.

Comment was made that in terms of public acceptance, the Joint Core Strategy needed to be clear that without the appropriate infrastructure being in place then housing development would not be acceptable. Paying for the appropriate infrastructure would be critical and enabling development as proposed in the EJCS would be required. It was questioned whether the proposed Community Infrastructure Levy would generate sufficient funding bearing in mind it was not intended to meet the full cost of any such infrastructure in any case.

The Chair noted that by publishing the Emergent Joint Core Strategy a number of problems with the Regional Spatial Strategy and the existing infrastructure deficit had been flushed out. He acknowledged that whilst there was a risk of speculative planning applications during this period there was also a risk of an incoming government, post the General Election, making sweeping changes at regional level which could also create a policy vacuum. There were issues around who would be paying for the infrastructure as it seemed unlikely that developers would be able to in full, even if they were willing to; that there was already a gap in funding, and the need for the infrastructure to be in place before development took place.

The Interim Head of the JPU reported that the support of other statutory agencies to work within agreed timescales was already being progressed. It was intended that a report to the Joint Committee would be made in December in respect of the Local Development Scheme and this would include the position of the key statutory agencies. Work with the WNDC was taking place in respect of funding mechanisms for the necessary infrastructure. Progress on all these matters would be reported through the Business Sub Group and a workshop that already been planned for November.

RESOLVED: (1) That the review of the Local Development Scheme be agreed in principle.

- (2) That discussions with the Government Office for the East Midlands include the separation of the Affordable Housing and Developer Contributions Development Plan Documents.
- (3) That the abandonment of the work on the Affordable Housing Supplementary Planning Document for legal reasons as detailed in the report be confirmed.
- (4) That a revised Local Development Scheme be brought to the Joint Committee in December once the critical paths for outstanding evidence and policy making have been mapped and a common understanding with key agencies on a way forward has been reached.

6. RESPONSE TO THE CONSULTATION ON THE PARTIAL REVIEW OF THE REGIONAL SPATIAL STRATEGY FOR THE EAST MIDLANDS

The Interim Head of the JPU submitted a report that set out a consultation of a partial review of the East Midlands Regional Plan. The partial review looked forward to 2031 and focused upon housing, transport and climate change. It was noted that partner authorities had individually made responses to the consultation and that a common thread was the need for evidence of infrastructure being put in place to support development. Housing growth must

be linked to funding streams and, so far, West Northamptonshire felt that it had been let down by the Regional Strategy where funding had been concentrated on the Nottingham, Leicester, Derby triangle. Just because West Northamptonshire was on the fringe of the East Midlands region was no reason for it not to be supported by regional investment. It was also important for the Regional Strategy to recognise that current housing targets would not be reached both currently and in the near future and that the RSS should be revised downwards to set more realistic targets.

It was also noted that while the transportation issues were now being recognised as being challenging there did not seem to be any sign, as yet, of any proposed solution coming forward.

Councillor Chris Millar commented that Daventry District Council had, in considering the West Northamptonshire options for future development, rejected Option 4 which was to focus growth more evenly across the area in a dispersed pattern of development.

RESOLVED: (1) That subject to the following amendments the response to the consultation on the partial review of the East Midlands Regional Plan be agreed:-

- To add to the response set out at paragraph 1.9 a new paragraph to read “Given the current economic climate and lack of infrastructure or realistic prospect of securing it, the WNJSPC concludes that the current annualised housing targets need to be revised downwards significantly. The Regional Assembly needs to ensure that there is a clear alignment of environmental capacity, infrastructure needs, economic growth and housing requirements at the regional level before requiring any spatial allocation at sub-regional level.”
- To add at the end of the response set out at paragraph 1.28 an additional sentence in the final paragraph to read “However, the WNJSPC considers that the proposed Option 4 is inappropriate in any circumstance in what is a largely rural area.”

(2) That the Interim Head of the JPU, in consultation with the Chair, be authorised to agree the final response to the consultation.

The meeting concluded at 19.34 hours.

Appendices

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NORTHAMPTON
BOROUGH COUNCIL

Item No.

7

CABINET REPORT

Report Title	West Northamptonshire Joint Planning Unit – Legal Agreement
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AGENDA STATUS: PUBLIC

Cabinet Meeting Date:	20 th January 2010
Key Decision:	No
Listed on Forward Plan:	Yes
Within Policy:	Yes
Policy Document:	Yes
Directorate:	Planning and Regeneration
Accountable Cabinet Member:	Councillor Richard Church
Ward(s)	N/A

1. Purpose

- 1.1 To approve a Legal Agreement (The “Agreement”) relating to the administration and functioning of the Joint Planning Unit (JPU), which will replace the previously agreed Memorandum of Intent (MOI) signed April 2009.

2. Recommendations

- 2.1 Approve and agree the “Agreement” relating to the administration and functioning of the JPU at Appendix 1, and authorise the Chief Executive to sign the Agreement on behalf of the Borough Council.

3. Issues and Choices

3.1 Report Background

- 3.1.1 The Partner Local Planning Authorities, namely Northampton Borough Council, Northamptonshire County Council, Daventry District Council and South Northamptonshire Council (PLPAs) are supporting the West Northamptonshire Joint Strategic Planning Committee (WNJSPC), principally through the resourcing of the JPU, featuring funding and employment of officers to progress the work programme set out in the Local Development Scheme (LDS).
- 3.1.2 The PLPAs, in the light of the functions conferred on it by Article 10 of the West Northamptonshire Joint Committee Order 2008, wish to authorise South Northamptonshire Council (SNC) to contract on behalf of the PLPAs for the provision of goods and services to and by the JPU.
- 3.1.3 The Agreement has incorporated the MOI and now includes a formal finance and procurement protocol, thus strengthening the governance of the work of the JPU.
- 3.1.4 The Borough Council will be the employing authority for the Head of the JPU and all directly appointed officers and the other PLPA's will indemnify NBC as set out at Paragraph 7.1 of the Agreement annexed in Appendix 1.

3.2 Issues

- 3.2.1 It is essential that the role of SNC and the Borough Council have the commitment of all the PLPAs to the resourcing and support of the JPU and that these arrangements are properly incorporated in a legal Agreement to ensure high standards of governance.

3.3 Choices (Options)

- 3.3.1 Cabinet should consider all reasonable options:
- 3.3.2 To not agree the Agreement or require further changes.
 - 3.3.2a This would leave the JPU with inadequate governance arrangements and risk the failure of the partnership and the reputation of the Borough Council.
 - 3.3.2b Our partner authorities have signed off the Agreement as presently set out, and all Monitoring and S. 151 Officers are satisfied with its structure and content. Requiring further changes at this time would introduce delay and risk our reputation with our partners.

3.3.3 To agree to the Agreement as recommended.

4. Implications (including financial implications)

4.1 Policy

4.1.1 This report has no direct policy implications, but failure to agree the Agreement would put at risk the work of the JPU in developing strategic planning policy on behalf of the PLPAs.

4.2 Resources and Risk

4.2.1 The budget contribution for 2009/2010 has been agreed by Cabinet, and subsequent budgets will be prepared by the Head of the JPU and agreed by the WNJSPC before being submitted to individual PLPAs to be agreed through their own budget setting process.

4.2.2 Risk associated with the work of the JPU are reviewed and reported regularly to the West Northamptonshire Joint Strategic Planning Committee (WNJSPC). An Agreement with an integral finance and procurement protocol minimises risks associated with poor procurement practice, budget monitoring and governance.

4.3 Legal

4.3.1 Any legal implications for each PLPA are set out in the Agreement. NBC's Borough Solicitor's division has been directly involved in the preparation of the Agreement and has provided for improved terms of indemnity from the other PLPAs to the Borough Council in respect of the Officers directly employed by the Borough Council for the purposes of the JPU (see Para. 7.1 of the Agreement) and risk advice has been given.

4.4 Equality

4.4.1 There are no equality and diversity implications arising from the "Agreement".

4.5 Consultees (Internal and External)

4.5.1 The PLPAs Monitoring Officers and S. 151 Officers have been involved in the preparation of the "Agreement" and each individual authority is being requested to approve the "Agreement". (Confirmation has been received that the other partners have approved the Agreement).

4.6 How the Proposals deliver Priority Outcomes

- 4.6.1 The Agreement provides more robust governance arrangements for the administration of the JPU in its critical role of developing strategic planning policy. It is also an excellent example of joint working and partnership.

4.7 Other Implications

- 4.7.1 None.

5. Background Papers

- 5.1 Memorandum of Intent – approved by Cabinet April 2009.

David K. Bailey
Director of Planning and Regeneration
Ext. 7287

- (1) DAVENTRY DISTRICT COUNCIL
- (2) NORTHAMPTON BOROUGH COUNCIL
- (3) NORTHAMPTONSHIRE COUNTY COUNCIL
- (4) SOUTH NORTHAMPTONSHIRE COUNCIL

AGREEMENT

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THIS AGREEMENT is made on the day of 2009

BETWEEN:

- (1) **DAVENTRY DISTRICT COUNCIL** of Council Offices Lodge Road, Daventry, Northamptonshire NN11 4FP (“DDC”)
- (2) **NORTHAMPTON BOROUGH COUNCIL** of The Guildhall, St Giles Square, Northampton, Northamptonshire NN1 1DE (“NBC”)
- (3) **NORTHAMPTONSHIRE COUNTY COUNCIL** of County Hall, Guildhall Road, Northampton, Northamptonshire NN1 1DN (“NCC”)
- (4) **SOUTH NORTHAMPTONSHIRE COUNCIL** of Springfields Towcester, Northamptonshire NN12 6AE (“SNC”)

Together in this Agreement called the “PLPAs”.

BACKGROUND:

- (A) DDC, NBC and SNC have endorsed the need for joint strategic planning in a joint Local Development Scheme approved in March 2007 under the Planning and Compulsory Purchase Act 2004 (“the 2004 Act”). This has been superseded by a successor Joint Local Development Scheme (the “Local Development Scheme”) in October 2008. In the Local Development Scheme, the PLPAs identified the preparation and adoption of joint Local Development Documents that will help to comprise part of the Local Development Framework under the 2004 Act.
- (B) It was agreed that executive decision-making during the formulation, submission and adoption of the identified joint Local Development Documents would be exercised by the PLPAs in a single coordinated manner proposed, via a West Northamptonshire Joint Strategic Planning Committee (“WNJSPC”).
- (C) It was agreed that the WNJSPC would also be responsible for the review of the identified joint Local Development Documents, and the formulation, submission, adoption and review of those similarly identified by all the PLPAs in any revised Local Development Scheme.
- (D) The WNJSPC was created by the West Northamptonshire Joint Committee Order (S.1. 2008/1572) made by the Secretary of State pursuant to section 29 of the 2004 Act on 11 June 2008 and which came into force on 25 July 2008.
- (E) NCC has committed to working with WNJSPC to produce the identified joint Local Development Documents and in the preparation of NCC’s county-wide Minerals and Waste Development Framework under the 2004 Act, NCC’s Transport Strategy

for Growth, and its Local Transport Plan under the Transport Act 2000. This commitment also encompasses NCC's work when advising the Regional Planning Body under Section 4(4) of the 2004 Act, and NCC's work in developing their key local infrastructure and service needs.

- (F) West Northamptonshire Development Corporation ("WNDC") is the local delivery vehicle and development control authority for parts of west Northamptonshire. A close relationship between the WNDC and the WNJSPC will be important to ensure an integrated approach to spatial planning and development control and delivery (development management), whilst maintaining clear divisions of responsibility on decision-making and accountability with regard to statutory planning matters.
- (G) The diagram in the first Schedule to this Agreement illustrates the relationship between the WNJSPC, PLPAs and WNDC.
- (H) The PLPAs have decided to support, principally through the resourcing of a Joint Planning Unit ("the JPU") featuring funding and employment of a Head of the JPU, the appointment and secondment of appropriately skilled and experienced staff necessary to progress the work programme in a professional manner and to timescale, with appropriate budget and other resources as necessary. The success of joint planning depends on such commitment.
- (I) The PLPAs wish to authorise the SNC in the light of the functions conferred on it by Article 10 of The West Northamptonshire Joint Committee Order 2008 to contract on behalf of all the PLPAs for the provision of supplies of goods and services to and by the JPU.
- (J) The PLPAs have agreed to enter into this Agreement for the purpose mentioned in Recital (I) above and also to set up a legal framework to cover the continuing arrangements for the administration and functioning of the JPU.

1. INTERPRETATION

1.1. In this Agreement the following words and expressions have the following meanings:

Beneficiary	Shall bear the meaning ascribed to it in clause 12.2
DDC	Daventry District Council of Council Offices, Lodge Road, Daventry, Northamptonshire NN11 4FP;
Executive	Shall bear the meaning ascribed to it by section 11 of the Local Government Act 2000

Freedom of Information Legislation	Shall bear the meaning ascribed to it in clause 12.13.4
Head of JPU	Shall bear the meaning ascribed to it in clause 7.1.
Indemnifier	Shall bear the meaning ascribed to it in clause 12.2
JPU	The Joint Planning Unit set up by the PPLAs pursuant to this Agreement.
Local Development Documents	The documents identified to be prepared and adopted by the PLPAs in the Local Development Scheme.
Local Development Framework	Shall bear the meaning ascribed to it in the 2004 Act.
Local Development Scheme	The Joint Local Development Scheme published by the PLPAs in October 2008.
NBC	Northampton Borough Council of The Guildhall, St Giles Square, Northampton, Northamptonshire NN1 1DE
NCC	Northamptonshire County Council of County Hall, Guildhall Road, Northampton, Northamptonshire NN1 1DN
Protocol	The Protocol set out in the Fifth Schedule.
SNC	South Northamptonshire Council of Springfield, Towcester, Northamptonshire NN12 6AE
WNDC	West Northamptonshire Development Corporation of PO Box 355 Franklin's Gardens, Northampton, Northamptonshire NN5 5WU
WNJSPC	The joint committee created by The West Northamptonshire Joint Committee Order

	2008
WNPB	The West Northamptonshire Programme Board whose terms of reference appear in the Third Schedule
Working Day	Shall bear the meaning ascribed to it in section 10 (6) of the Freedom of Information Act 2000.

- 1.2. The Schedules annexed hereto form part of this Agreement.
- 1.3. Words importing the singular shall include the plural and vice versa. Words importing any gender shall include both genders and words importing persons shall include corporate bodies, unincorporated associations and partnerships.
- 1.4. The clause and paragraph headings are inserted for reference only and shall not effect the interpretation or construction of this Agreement.

2. CONSIDERATION

- 2.1. In consideration of the mutual agreements and undertakings set out herein the PLPAs have granted the rights and accepted the obligations set out herein.

3. ENABLING POWERS

- 3.1. This Agreement is made pursuant to Sections 101 (1) (b), 111 and 113(1) of the Local Government Act 1972, Section 1(1)(b) of the Local Authorities (Goods and Services) Act 1970 and Sections 2 and 19 of the Local Government Act 2000 and Regulation 7 of the Local Authorities (Arrangements for Discharge of Functions) (England) Regulations 2000 (and all other enabling powers).

4. COMMENCEMENT AND DURATION

- 4.1. This Agreement shall commence on the date of execution of this Agreement.
- 4.2. This Agreement shall continue in force unless and until after the Secretary of State has revoked the West Northamptonshire Joint Committee Order 2008 pursuant to Section 31 of the 2004 Act, the PLPAs terminate this Agreement pursuant to clauses 10.1 and 10.2 or this Agreement is terminated pursuant to clauses 10.3 and 10.4.

5. VENUE AND ADMINISTRATION OF MEETINGS OF THE JOINT COMMITTEE

- 5.1. Meetings will take place at the offices of each of DDC, NBC and SNC on a rotating basis. The cost of accommodating the meetings will be borne by the PLPA, which hosts that meeting.
- 5.2. Subject to clause 5.3, a senior committee administrator(s) will be provided by SNC to support all meetings of the WNJSPC by dealing with procedural matters associated with the arranging, calling and running of meetings, including taking and producing minutes, and by providing advice on points of procedure and the responsibilities of the WNJSPC as necessary.
- 5.3. Should the PLPAs agree that the PLPA hosting a meeting of the WNJSPC will provide the services of a senior committee administrator, where this is on a rotating basis, the cost of these services in respect of a meeting will be borne by the respective PLPA, which hosts that meeting.

6. OVERVIEW AND SCRUTINY OF THE JOINT COMMITTEE

- 6.1. Formal overview and scrutiny of the WNJSPC's deliberations shall be exercised through the PLPA's existing arrangements as they see fit.
- 6.2. In April each year, the JPU shall submit an annual report to each PLPA reporting on progress of the WNJSPC over the preceding year and progress anticipated in the coming year.

7. JOINT PLANNING UNIT

- 7.1. Each PLPA agrees to the continuing servicing and support of the WNJSPC by a professional and technical JPU accommodated at offices of NBC, comprising a Head of the JPU (appointed by officers of each of the PLPA's and the Chair of the WNJSPC, or appointed substitute) seconded officers and directly appointed officers. NBC will be the employing authority for the Head of the JPU and directly appointed officers and the other PLPA's will indemnify NBC against all liabilities, costs, claims, damages, demands and proceedings arising directly or indirectly out of, or in connection with the appointment and employment of these officers, in accordance with the proportions set out in clause 7.3 save to the extent that such liabilities, claims, damages, demands or proceedings are determined by a tribunal or other national court to have arisen out of the negligence of NBC as employer.
- 7.2. Each PLPA agrees to formally identifying budgets or resources, to enable the JPU to function effectively and deliver according to adopted timeframes and milestones in the approved Local Development Scheme as may be amended from time to time by the WNJSPC.

- 7.3. Each PLPA's resource contribution towards the Joint Planning Unity shall be in direct proportion to their quota of Members on the WNJSPC (i.e. DDC 3/12ths, NBC 4/12ths, NCC 2/12ths and SNC 3/12ths), provided however that individual PLPA's shall not be obliged to exceed the budget commitments able to be made by them (via their regular service and financial planning processes), though individual PLPAs may choose to increase their proportional contribution as a result without rebate.
- 7.4. Resource requirements for the JPU shall be identified by the Head of the JPU and presented to the WNJSPC for endorsement and for onward submission to PLPAs for their address.
- 7.5. The JPU will be accountable to the WNJSPC and will ensure that advice given to WNJSPC is competent and compliant with current law and good practice.
- 7.6. The JPU will be directed and advised by the WNPB in accordance with their agreed Terms of Reference and Membership (set out in the Third Schedule). Furthermore, the PLPA's agree to establish of a West Northamptonshire Business Sub Group to monitor progress of the Local Development Scheme, its resourcing, both financial and staffing, and to provide strategic guidance to the WNPB in accordance with their agreed Terms of Reference and Membership (set out in the Fourth Schedule)
- 7.7. The typical range of work of the JPU is set out in the Second Schedule.
- 7.8. The terms of the Protocol set out in the Fifth Schedule shall at all times during the duration of this Agreement have effect.

8. AUTHORISATION OF SNC

- 8.1. Each of NBC and NCC hereby declare that its Executive has delegated to the Executive of SNC pursuant to Regulation 7 of the Local Authorities (Arrangements for the Discharge of Functions) (England) Regulations 2000 the discharge of the function of negotiating and executing contracts for the provision of work, services and goods to or by the JPU for the purpose of delivering the service plan for the JPU within the budget approved by all the PLPAs for the JPU.
- 8.2. SNC hereby declares that its Executive has accepted the delegations referred to in clause 8.1.
- 8.3. DDC hereby declares that it has delegated to SNC under section 101 (1) (b) of the Local Government Act 1972 the discharge of the function of negotiating and executing contracts for the provision of work, services and goods to or by the JPU for the purpose of delivering the service plan for the JPU within the budget approved by all the PLPAs for the JPU.
- 8.4. SNC hereby declares that it has arranged for the function mentioned in clause 8.3 to be discharged by its Executive.

- 8.5. Each of DDC, NBC and NCC shall indemnify and keep indemnified SNC in the proportions set out in clause 7.3 against any claim arising directly or indirectly out of the discharge of the functions mentioned in clauses 8.1 and 8.3 save to the extent that such claim arises out of the negligence of SNC in the discharge of those functions.
- 8.6. The provisions of clause 12.2 shall apply to any claim mentioned in clause 8.5 as though it was a claim mentioned in clause 12.1, save that clauses 12.2.3 and 12.2.4 shall not apply and the Indemnifier shall be each of DDC, NBC and NCC.

9. MODIFICATIONS OF AGREEMENT

- 9.1. Amendments or modifications to this Agreement will require the consent of all the PLPAs in writing.

10. TERMINATION AND THE CONSEQUENCES OF TERMINATION

- 10.1. If the Secretary of State revokes the West Northamptonshire Joint Committee Order 2008, the PLPAs shall meet as soon as is reasonably practicable after such revocation to consider whether the JPU should continue notwithstanding such revocation and in that event what the workload of the JPU shall be and what modifications (if any) shall be made to this Agreement. If any of the PLPAs wishes following such meeting no longer to service and support the JPU, then that PLPA shall serve three months written notice to that effect on each of the other PLPAs and upon expiry of such written notice that PLPA will cease to have any future obligations or rights under this Agreement but without prejudice to any obligations or rights of that PLPA, which have accrued prior to the expiry of such written notice or which are expressly or by implication provided in this Agreement to come into effect or to continue after the withdrawal of that PLPA from this Agreement.
- 10.2. In the event of a PLPA or PLPAs serving notice under clause 10.1, this Agreement shall continue in full force and effect in relation to the other PLPAs with such modifications as are necessary as a result of the withdrawal of the withdrawing PLPA or PLPAS or agreed between the non-withdrawing PLPAs unless there is less than two PLPAs, which have not served notice under clause 10.1, in which case this Agreement shall terminate on the expiry of the last notice served under clause 10.1.
- 10.3. Where by reason of any change in law or other reason beyond the reasonable control of the PLPAs (whether before or after the revocation by the Secretary of State mentioned in clause 10.1) one or more of the PLPAs shall be prohibited or prevented from giving effect to their obligations under this Agreement, any PLPA may withdraw from this Agreement following consultation with the WNJSPC, the West Northamptonshire Business Sub-Group and the other PLPAs by three months written notice to the other PLPAS.

- 10.4. In the event of a PLPA or PLPAS serving notice under clause 10.3, the provisions of clause 10.2 shall apply as though such notice or notices under clause 10.3 was a notice or notices served under clause 10.1.
- 10.5. The termination of this Agreement however caused shall be without prejudice to any obligations or rights of any of the PLPAs which have accrued prior to such termination and shall not affect any provision of this Agreement which is expressly or by implication provided to come into effect on or to continue in effect after such termination.
- 10.6. For the avoidance of doubt each of the PLPAs shall be entitled to full access to all documents, information and data held by the JPU at the date of the withdrawal by the PLPA or termination of this Agreement as the case may be, to assist it in the future discharge of its statutory functions.

11. DISPUTE RESOLUTION

- 11.1. Any dispute arising out of or connected with this Agreement which has not been resolved pursuant to paragraphs 36 to 39 (inclusive) or paragraphs 44 and 45 of the Fifth Schedule shall be identified by written notice from one PLPA to the other PLPA or PLPAs in dispute who shall within seven (7) Working Days of the notice or such longer period not exceeding twenty eight (28) Working Days as the PLPAs in dispute shall agree in writing meet at authorised Member and/or Chief/Principal Officer level to attempt in good faith to resolve the dispute on an amicable, full and final basis.
- 11.2. If the PLPAs in dispute are not able to hold such meeting within the seven (7) Working Day period or longer period mentioned in clause 11.1 or such meeting has taken place but the dispute remains unresolved then the dispute shall be referred to an arbitrator to be appointed by the President for the time being of the Royal Institute of Arbitrators. Any such reference shall be deemed to be a reference to arbitration within the provisions of the Arbitration Act 1995 or any statutory modification or re-enactment thereof for the time being in force and the allocation of the costs of any arbitration shall be borne by the PLPAs in dispute as determined by the arbitrator.

12. GENERAL

12.1. Indemnities

Each PLPA shall be liable for and shall indemnify and keep indemnified all the other PLPAs against any claim arising directly or indirectly out of injury to or death of any of its employees who are members of JPU and which arises from an event which occurs whilst the employee in question is acting as a member of JPU save to the extent that any personal injury or death is caused or contributed to by any act, omission or negligence of any of the other PLPAs to this Agreement or any employee, officer or agent of any of the other PLPAs to this Agreement.

12.2. Conduct of Claims

- 12.2.1. This clause 12.2 shall apply to the conduct by a PLPA from whom an indemnity is sought under this Agreement (“the Indemnifier”) in respect of claims made by a third person against a PLPA having or claiming to have the benefit of the indemnity (“the Beneficiary”) and conduct by the Beneficiary in respect of such claims, but shall apply only to the extent compatible with the requirements of any relevant insurer.
- 12.2.2. If the Beneficiary receives any notice, demand, letter or other document concerning any claim for which it appears that the Beneficiary is or may become entitled to indemnification under this Agreement the Beneficiary shall give notice in writing to the Indemnifier as soon as reasonably practicable and in any event within five (5) Working Days of the receipt by the Beneficiary of such notice, demand, letter or other document.
- 12.2.3. Subject to clauses 12.2.4, 12.2.5, 12.2.7 and 12.2.8 and the giving of notice by the Beneficiary, the Indemnifier shall be entitled (subject to providing the Beneficiary with an indemnity against all costs and expenses that the Beneficiary may incur by reason of such action within ten (10) Working Days of the receipt of such notice from the Beneficiary by the Indemnifier) to dispute the claim in the name of the Beneficiary and take conduct of any defence, dispute, compromise or appeal of the claim and of any incidental negotiations. If the Indemnifier so elects to take conduct of the claim, the Beneficiary shall give the Indemnifier all reasonable co-operation, access and assistance for the purposes of considering and resisting the claim.
- 12.2.4. With respect to any claim conducted by the Indemnifier, the Indemnifier shall keep the Beneficiary fully informed and consult with it about all material elements of the conduct of the claim and shall not bring the name of the Beneficiary into disrepute.
- 12.2.5. If the Indemnifier does not elect under clause 12.2.3 to take conduct of a claim or if the Indemnifier and the Beneficiary at any time agree that the Beneficiary should henceforth have conduct of the claim, then the Beneficiary shall be entitled to conduct the claim and to resist, appeal, compromise or settle the claim. With respect to any claim conducted by the Beneficiary, the Beneficiary shall keep the Indemnifier fully informed and consult with it about all material elements of the claim.
- 12.2.6. Any PLPA who is under an obligation to consult with another PLPA under clause 12.2.4 or clause 12.2.5 shall have regard in good faith to any views expressed by the other PLPA.

12.2.7. If the Indemnifier pays to the Beneficiary an amount in respect of an indemnity and the Beneficiary subsequently recovers a sum which is directly referable to the fact, event, matter or circumstances giving rise to the claim under the indemnity, then the Beneficiary shall pay to the Indemnifier whichever is the lesser of the amount paid by the Indemnifier or the sum recovered by the Beneficiary.

12.2.8. Any Party taking any of the steps mentioned in clauses 12.2.1 to 12.2.7 shall comply with the requirements of any insurer, who may have an obligation to provide an indemnity in respect of any liability of the Indemnifier.

12.3. **Notices**

All notices which are required to be given under this Agreement shall be in writing and shall be sent to the address of the recipient set out in this Agreement or such other address as the recipient may designate by notice given in accordance with the provisions of this clause. Any such notice shall be deemed to have been served as follows:

12.3.1. if delivered personally at the time of delivery; or

12.3.2. if sent by first class prepaid post at the expiration of forty eight (48) hours after posting.

12.4. **Successors Bound**

This Agreement shall be binding on and shall ensure for the benefit of the successors and assigns (as the case may be) of each of the PLPAs.

12.5. **Assignment**

None of the PLPAs may assign its rights and obligations in whole or in part hereunder without the prior written consent of the other PLPAs.

12.6. **Continuing Agreement**

All provisions of this Agreement shall so far as they are capable of being performed and observed continue in full force and effect notwithstanding termination except in respect of those matters then already performed.

12.7. **Good Faith**

Each of the PLPAs undertakes with each of the others to do all things reasonably within its power, which are necessary or desirable to give effect to the spirit and intent of this Agreement.

12.8. **Entire Agreement**

This Agreement constitutes the entire agreement between the PLPAs with respect of the matters dealt with therein and supersedes any previous agreement between the PLPAs in relation to such matters.

12.9. No Partnership

Nothing in this Agreement shall constitute or be deemed to constitute a partnership pursuant to the Partnership Act 1890 or the Limited Partnerships Act 1907 between any of the PLPAs.

12.10. Waiver

No failure to exercise and no delay in exercising on the part of any of the PLPAs any right power or privilege hereunder shall operate as a waiver thereof nor shall any single or partial exercise of any right of power or privilege preclude any other or further exercise thereof or the exercise of any other right power or privilege. The rights and remedies provided in this Agreement are cumulative and not exclusive of any rights or remedies otherwise provided by law.

12.11. Severability

Notwithstanding that any provision of this Agreement may prove to be illegal or unenforceable the other provisions of this Agreement shall continue and remain in full force and effect.

12.12. Contracts (Rights Of Third Parties) Act 1999

Nothing contained in this Agreement confers or purports to confer any rights to enforce any of its terms pursuant to the Contracts (Rights of Third Parties) Act 1999 on any person who is not a party hereto.

12.13 Data Protection and Access to Information

12.13.1 The PLPAs shall ensure full compliance with the Data Protection Act 1998 and all other legislation relating to the collection or use of information as applies from time to time in respect of the control and processing of any information required under this Agreement. All Parties shall ensure their respective notifications under Sections 18 and 19 of the Data Protection Act 1998 are up to date and where necessary include the activities to be undertaken under this Agreement where the PLPA acts as a data controller for the purposes of the information.

12.13.2 Any information provided by a PLPA who is a data controller of that information to another PLPA shall be provided to that PLPA as a data processor (as defined in the Data Protection Act 1998) only and nothing in this Agreement shall allow the receiving PLPA to treat the information as though it was the data controller. All processing by the PLPAs of any information shall be carried out in accordance with the data protection principles defined by the Data Protection Act 1998 and associated codes of practice, framework documents and good

practice/technical guidance notes issued by the Information Commissioner.

12.13.3 Where any PLPA receives a subject access request for information held as a result of the activities carried out in accordance with this Agreement the PLPAs shall fully co-operate in complying with the obligations under the Data Protection Act 1998 in relation to that data.

12.13.4 The PLPAs recognise that they are subject to legal duties, which may require the disclosure of information under the Freedom of Information Act 2000 or the Environmental Information Regulations 2004 or any other applicable legislation or codes governing access to information (“the Access to Information Legislation”) and that the PLPAs may be under an obligation to provide information on request. Such information may include matters relating to, arising out of or under this Agreement in any way.

12.13.5 The PLPAs recognise that in order to facilitate openness and accountability the general view is that all relevant information concerning their arrangements should be subject to disclosure unless the information is exempt in accordance with the provisions of the Access to Information Legislation and where applicable the public interest in withholding the information outweighs the public interest in disclosing it.

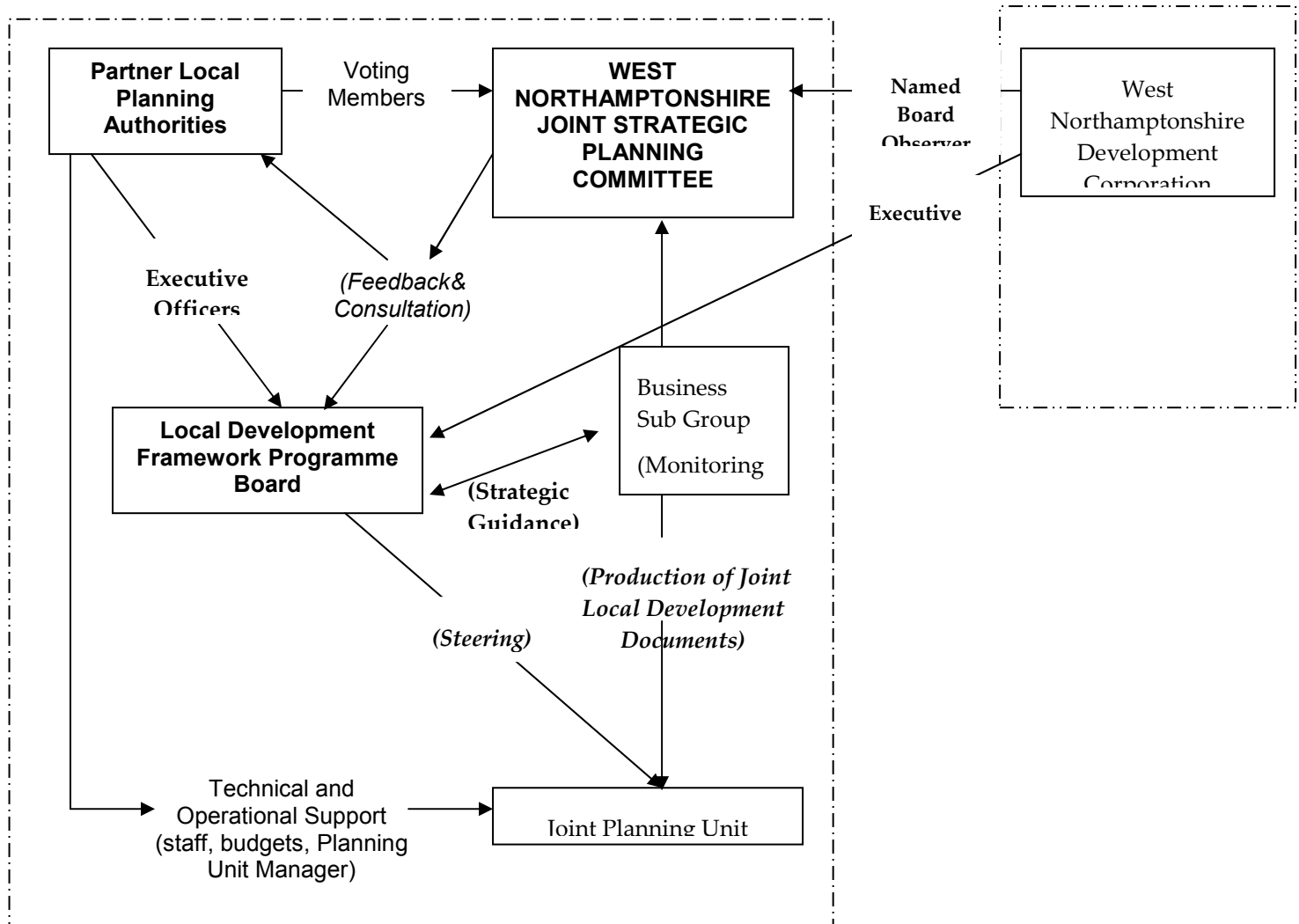
12.13.6 Where any PLPA receives a request for information held the PLPAs shall fully co-operate in complying with the obligations under the Access to Information Legislation in relation to that information.

FIRST SCHEDULE

RELATIONSHIP BETWEEN THE STATUTORY JOINT PLAN MAKING STRUCTURE FOR THE AREA AND WEST NORTHAMPTONSHIRE DEVELOPMENT CORPORATION

Statutory Planning Policy Function

Delivery Agency



SECOND SCHEDULE

JOINT PLANNING UNIT RANGE OF WORK

(IN SUPPORT OF THE WNJSPC)

Principal duties

1. Production and Submission of a joint Local Development Scheme and Statement(s) of Community Involvement.
2. Production and Submission of identified joint Local Development Documents helping to form part of the Local Development Framework.
3. Community engagement as per the Statement(s) of Community Involvement.

Other Duties

1. Advice and participation in the development of the county-wide Minerals and Waste Development Framework, the Transport Strategy for Growth and the Local Transport Plan, co-ordination of sub-regional planning and infrastructure proposals and cross-boundary strategic planning on infrastructure issues, including transport infrastructure.
2. Co-ordination and assimilation of the information and evidence base to inform county and district/borough Local Development Frameworks.
3. Production or contribution to the joint Annual Monitoring Report related to the Local Development Frameworks for West Northamptonshire.
4. Appearance as expert witness at Examinations into the identified joint Local Development Documents, and at other formal Examinations or Inquiries as required.
5. Representation of the interests of the Joint Strategic Planning Committee with the media and with other external organisations.
6. Development and maintenance of a clear and comprehensive website.

THIRD SCHEDULE

West Northamptonshire Programme Board Terms of Reference

Membership:

Director of Planning and Regeneration (Chair)	Northampton Borough Council
Head of Planning	Northampton Borough Council
Head of the JPU	West Northants Joint Planning Unit
Planning Policy and Conservation Manager	Northampton Borough Council
Executive Director	Daventry District Council
Chief Planning Officer	Northamptonshire County Council
Director of Policy	South Northants Council
Policy Manager	South Northants Council
GOEM	Government Office for East Midlands
WNDC (x2)	West Northamptonshire Development Corporation
Planning Policy & Housing Strategy Manager	Daventry District council
Principal Planner	West Northants Joint Planning Unit

Purpose

1. To jointly direct the work in developing the preparation and agreement of Local Development Documents as set out in the West Northamptonshire Local Development Scheme.
2. To ensure general conformity with the Regional Spatial Strategy for the East Midlands, compliance with legislation requirements and balancing the need to enable timely implementation of regeneration and infrastructure led growth across the affected area.
3. To advice on the development of the county-wide Minerals and Waste Development Framework, the Transport Strategy for Growth and the Local Transport Plan, co-ordination of sub-regional planning and infrastructure proposals and on cross boundary strategic planning and infrastructure issues.

Role

1. To provide co-ordinated and balanced advice to the Joint Planning Committee and the Business Support Group.
2. To engage key stakeholders in the process and elicit constructive challenge on an ongoing basis.
3. To resolve wherever possible conflict between the respective Councils and where not possible, provide balanced advice and options.

4. To ensure the dimensions of time, cost, quality and risk are properly managed with constructive, timely action initiated to correct divergence.
5. To assist the Head of the Joint Planning Unit in resolving escalated risks and issues.
6. To act wherever possible as a single voice to other agencies on key issues.

Scope

1. To deliver agreed joint local planning documents across the respective Councils.
2. To agree a common strategy, approach and resource plan.
3. To agree any variations to programme and resources.

FOURTH SCHEDULE

WEST NORTHAMPTONSHIRE BUSINESS SUB GROUP

TERMS OF REFERENCE

Membership:

Northampton Borough Council	Councillors (x 2)
Daventry District Council	Councillors (x2)
South Northants Council	Councillors (x2)
Northamptonshire County Council	Councillors (x2)
Chief Executive	South Northants Council
Executive Director	Daventry District Council
Corporate Director for Environment, Growth and Commissioning	Northamptonshire County Council
Chief Planning Officer	Northamptonshire County Council
Director of Planning and Regeneration	Northampton Borough Council
Head of Planning	Northampton Borough Council
Head of JPU	West Northants Joint Planning Unit
Principal Planner – JPU	West Northants Joint Planning Unit

PURPOSE

1. To monitor the progress of the West Northamptonshire Local Development Scheme work programme and its resourcing, both financial and staffing.
2. To provide strategic direction and guidance to the West Northamptonshire Programme Board and feedback issues requiring further consideration or clarification.

ROLE

1. To receive the Minutes and Progress Reports of the West Northamptonshire Programme Board and to provide co-ordinated and balanced advice to the Joint Strategic Planning Committee.
2. To resolve, wherever possible, conflict between the respective Councils and, where not possible, provide balanced advice and options.
3. On advice from the Programme Board, to review agenda and report content to be submitted to the Joint Strategic Planning Committee.
4. To consider any variations to programme and resources recommended by the Programme Board and advise the Joint Strategic Planning Committee accordingly.

FIFTH SCHEDULE

West Northamptonshire Joint Planning Unit – Finance and Procurement Protocol

1. This protocol sets out the approach agreed between the constituent local authority partners of the West Northamptonshire Joint Planning Unit (JPU), namely:
 - Daventry District Council (DDC)
 - Northampton Borough Council (NBC),
 - Northamptonshire County Council (NCC); and
 - South Northamptonshire Council (SNC),

in relation to the financial and procurement arrangements that will apply.

Accountable Body

2. SNC is the designated accountable body for the JPU. Accordingly it will be the budget holder for the JPU and its Section 151 officer (Head of Finance) and monitoring officer (Head of Corporate Services) will take the lead for these respective roles in so far as they are relevant to the JPU.
3. This is however not to the exclusion of the equivalent officers in the other authorities, nor does it mean that the whole financial, legal and procedural burden of the JPU should be borne by officers of SNC. The section 151 officers (Section 151 officer) and monitoring officers of the partner authorities agree to respond in a timely fashion to requests for comment and assistance from SNC's officers and vice versa so that a truly partnership approach is taken and burdens arising for the JPU can be equitably shared.
4. Given its accountable body status it is accepted that SNC's financial, procurement and constitutional procedures should apply where they are relevant to the business of the JPU and/or the WNJSPC.

Budget Setting

5. For each financial year from 2010/11 onwards the provisional budget of the JPU will be prepared by the Head of the JPU (supported as required by the Head of Finance at SNC) and agreed by the WNJSPC by no later than 31 October in the preceding financial year.

6. Each PLPA will then take the details of its pro rata contribution (as determined under clause 7.3) into its provisional budget through its own budget setting processes with a view to agreeing its contribution provisionally by no later than 31 December in the preceding financial year.
7. The Section 151 officer of each PLPA will confirm the provisional position with the Head of Finance of SNC by this date in order for the Head of Finance at SNC to reflect the provisionally agreed income contributions in the draft budget proposals for SNC.
8. Once budgets for the forthcoming year have been formally set by individual PLPAs the Section 151 officer of each PLPA other than SNC will inform the Head of Finance at SNC. Ordinarily this will be by the end of the first week in March of the preceding financial year.
9. If a PLPA cannot agree the provisional budget and contribution or it emerges that a PLPA is likely to reduce the provisional contribution confirmed at the end of December then it must inform the Head of Finance at SNC immediately in order for him or her to reflect these changes in the income budgets for the JPU unless and until another PLPA decides that it will increase its contribution pursuant to clause 7.3.
10. Such changes will be reported to the next meeting of the WNJSPC if the Head of Finance at SNC in consultation with the head of the JPU deems this to be an appropriate action.
11. The table below details the estimated budget requirement for the JPU for the current year (2009-10) and the following two years.

Table 1 – Indicative three year budget requirement

	%	
JPC	Share	
Voting of		
Rights budget	2009-10	2010-11 2011-12

Indicative budget (JPC report 16 December 2008) 1,149,700 1,229,000 1,229,300

Individual funding requirements

Daventry District Council	3	25%	287,425	307,250	307,325
Northampton Borough Council	4	33%	383,233	409,667	409,767
Northamptonshire County Council	2	17%	191,617	204,833	204,883
South Northamptonshire Council	3	25%	287,425	307,250	307,325
Total JPU Budget	12	100%	1,149,700	1,229,000	1,229,300

Payment of Contributions

12. The Head of Finance of SNC will ensure that all budgets relating to the JPU are input into the SNC's general ledger accounting system alongside all other service budgets.
13. Expenditure budgets will be set up as in line with the budget formulation report or on the advice of the JPU manager.
14. Income budgets will reflect the contribution required from the PLPAs other than SNC with the net budget reflecting the contribution from SNC.
15. All JPU budgets will be ring fenced for the use of the JPU only.
16. SNC will invoice each of the other PLPAs for its annual contribution by 30 September in the relevant financial year and payment will be made by each of the PLPAs other than SNC to SNC by 31 October in that year.
17. All contributions will be held in the same ring fenced budget at SNC. No interest on the balance held will accrue to the benefit of the JPU budget.

18. No virements out of the budget will be permitted for expenditure not related to the JPU.

Procurement

19. All works, goods and services for the JPU will be procured in accordance and compliance with SNC's Financial Procedure Rules (for contracts up to £50,000 in value) and Land and Contracts Procedure Rules (for contracts over £50,000 in value). The procuring officer will be the Head of the JPU (to include, if applicable, an employed interim Head of the JPU) when in post and, when that post is vacant, the Director of Planning and Regeneration at NBC. References in the Rules to Cabinet or Council will be deemed to refer to the WNJSPC.

20. All purchase orders for JPU related expenditure will be raised by SNC on its Agresso system.

Contracts

21. All formal contracts relating to works, good and services provided to the JPU will be executed into by SNC on behalf of all of the PLPAs provided that they are required to deliver the service plan and can be funded from the budget approved by all the PLPAs for the JPU.

Expenditure

22. All JPU related expenditure will be invoiced to SNC and defrayed from the JPU budget by SNC. This should include for example:
- The cost of staff employed by partner authorities but chargeable to the unit
 - The cost of seconded staff
 - Premises costs
 - Transport costs
 - Supplies and services cost etc.
23. Any expenditure incurred by any of the PLPAs in a month should be recharged to SNC within ten working days of the beginning of the following month so that the accounting systems reflect as accurate a position as possible at any given time.

24. All expenditure should be sent, in the first instance, to the Head of the JPU for authorisation.
25. The Head of the JPU will make accountancy staff at SNC aware of any commitments on an ongoing basis so that these can be accounted for in any reports that are produced.
26. The onus is on each of the PLPAs for recharging costs to the JPU for costs, which it has incurred in relation to the JPU. Specifically, this responsibility should be that of the Section 151 officer at each PLPA.
27. Any expenditure not recharged to SNC within three months of incurring the expenditure will not be paid in the absence of special circumstances applying to the reasonable satisfaction of the Section 151 officer at SNC. This should encourage timely recharging of costs and enable more accurate monitoring of the budget.
28. This approach will ensure that all costs relating to the unit are collected on the general ledger of the accountable body and not in several different systems.
29. All expenditure should be authorised by the Head of the JPU or other officers nominated by that person.
30. In exceptional circumstances the Chief Executive and Head of Finance of SNC can authorise expenditure on behalf of the JPU, provided that it is necessary and in accordance with the approved service plan and budget.
31. The intention of paragraphs 22 to 30 (inclusive) above is to ensure that the JPU budget held by SNC is wholly reflective of the costs of the JPU and facilitates accurate and meaningful budget monitoring by the JPU and the PLPAs.

Budget Monitoring

32. A budget monitoring report showing profiled and actual expenditure at sub code level will be taken to the West Northamptonshire Business Sub Group and the WNJSPC by the Head of the JPU at the first convenient meetings following the end of each quarter starting with the quarter ending June 2009.

33. The Head of the JPU will liaise with the Head of Finance at SNC and his staff with regard to this, including supplying written notes to explain any significant variances.
34. A budget monitoring report showing profiled and actual expenditure at cost centre level will be taken by SNC's Head of Finance to the appropriate SNC member meetings as part of SNC's normal budget monitoring process. The Head of the JPU will assist SNC's Head of Finance as necessary with regard to this process.
35. This approach will ensure that the financial monitoring arrangements for the JPU are consistent with the arrangements for all other areas of spend at SNC and therefore the governance arrangements are strengthened.

Underspend at Outturn

36. In the event that the JPU budget shows an underspend at the end of any financial year, and assuming that all contributions by the PLPAs have been received, the underspend will be rolled forward into the following financial year to the extent necessary to defray committed expenditure from the financial year concerned. In the event that no such committed expenditure exists, or the underspend exceeds the committed expenditure, the underspend (or uncommitted balance of the underspend if applicable) shall be returned by SNC to the PLPAs in proportion to their contributions for the year in question. A PLPA can opt, on written notice to the Section 151 officer of SNC, to use its proportion of any underspend to defray in part its contribution for the following financial year.
37. The Head of the JPU is responsible for ensuring a request is made to the Head of Finance at SNC for underspent budgets to be carried forward. The Head of Finance at SNC will then make appropriate arrangements to ensure this happens where it relates to the defraying of committed expenditure.
38. If any of the PLPAs feels that the amounts being carried forward are too great or do not relate to committed expenditure and should be refunded then this should be raised, by the appropriate Section 151 officer, as an issue with the Head of Finance at SNC who will seek the views of all Section 151 officers who will consult with relevant service managers and responsible budget holders at their respective PLPAs with a view to reaching agreement on the issue.

39. If agreement cannot be reached PLPAs will be given the option of a refund of its proportionate contribution of the disputed (i.e. excessive or unnecessary) element of the budget and the matter will be referred to the WNJPC for consideration.

Budget Management

40. The Head of the JPU will be responsible for day to day management of the JPU's budget under the supervision of the Director of Planning and Regeneration at NBC and in liaison with the Head of Finance at SNC and his staff.

Closure of Accounts

41. The Head of the JPU will liaise with and co-operate fully with the SNC Head of Finance and his staff with regard to the closure of accounts at the end of each financial year. This will include the identification of any creditor accruals, debtor accruals and income deferrals that apply in the relevant financial year as well as any particular arrangements in relation to the closing down and reporting of pooled budgets and any declarations or disclosures that may have to be made as a result of pooling arrangements.
42. As detailed above this will also include the need to request the carry forward of any under spent budgets together with a comprehensive analysis and explanation of any year-end work programme and financial variations, as compared to the approved annual service plan and budgets, to be provided to the PLPAs.
43. Failure to adhere to the timetable and directions given by the Head of Finance and his staff could result in appropriate funds not being carried forward into the new financial year.

Dispute Resolution

44. Save for the process on budget under spend covered by paragraphs 36-39 above, if there is a dispute between any of the PLPAs on any financial or governance related matter that cannot be resolved by the relevant officers of the PLPAs in dispute then the Head of Finance (for financial matters) or the Head of Corporate Services (for governance issues) at SNC will raise the matter in dispute with their equivalents at all PLPAs.

45. Every practical attempt will be made to settle the dispute without the need for further escalation but if agreement cannot be reached then the issue will be referred to the Chief Executives (or equivalent) of the PLPAs for resolution.

Statutory returns and statutory and other requirements

46. Upon request and as required the Head of the JPU and his or her staff will provide any information requested by SNC's Head of Finance or Head of Corporate Services required in order to:

- fulfil his or her statutory duties
- Complete statutory returns
- Complete committee reports to be considered either by SNC committees (scrutiny, audit committee, cabinet etc.) or the WNJSPC
- Complete other returns
- Respond to consultation
- Address inspection or assessment issues (for example 'Use of Resources' requirements)
- Respond to Freedom of Information requests

47. The list above is not exhaustive and should be treated as the minimum requirements but indicative of the type of information that could be needed.

48. The information should aim to be provided within five Working Days or other timescale as stipulated by the requesting officer.

Reports

49. All reports to either the WNJSPC or to any of the PLPAs' committees should be shared and agreed with the relevant officers of all PLPAs so that reporting is transparent and open.

50. Following sharing and agreement as above they should also be shared with the Section 151 officers and monitoring officers of each PLPA.

Monitoring of arrangements

51. Section 151 officers of all the PLPAs should meet half yearly (immediately prior to programmed NFO meetings wherever possible) to discuss, monitor and keep under review these arrangements.
52. Monitoring officers should also meet as required for the purposes mentioned in paragraph 51 above.

Partner Resource Provision

53. The following PLPAs will provide the following facilities:
54. NBC – Employment of JPU staff, provision of office accommodation
55. SNC – Accountable body responsibilities, accountancy systems, accountancy support, lead monitoring officer, lead Section 151 officer.
56. DDC – Provision of internal audit services for planned annual internal audit of the JPU and arrangements associated with it.
57. All of the above arrangements should be charged to the JPU in line with the section on expenditure.

Financial Support

58. All financial support to the JPU will be provided by SNC at the direction of the Head of Finance.
59. Detailed financial support for the unit will be provided by the 'Accountant – General Fund' (currently Mandy Anderson). A charge will be made to the JPU for this support. The support will cover budget setting, budget monitoring, closure of accounts etc.

60. The Head of Finance at SNC, as lead Section 151 officer, will oversee all financial arrangements for the JPU and will liaise with the PLPAs' Section 151 officers as required.
61. Section 151 officers at each PLPA will monitor the arrangements and raise any issues or concerns with the Head of Finance at SNC where appropriate in order for them to discharge their respective statutory duties, if necessary reporting any issues of significance to those charged with Governance at their authorities (but sharing the reports with all PLPAs as mentioned to in paragraphs 49 and 50 above).
62. The report shall be made available to all the PLPAs' Section 151 officers for consideration, copied to the Head of the JPU, with any urgent issues to be discussed as quickly as possible and at the request of any Section 151 officer. The terms of reference for this annual planned audit being decided by the Section 151 officer at DDC, consulting with fellow Section 151 officers as appropriate. Any reports with assurance levels or recommendations that would normally be reported to the Audit Committee of one or more of the PLPAs will be so reported.
63. In addition to this planned annual audit the Section 151 officer of any of the PLPAs has the ability to instruct his or her own internal audit service to carry out additional internal audits if he or she feel there is a need to do so in order to discharge his or her statutory duties effectively. This can either be a regular audit (although this is not deemed to be necessary if a regular audit is to be carried out by DDC auditors) or because there are concerns that any of the Section 151 officers have about the governance or financial arrangements of the JPU which they feel require investigation in order to provide assurance. Such audits would not be chargeable to the JPU as they are specific to the discharge of the statutory duty of the requesting Section 151 officer.

Appendices
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NORTHAMPTON
BOROUGH COUNCIL

Item No.

8

CABINET REPORT

Report Title	New Tenancy Agreement
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AGENDA STATUS: PUBLIC

Cabinet Meeting Date:	January 20 th 2010
Key Decision:	NO
Listed on Forward Plan:	YES
Within Policy:	YES
Policy Document:	NO
Directorate:	HOUSING
Accountable Cabinet Member:	Sally Beardsworth
Ward(s)	All

1. Purpose

- 1.1 To update Cabinet on ongoing progress in developing the new secure and introductory tenancy agreements following consultation.

2. Recommendations

- 2.1 That Cabinet note the current position and instructs Officers to consider and incorporate any suggestions from the consultation, if appropriate, and submit the final draft Agreements to the next meeting of Cabinet for formal approval.

3. Issues and Choices

3.1 Report Background

- 3.1.1 The tenancy agreement forms the basis of the relationship between the Council and its tenants and sets out the rights and responsibilities of both parties.
- 3.1.2 The tenancy agreement was last reviewed in 1997. It does not give any information on the rights that tenants have. It contains no clauses on domestic violence, has no fraud prevention mechanisms, and has limited information on the payment of rent. The current agreement no longer complies with best practice, current legislative requirements of the Office of Fair Trading guidance on unfair contract terms in tenancy agreements.
- 3.1.3 New draft Introductory and Secure tenancy agreements were submitted to Cabinet on the 8th July and were approved for consultation purposes.

3.2 The Consultation process

- 3.2.1 The Housing Act 1985 specifies a statutory format for the consultation and this requires that every tenant be sent a preliminary notice to vary the terms and conditions of their tenancy. This is set out in sections 102 and 103 of the Act. There is a statutory requirement for a 28-day consultation period, but in accordance with best practice and the Council's consultation toolkit a consultation period of 12 weeks was given. The closing date of 23rd October was clearly stated on documentation sent out and on the Council's web site.
- 3.2.2 Copies of the existing and draft new documents were lodged with the One Stop Shop for inspection.
- 3.2.3 The Council's legal department produced the preliminary notice of variation and this was sent out to all tenants by the 3rd August 2009. The notice was accompanied by an explanation leaflet.
- 3.2.4 The Tenants Sounding Board considered the proposals in November. Overview and Scrutiny considered the draft in July and set up an Appreciative Enquiry which met on the 14th October. At that meeting Members suggested amendments which were taken on board and the draft amended accordingly. This included strengthening the clauses that apply to communal areas. Consultation was also undertaken with the fire service, police, and other council departments. Following concerns that consultation had only been held with invited tenants, a drop-in session was held on the 9th December.
- 3.2.5 The existing and draft new tenancy agreements were put on the Council's website and a dedicated e-mail address was provided to make it easy for tenants to respond.

3.3 Finalising the consultation

- 3.3.1 Additional requests for suggested amendments to be considered have very recently been received. There have also been a number of amendments suggested during the consultation period. In order to allow these to be properly considered and for the required due diligence to take place, the final drafts are being reviewed and will be submitted to the next meeting of Cabinet for approval.

4. Implications (including financial implications)

4.1 Policy

None

4.2 Resources and Risk

The existing tenancy agreement does not comply with best practice or recent legislation in relation to civil partners and there is, therefore, a risk that it would have a detrimental effect on the outcome of an audit commission inspection.

4.3 Legal

The tenancy agreement is a contract between the Council and its tenants. It has been written in consultation with the legal department and taking into account published guidance from the Office Of Fair Trading on unfair contract terms.

4.4 Equality

An Equalities Impact screening assessment was carried out. No issues were identified requiring a full impact assessment. It has been acknowledged that it would be best practice to produce a vulnerable tenants policy and this is in preparation.

4.5 Consultees (Internal and External)

All council tenants and relevant stakeholders.

4.6 How the Proposals deliver Priority Outcomes

The proposals are consistent with the following corporate priorities as outlined in the Councils' Corporate Plan

- **Safer, greener and cleaner communities**
 - Reducing crime, fear of crime and anti social behaviour
 - Increased recycling
 - Achieving cleaner neighbourhoods

4.6 Other Implications

None

5. Background Papers

None

Christine Ansell, Head of Landlord Services, Ext 8584

Appendices

[1]



NORTHAMPTON
BOROUGH COUNCIL

Item No.

9

CABINET REPORT

Report Title	Flexible warranting for health and safety enforcement
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AGENDA STATUS: PUBLIC

Cabinet Meeting Date:	20 January 2010
Key Decision:	NO
Listed on Forward Plan:	YES
Within Policy:	NO
Policy Document:	NO
Directorate:	Environment and Culture
Accountable Cabinet Member:	Cllr Trini Crake
Ward(s)	N/A

1. Purpose

- 1.1 This report seeks consent to enter into a flexible warranting arrangement with the Health and Safety Executive and all other local authorities in Northamptonshire for health and safety enforcement within predetermined limits of the flexible warranting arrangements below or for the use in urgent or critical circumstances.
- 1.2 A flexible warranting arrangement allows Local Authorities and the Health and Safety Executive to authorise suitably qualified officers of each others organisations to work on their behalf.

2. Recommendations

It is recommended that:

- 2.1 Cabinet support the principle of entering into a flexible warranting arrangement with the Health and Safety Executive and other Northamptonshire LA's and adopt the Memorandum of Understanding relating to the flexible warrant scheme;
- 2.2 That the Head of Public Protection be authorised to enter into the MOU on behalf of the Council; and delegated authority be granted to the Head of Public Protection to authorise relevant officers for the purposes of implementing the scheme.

3. Issues and Choices

3.1 Report Background

- 3.1.1 Local authorities (LA's) and the Health and Safety Executive (HSE) have joint responsibility for health and safety enforcement in England and Wales. The Health and Safety (Enforcing Authority) Regulations 1998 set out which premises LA's and HSE are responsible for. In general terms HSE are responsible for manufacturing, construction sites and higher risk industries i.e. railways, mining, off shore gas/oil etc. LA's enforce the Act mainly in retail shops, catering premises, offices, leisure and cultural premises, warehouses and wholesalers which fall within their geographical area.
- 3.1.2 Each enforcement agency may only act in premises where they have enforcement responsibility, in accordance with the Enforcing Authority Regulations 1998. These regulations do not always provide a clear allocation of premises and sometimes create artificial barriers. This enforcement division also leads to occasional situations where LA officers cannot act upon matters of immediate concern, most commonly dangerous scaffolds or practices on construction sites.
- 3.1.3 LA and HSE resources are limited and should therefore be targeted where they will have the greatest impact. Enforcing authorities are challenged by the "Revitalising Health and Safety Strategy" issued by the Health and Safety Commission (HSC) to develop coherent working partnerships.
- 3.1.4 In June 2004 the HSC, HSE and the Local Government Association (LGA) signed up to a local statement of intent indicating a commitment to partnership working.
- 3.1.5 Pilot schemes for flexible warranting have been trialled in Hampshire, Suffolk and Bedfordshire and the Thames Gateway in Kent. In each of these schemes a detailed Memorandum of Understanding (MOU) has been developed to clearly set out the obligations and limitations of the flexible warranting arrangement and includes such matters as officer competencies and indemnities.

3.1.6 Feedback from these pilots has been very positive, for example officers in the Thames Gateway pilot report that flexible warranting has enabled officers to deal expediently with situations of imminent risk in premises previously outside their jurisdiction and deliver high quality and focused joint initiatives that have had a wide reaching impact on improving local businesses and benefiting their employees.

3.1.7 Having regard to the success of the pilots it is proposed that we enter into a flexible warranting agreement with the HSE and all other Northamptonshire authorities by local arrangement. Officers from Northamptonshire LA's and the HSE have already met together to give some consideration to flexible warranting and how it might work throughout the county and all are in favour of proceeding further.

3.1.8 It is envisaged that flexible warranting will be used as follows:

- for proactive educative and enforcement projects where a multi-agency team, comprised of inspectors from HSE and all signatory LA's can make high impact interventions by working together.
- for reactive work where an inspector is on site for another purpose, or passing by, and notices health and safety problems that require urgent attention in a premises where they would not currently be the enforcing authority;
- for reactive work where an inspector is needed onsite urgently to deal with an event such as a workplace fatality and an officer from the current enforcing authority (LA or HSE) is either not available or is so far away that the control of the situation and the start of the investigation will be compromised. In such an instance an officer from a partner agency may be asked to attend as a first response – but only if such an officer is available and suitably competent to deal with the request;
- to share the resource of inspectors with specialist skills as need arises; and
- for LA's to be able to immediately assist each other should emergency need arise and for business continuity purposes.

3.1.9 Other benefits of the proposed scheme are:

- improved communication and cooperation between health and safety regulators;
- increased flexibility and responsiveness of health and safety regulators to situations of significant risk;
- increased opportunities for shared officer training and development; and

- comprehensive testing of the use of flexible warrants as a means of overcoming issues created by the current allocation of enforcement responsibilities.

3.2 Issues

- 3.2.1 The MOU is the mechanism for formalising a flexible warranting scheme. It will be used to formalise new or existing working arrangements between two or more parties. The MOU can be found in [Appendix 1].
- 3.2.2 A MOU is particularly useful to set out demarcation arrangements between two or more enforcing authorities where their responsibility for enforcing health and safety legislation overlaps, or where there are areas of uncertainty.
- 3.2.3 In the case of flexible warrants, the signing of a MOU is preferable to the complex route of seeking legislative change. It allows the appointment of inspectors from other enforcing authorities to be made, whilst limiting the extent to which they may execute the powers conferred upon them by their warrants. This route also brings the advantage of flexibility, whereby the MOU may be altered or if necessary terminated as the arrangement progresses.
- 3.2.4 All staff involved in the flexible warranting project will continue to be employed by their existing employer.

3.3 Choices (Options)

- 3.3.1 The cabinet could choose to reject this proposal, it is likely we would be the only one of the district Councils in the County to reject this partnership working proposal.

4. Implications (including financial implications)

4.1 Policy

No

4.2 Resources and Risk

There are no resource or staffing implications with this report.

4.3 Legal

The scheme has piloted in other parts of the country without any issues and all the district councils and the Health and Safety Executive wish to progress this issue.

4.4 Equality

There are no equality or diversity issues in relation to this matter.

4.5 Consultees (Internal and External)

Solicitor to the Council

4.6 How the Proposals deliver Priority Outcomes

The proposals help delivery the following key priorities in the Corporate Plan 2009-2010.

- Priority 1: Safer, greener and cleaner communities, effective health and safety enforcement makes Northampton a safer place to work and visit.
- Priority 2: Housing health and wellbeing, effective health and safety enforcement makes Northampton a healthier place to work.
- Priority 4: Partnership and community engagement, this is an example of effective partnership working with the other district councils in the County and the HSE.
- Priority 5: A well managed organisation that puts our customers at the heart of what we do, this partnership project helps us provide value for money services.

4.7 Other Implications

None

5. Background Papers

5.1 Memorandum of Understanding template produced by the HSE (appendix1)

David Green
Regulatory Services District Manager
Ext 7657

(Group Name)

LA and HSE Flexible Warrant Scheme

Memorandum of Understanding

Date of Commencement

xx/xx/20xx

Version Control 2

Appendix 1

Purpose of the Memorandum of Understanding

1. This Memorandum of Understanding (MoU) and its appendices establishes a framework for a Flexible Warranting Scheme (FWS) between the Health and Safety Executive (HSE) and the Local Authorities (LAs) listed below.
2. The purpose of the MoU is to allow:-
 - a) LAs to appoint and indemnify suitably qualified HSE Inspectors to undertake work within the LAs field of responsibility; and/or
 - b) LAs to appoint and indemnify suitably qualified LA Inspectors from other LAs, to undertake work within the LAs field of responsibility; and/or
 - c) HSE to appoint and indemnify suitably qualified LA inspectors to undertake work within the HSE's field of responsibility.
 - d) Each appendix will provide the agreed scope, timescales, competency arrangements, health and safety considerations of inspectors and training needs of projects covered by the FWS. A number of projects can run concurrently or consecutively within the FWS.

Operational Management of the FWS

1. A Management Team (MT) consisting of sufficient representation of all parties involved will manage the FWS and will be responsible for agreeing any local arrangements for the operation of the FWS and bringing these arrangements to the attention of all participants and appending them to this MoU.
2. The Terms of Reference for the MT are to keep under review the operation of the FWS under this MoU, and in particular to:
 - a) monitor the operation of the scheme;
 - b) consider and, where appropriate, agree to alterations to the scheme e.g. proactive or programme work;
 - c) resolve problems arising from the practical application of the statutory provisions and responsibilities; and
 - d) refer issues of conflict that cannot be resolved by the MT to the local HSE Head of Operations and nominated LA Head of Service who will maintain a strategic overview and arbitrate in these instances.
 - e) make recommendations to the HSE's Local Authority Unit about improvements to the operation of FWS nationally.
 - f) The MT will meet as necessary to review the operation of the FWS within the scope of this MoU but must meet at least annually.

- g) Involvement in the FWS is entirely voluntary. There is no obligation on any enforcing authority to act on behalf of, or at the behest of, another enforcing authority.

Appointment of Inspectors

1. Signatories will ensure that only competent inspectors are nominated to participate in this FWS and will ensure that their inspector's competence is reviewed at least annually and is maintained.
2. Signatories will ensure that their participating inspectors do not engage in any activity that brings a conflict of interest to the FWS.
3. Section 26 of the Health and Safety at Work etc Act 1974 allows Enforcing Authorities to indemnify inspectors appointed under that Act under specified circumstances. It is the policy of the enforcing authorities signing this MoU to indemnify Inspectors appointed under that Act against the whole of any damages and costs or expenses which may be involved, if the enforcing authority is satisfied that the Inspector honestly believed that the act complained of was within his/her powers and that his/her duty as an Inspector required or entitled him/her to do it, and provided the Inspector was not willfully acting against instructions. This extends to the acts of Inspectors working within the scope of this MoU and the EAs signing this MoU below indemnify appointed Inspectors accordingly.

Commencement, termination and participation

1. The FWS will commence from the date that this MoU is issued (see front sheet) with specific projects being timebound by the details contained within the relevant appendix.
- h) Participation in the scheme may be terminated by any individual participating EA in writing to the other party/parties.

Appendix 1

Scope of FWS

1. The FWS can be used in the following circumstances:

LA issues outside the FWS	Work within FWS	HSE/ORR issues outside the FWS
<ul style="list-style-type: none"> ▪ HSE's own activities will remain regulated by the relevant local authority ▪ Other regulatory activities of the Env. Health Department 	<ul style="list-style-type: none"> • Complaints/Accidents – where the enforcing authority is unclear. • Matters of Evident Concern – witnessed during other activities in area or while at premises • Activities outside premises - where a visit to an LA enforced premises identifies risks or interventions in relation to an activity that takes place outside the boundary of those premises including peripatetic workers. • Technical Support – where an inspector requires technical support that is available within another enforcing authority and it is not proposed to arrange a joint visit with the Inspector. • Proactive or Programme work – by agreement. • Any other circumstances - by agreement. 	<ul style="list-style-type: none"> ▪ Crown premises including MOD ▪ Fire, Police, Ambulance and other Public Services ▪ NHS Trust premises enforced by HSE ▪ LA's own activities ▪ Hazardous & nuclear installations ▪ Railways ▪ Construction sites (other than agreed construction activities or matters of evident concern) ▪ Dock activities ▪ Pesticide issues enforced by HSE ▪ Fairgrounds (other than agreed fairground activities or matters of evident concern) ▪ Employers Liability Compulsory Insurance

Appendix 1

Appendix 1

This MoU is between the following Health & Safety Enforcing Authorities:

Enforcing Authority	Name	Position	Signature
HEALTH AND SAFETY EXECUTIVE	Geoffrey Podger	Chief Executive	

Appendix 1

Appendix to Anywhereshire LA and HSE Flexible Warrant Scheme Memorandum of Understanding.

Example

Scope of Flexible Warrant

1. To enable LA and HSE Inspectors to undertake “Moving Goods Safely” proactive inspections up to the 31st of March 2010.
2. To enable LA and HSE Inspectors to investigate any accidents and complaints relating to “Moving Goods Safely” up to the 31st of March 2010.

Date: 01/04/2009

Appendices

1



NORTHAMPTON
BOROUGH COUNCIL

CABINET REPORT

Report Title	Performance Monitoring Report
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PUBLIC

Cabinet Meeting Date:	20 January 2010
Key Decision:	NO
Listed on Forward Plan:	YES
Within Policy:	YES
Policy Document:	NO
Portfolio:	Performance & Support
Accountable Cabinet Member:	Councillor Brian Markham
Ward(s)	N/A

1. Purpose

- 1.1 To inform Cabinet of the Council's performance for the monthly performance indicators for November 2009.

2. Recommendations

- 2.1 That Cabinet note the contents of the report.

3. Issues and Choices

3.1 Report Background

- 3.1.1. Performance data is collected across a range of locally developed indicators and National Indicators (NIs). Most indicators are collected monthly, with others collected either quarterly or annually. The reporting of NIs, together with a small number of locally determined indicators forms the basis of our performance monitoring process.
- 3.1.2. Performance data is available by the 20th of the following month; this allows for data to be transferred onto our database and quality assured to ensure that data quality standards are met. This report summarises monthly performance data for November 2009.

3.1.3 In June 2009 data for all of the performance measures detailed in service plans began to be collated by Performance Plus for the first time. Systems and processes are being tested and in the meantime the Cabinet report format will remain unchanged. Once testing has been satisfactorily completed, future reporting will focus on showing progress against the Council's priorities as set out in the Corporate Plan.

3.2 Issues - Overall Performance

3.2.1 Monthly Indicators

- 65.7% of indicators have 'green' status and have achieved target, compared to 54.8% last month
- 14.3% of indicators have 'amber' status and have performed just below target, compared to 19.4% last month
- 17.1% of indicators have 'red' status and have not achieved target compared to 22.6% last month
- 48.6% of all monthly indicators show improved performance against the same time last month, compared to 32.3% last month
- 28.6% of all monthly indicators show improved performance against the same time last year, compared to 35.5% last month

Notable performance trends across all monthly performance data for November 2009 include:

3.2.2 Performance Improvement

Neighbourhood Environmental Services

- 89% (8 of 9) indicators have 'green' status and are achieving target (NI 191, LI 105, LI 784, LI 785, NI 195a, b, c and d)
- The number of kilograms of residual household waste collected per household is the best performance for the year to date (NI 191)
- The percentage of household waste sent for reuse, recycling and composting is the second highest reported figure for the year to date, as a result of improvements in paper, card and green waste collections. However, overall performance is lower when compared to the same time last year (NI 192)

Public Protection

- 50% (2 of 4) indicators have 'green' status and are achieving target (BV 127b and BV 128)
- The number of vehicle crimes per year, per 1,000 population in the local authority area has improved compared to last month and the same time last year. The Vehicle Crime Task group continues to meet to identify hotspot locations and develop action plans (BV 128).

Planning

- 80% (4 of 5) indicators have 'green' status and are achieving target (NI 157a SM, NI 157b, NI 157c and LI 541).
- The number of planning decisions delegated to officers as a percentage of all decisions has improved when compared to last month and the same time last year and is also performing above target (LI 541).

Revenues & Benefits

- 55% (5 of 9) indicators have 'green' status and are achieving target (NI 180, NI 181, BV 10, BV 76c and BV 76d)
- The time taken to process Housing Benefit/Council Tax new claims/changes reduced by over 5 days and the average time for processing notification of change in circumstances reduced by 5.9 days compared to last month. Both achieved the best performance for the year to date. However, overall performance of average time taken for processing change of circumstances remains below the current profiled target and is worse when compared to the same time last year (NI181, BV 78b).

Customer Services

- The percentage of avoidable customer contact achieved the best performance for the year to date and improved compared to last month (NI14).

3.2.3 Performance Deterioration

Public Protection

- 50% (2 of 4) indicators have 'red' colour status (BV 126 and BV 127a)
- The number of domestic burglaries per year, per 1,000 households and violent crimes per year, per 1,000 population, did not meet their profiled targets this month. Violent crime performance levels are also worse than the same time last year. Police led operations continue with partners and the exchange of information regarding offenders and burglaries. Domestic Abuse reassurance visits by the Police continue along with planned police visits to identify problematic licensed premises (BV 126, BV 127a).

Revenues & Benefits

- 44% (4 of 9) indicators have 'red' or 'amber' status and are performing below target (BV 9, BV 78a, BV 78b and LI 364)
- The percentage of council tax received in the year was marginally down compared to last month and is also worse when compared to the same time last year. Summonses have been issued for non-payment, which are in addition to the existing recovery timetable. The service area will continue to monitor the situation (BV 9).
- The average time for processing new claims has deteriorated when compared to last month and the same time last year. There has been a significant rise in caseload and validation work during November and the service area will continue to monitor the situation (BV 78a).

3.2.4 Data Quality

The Council has processes in place to ensure that the data and information it provides to support management decision-making is as reliable as possible. The Council has a strategy to improve data quality and service areas are working to achieve the objectives within it. This is closely linked to the Council's risk assessment processes and is monitored monthly as part of the Council's Performance Management Framework.

3.2.5 Current Key Risks and Issues;

None

3.3 Choices (Options)

Cabinet are recommended to review the issues and actions highlighted in 3.2

4. Implications (including financial implications)

4.1 Policy

A number of corporate measures are monitored on a monthly basis to track progress towards delivering our priorities, as detailed in the Council's Corporate Plan. Service areas annually develop objectives, measures and targets to ensure the delivery of the Corporate Plan through the service planning process. The monitoring of progress is through the Performance Management Framework.

4.2 Resources and Risk

The service area Service Plans will underpin the delivery of the Corporate Plan priorities. All objectives, measures and actions within the Service Plans are risked assessed and challenged before final approval. The challenge process includes the agreement of performance targets and the capacity /ability to deliver the plans with appropriate resource set aside to do so.

4.3 Legal

None

4.4 Equality

The Corporate Plan sets out the Council's corporate priorities. Equality and diversity is an important theme that flows throughout the Corporate Plan and Service Plans and the issues arising from the Council's EIA processes are factored into the development of these plans. The Corporate Plan outlines the Council's commitment to equality and diversity under the priority outcome of delivering Equitable Services under priority five.

4.5 Consultees (Internal and External)

Internal – Performance data is published across the Council on a monthly basis

External – The Lead Official; Audit Commission; partners; publication of performance data on our website.

4.6 How the Proposals deliver Priority Outcomes

Corporate Plan – Performance management, including the monitoring of data, is critical in ensuring the Corporate Plan objectives are delivered.










4.7 Other Implications

None

5. Background Papers










5.1 Monthly Performance Report for November 2009

Dale Robertson, Head of Performance & Improvement
Performance & Improvement - Ext 7110

MONTHLY PERFORMANCE REPORT: NOVEMBER 2009													KEY TO STATUS COLOURING KEY TO QUARTILE & TARGETED QUARTILE COLOURING			KEYS		
CURRENT STATUS (BV12r - rolling colour status not counted)													GREEN:			~	Interim figure, still to be validated	
	23	65.7%		5	14.3%		6	17.1%	NO DATA OR N/A		1	2.9%	Overall performance on or exceeding target Top or Upper Median Quartile				BV12r - Rolling colour status not counted	
MONTH ON MONTH TREND													AMBER:					
	17	48.6%		5	14.3%		7	20.0%	NO DATA OR N/A		6	17.1%	Overall performance within range stated in "Target Tolerances" column Lower Median Quartile					
YEAR ON YEAR TREND													RED:					
	10	28.6%		1	2.9%		10	28.6%	NO DATA OR N/A		14	40.0%	Overall performance outside the stated "Target Tolerances" Bottom Quartile					










Please contact Dale Robertson Ext 7110, if you require further information or support

	ID	NAME	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	OVERALL PERFORMANCE TO DATE	ANNUAL TARGET	CURRENT PROFILED TARGET [if any]	TARGET TOLERANCES	PERFORMANCE AGAINST LAST MONTH	OVERALL PERFORMANCE AGAINST SAME TIME LAST YEAR	NBC 08/09 OUTTURN & QUARTILE POSTION	NBC 07/08 OUTTURN & QUARTILE POSTION
Neighbourhood Environmental Services [Simone Wade]							<div><div></div><div>G</div></div>	8	<div><div></div><div>A</div></div>	1	<div><div></div><div>R</div></div>	0	No data or n/a			0						
↓	NI 191	Number of kilograms of residual household waste collected per household	46	41	40	41	41	45	42	39					336kg	495kg	338kg	+15kg	↑	New NI 2009/10 - No comparable data		
↑	NI 192	Percentage of household waste sent for reuse, recycling and composting	40.74	41.40	44.44	41.49	39.45	38.56	39.34	42.12					40.95%	40.00%	41.92%	5%	↑	↓ 41.73%	37.88%	38.74%
↑	LI 105 (previously ELPI 5)	Percentage of fly-tips removed in 2 working days	99.86	100	100	100	100	99.80	100	100					99.95%	97.00%		5%	↔	↑ 99.84%	99.82%	99.83%
↓	LI 784 (previously ELPI 6)	Number of missed refuse collections per 734,350 collections made	239	74	143	127	111	193	95	106					1088	2,100	1,338	5%	↓	Change in calculation methodology - No comparable data		
↑	LI 785 (previously ELPI 10)	Percentage of missed collections put right within 24 hours	100	100	100	100	100	100	100	100					100%	100%		2% points	↔	↔ 100%	100%	98.92%
4 MONTHLY																						
↓	NI 195 (a)	The percentage of relevant land and highways that is assessed as having deposits of litter that fall below an acceptable level				5				4					4%	10%		3% points	New NI 2009/10 - No comparable data		No data	
↓	NI 195 (b)	The percentage of relevant land and highways that is assessed as having deposits of detritus that fall below an acceptable level.				13				12					12%	19%		3% points	New NI 2009/10 - No comparable data		No data	
↓	NI 195 (c)	The percentage of relevant land and highways that is assessed as having deposits of graffiti that fall below an acceptable level.				8				5					5%	6%		2% points	New NI 2009/10 - No comparable data		No data	
↓	NI 195 (d)	The percentage of relevant land and highways that is assessed as having deposits of flyposting that fall below an acceptable level.				2				1					1%	1%		1% point	New NI 2009/10 - No comparable data		No data	
Public Protection [Steve Elsey]							<div><div></div><div>G</div></div>	2	<div><div></div><div>A</div></div>	0	<div><div></div><div>R</div></div>	2	No data or n/a			0						
↓	BV 126	Domestic burglaries per year per 1,000 households in local authority area	1.7	1.8	1.2	1.5	1.1	1.2	1.2	1.1					10.9	15.0	10.0	5%	↑	↑ 13.0	20.7 Bottom	20.9 Bottom
↓	BV 127a	Violent crime per year, per 1,000 population	2.1	2.1	2.1	2.3	2.5	2.0	1.8	1.9					16.8	22.9	15.3	5%	↓	↓ 15.6	23.6 Bottom	26.8 Bottom
↓	BV 127b	Robberies per year, per 1,000 population	0.3	0.2	0.2	0.2	0.2	0.2	0.1	0.1					1.4	2.7	1.8	5%	↔	↑ 1.7	2.5 Bottom	2.7 Bottom
↓	BV 128	The number of vehicle crimes per year, per 1,000 population in the local authority area	1.0	1.1	1.0	0.9	0.9	1.0	1.3	1.1					8.3	14.8	9.9	5%	↑	↑ 10.1	13.9 Bottom	16.2 Bottom
Planning [Sue Bridge]							<div><div></div><div>G</div></div>	4	<div><div></div><div>A</div></div>	0	<div><div></div><div>R</div></div>	0	No data or n/a			1						
↑	NI 157a LM	Percentage of "large scale major" planning applications determined within 13 weeks	No applications	No applications	No applications	No applications	No applications	No applications	No applications	No applications					No applications	0%		5%	No comparable data	First full year of reporting - No comparable data	100%	No comparable data
↑	NI 157a SM	Percentage of "small scale major" planning applications determined within 13 weeks	100	No applications	No applications	No applications	100	No applications	No applications	No applications					100%	60.00%		5%	No comparable data	First full year of reporting - No comparable data	54.55%	No comparable data
↑	NI 157b (previously BV109b)	Percentage of "minor" planning applications determined within 8 weeks	100	100	94.74	88.89	86.67	100	65.00	100					90.16%	65.00%		2% points	↑	↓ 95.21%	92.19% Top	BV109b 87.42% Top
↑	NI 157c (previously BV 109c)	Percentage of "other" planning applications determined within 8 weeks	100	87.80	98.53	89.04	94.00	98.46	96.00	94.03					94.93%	80.00%		2% points	↓	↓ 95.40%	95.70% Top	BV109c 95.21% Top
↑	LI 541 (Previously PLI 188)	The number of decisions delegated to officers as a percentage of all decisions	100	100	96.55	97.80	100	97.47	92.86	98.70					97.82%	90.00%		2% points	↑	↑ 96.53%	96.07% Top	94.77% Top

MONTHLY PERFORMANCE REPORT: NOVEMBER 2009													KEY TO STATUS COLOURING KEY TO QUARTILE & TARGETED QUARTILE COLOURING			KEYS		
CURRENT STATUS (BV12r - rolling colour status not counted)													GREEN:			~	Interim figure, still to be validated	
	23	65.7%		5	14.3%		6	17.1%	NO DATA OR N/A			1	2.9%	Overall performance on or exceeding target Top or Upper Median Quartile			BV12r - Rolling colour status not counted	
MONTH ON MONTH TREND													AMBER:					
	17	48.6%		5	14.3%		7	20.0%	NO DATA OR N/A			6	17.1%	Overall performance within range stated in "Target Tolerances" column Lower Median Quartile				
YEAR ON YEAR TREND													RED:					
	10	28.6%		1	2.9%		10	28.6%	NO DATA OR N/A			14	40.0%	Overall performance outside the stated "Target Tolerances" Bottom Quartile				

Please contact Dale Robertson Ext 7110, if you require further information or support

	ID	NAME	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	OVERALL PERFORMANCE TO DATE	ANNUAL TARGET	CURRENT PROFILED TARGET [if any]	TARGET TOLERANCES	PERFORMANCE AGAINST LAST MONTH	OVERALL PERFORMANCE AGAINST SAME TIME LAST YEAR	NBC 08/09 OUTTURN & QUARTILE POSTION	NBC 07/08 OUTTURN & QUARTILE POSTION			
Human Resources [Catherine Wilson]			BV12r - Rolling colour status not counted						<div></div>	0			<div></div>	0			No data or n/a			0					
↓	BV 12	The number of working days/shifts lost due to sickness absence	0.96	0.83	1.03	1.15	0.92	0.96	1.03	0.93					7.82 Days	11.00 Days	7.33 days	5%	↑	↑ 8.46 Days	12.86 Days Bottom	11.89 Days Bottom			
↓	BV 12r (Roling 12 months)	The average number of working days/shifts lost due to sickness absence for rolling 12 month period	12.99	12.84	12.86	12.97	12.99	12.87	12.83	12.63					12.87 Days	11.00 Days		5%	↑	New measure with rolling cumulative figures - No comparable data					
Finance & Assets [Gavin Chambers]			<div></div>						0			<div></div>	1			<div></div>	0			No data or n/a			0		
↑	BV 8	The percentage of invoices for commercial goods and services paid by the authority within 30 days of being received	97.00	93.88	94.69	96.11	94.17	92.96	93.82	96.91					94.98%	95.00%		2% points	↑	No data received November 2008	94.38% Lower Median	91.51% Lower Median			
Revenues & Benefits [Robin Bates]			<div></div>						5			<div></div>	2			<div></div>	2			No data or n/a			0		
↑	NI 180	Changes to Housing Benefit/Council Tax Benefit entitlements within year	290.0	469.9	109.5	90.5	96.0	102.1	80.0	194.4					1,392.8	940.5	627.0	5%	↑	New NI 2009/10 - No comparable data					
↓	NI 181	Time taken to process Housing Benefit/Council Tax new claims/changes	15.9	15.3	14.4	15.6	11.5	12.0	14.6	9.3					13.2 Days	14.0 Days		2.0 Days	↑	New NI 2009/10 - No comparable data					
↑	BV 9	Percentage of council tax received in the year	11.25	9.01	9.24	9.23	8.99	9.25	9.14	9.13					75.56%	97.50%	76.20%	0.5% points	↓	↓ 77.04%	96.94% Lower Median	97.95% Upper Median			
↑	BV 10	% of non domestic rates due for the year which were received by the authority	11.62	9.55	10.18	9.69	9.73	9.08	8.58	9.70					78.58%	99.50%	78.40%	2% points	↑	↓ 79.13%	99.12% Top	99.79% Top			
↑	BV 76c	Housing Benefit Security: the number of fraud investigations	76	52	71	57	96	99	95	109					655	950	655	5%	↑	↓ 718	949	847			
↑	BV 76d	Housing Benefit Security: the number of prosecutions and sanctions	10	7	10	7	8	8	10	14					74	87	59	5%	↑	↑ 58	91	74			
↓	BV 78a	Speed of Processing: Average time for processing new claims	23.5	21.8	18.9	19.4	15.9	16.7	18.4	18.9					19.3	19.0 Days		2.0 Days	↓	↓ 15.7 Days	16.1 Days Top	23.8 Days Upper Median			
↓	BV 78b	Speed of Processing: Average time for processing notifications of change in circumstances	11.8	12.1	12.2	13.7	9.5	10.3	13.1	7.2					10.69	8.0 Days		1.0 Day	↑	↓ 7.9 Days	8.0 Days Upper Median	10.9 Days Lower Median			
↑	LI 364 (Previously BEN LPI 1)	Percentage of cases from complete to determined within 14 days	84.10	84.71	90.62	92.67	95.13	97.12	88.50	92.43					90.48%	92.00%		2% points	↑	↓ 97.98%	96.82%	86.74%			
Customer Services & ICT [Marion Goodman]			<div></div>						1			<div></div>	0			<div></div>	0			No data or n/a			0		
↓	NI 14	The percentage of customer contact that was 'Avoidable'	16.7	12.2	19.0	11.5	13.9	11.7	16.3	7.6					14.6%	50.0%		10%	↑	New NI 2009/10 - No comparable data					

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Landlord Services [Christine Ansell]							<div><div></div><div>G</div></div>	0	<div><div></div><div>A</div></div>	1	<div><div></div><div>R</div></div>	1	No data or n/a			0							
↑	HI 1 (previously BV 66a)	Rent collected by the local authority as a proportion of rents owed on HRA dwellings	93.06	94.56	97.28	94.12	102.99	93.89	94.76	97.77					96.16%	97.50%		1% point	↑	↑ 94.39%	96.26% Bottom	96.76% Bottom	
↓	HI 3 (previously BV 66d)	Number of tenants evicted as a result of rent arrears	0	8	6	1	3	3	2	3					26	36	25	1 per quarter	↓	↑ 44	55	26	
Housing Needs & Support [Fran Rodgers]							<div><div></div><div>G</div></div>	3	<div><div></div><div>A</div></div>	0	<div><div></div><div>R</div></div>	0	No data or n/a			0							
↓	NI 156	Number of households living in Temporary Accomodation	25	22	17	12	6	5	8	8					8	25	25	5%	↔	New NI 2009/10 - No comparable data			
↓	HI 6 (previously BV 212)	Average time taken to re-let local authority homes	33	24	25	28	21	19	20	24					24 Days	25 Days	24.88 Days	5%	↓	↑ 30 Days	29 Days Upper Median	34 Days Lower Median	
↓	HI 15 (previously LHPI 183a)	The average length of stay in bed and breakfast accommodation of households that are unintentionally homeless and in priority need (working days)	0	0	0	0	0	0	0	0					0 Days	5 Days	4.19 Days	20%	↔	Previously reported quarterly - No comparable data	1.68 weeks Upper Mediian	1 week Top	

Appendices

2



NORTHAMPTON
BOROUGH COUNCIL

Item No.

10B

CABINET REPORT

Report Title	REVENUE BUDGET MONITORING 2009/10 – POSITION AS AT THE END OF NOVEMBER 2009
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AGENDA STATUS: PUBLIC

Cabinet Meeting Date:	20 January 2010
Key Decision:	NO
Listed on Forward Plan:	YES
Within Policy:	YES
Policy Document:	NO
Directorate:	Finance and Support
Accountable Cabinet Member:	David Perkins
Ward(s)	Not Applicable

1. Purpose

- 1.1 This report identifies the projected outturn position for the current financial Year. Appendix 1 of the report provides further background information. The report also refers to management action being taken in response to the forecast and to minimise the impact on the Council's general fund reserves at the end of the financial year.

2. Recommendations

- 2.1 Cabinet to note the report and the forecast under spend of £559k net of management action.

3. Issues and Choices

3.1 Report Background

- 3.1.1 The Council approved the General Fund Revenue Budget on 26th February 2009. The 2009/10 budget preparation process identified a substantial gap in funding. This was bridged by a combination of policy, efficiency and base budget savings to the value of £9.42m. These savings are in addition to the £6.2m of savings that were approved and achieved as part of the 2007/08 and 2008/09 budget setting processes.
- 3.1.2 It is important that the savings built into the budget are achieved to minimise the impact on both the Council's general reserves at the end of this financial year and the impact on future year budgets. It is intended that all policy, efficiency and base budget savings that were built into the approved budget will be monitored and reported separately this financial year together with the regular monitoring of the revenue budget. Should any of the savings be unachievable, management action will be taken to identify alternative savings or income.
- 3.1.3 The Authority was notified of a revised provisional allocation of LABGI funding for 2009/10 of £124,425 on 29 July 2009. The grant determination for this was issued by CLG on 25 September. This allocation was based on the revised CLG methodology.

3.2 Issues

- 3.2.1 Budget Managers, in conjunction with Finance, have undertaken a review of the progress being made towards achieving the savings contained within the budget. Work has also been undertaken to identify any other emerging issues that cannot be contained within the approved budget with appropriate management action.
- 3.2.2 Appendix 1 presents the identified variations from the approved budget that are giving rise to a forecast net under spend of £283k for services before management action and proposed use of reserves.

3.2.3 Table 1: General Fund Provisional Outturn Summary (£,000)

RAG	Directorate	2009/10 Original Budget	2009/10 Additional Budget	2009/10 Revised Budget*	Projected Outturn Actuals - End November 2009	Projected Outturn Variance to Revised Budget - End November 2009 pre actions	Proposed Application of Reserves & other Management Actions	Projected Outturn Variance to Revised Budget - End November 2009 post actions
		£,000	£,000	£,000	£,000	£,000	£,000	£,000
R	Environment and Culture	12,227	31	12,258	12,797	539	(182)	357
G	Finance and Support	17,133	(51)	17,082	16,479	(603)	(99)	(702)
G	Planning & Regeneration	2,831	219	3,050	3,056	6	5	11
G	Assistant Chief Executive*	4,043	247	4,290	4,176	(84)	0	(84)
G	Borough Solicitor	1,171	4	1,175	1,100	(75)	0	(75)
G	Housing (GF)	1,472	(51)	1,421	1,355	(66)	0	(66)
	Total	38,877	399	39,276	38,993	(283)	(276)	(559)

Note small variations are due to roundings.

3.2.4 £1,118k of the projected position relates to policy and efficiency savings that Budget Managers have indicated still require further work. Appendix 2 contains details of these savings and action being undertaken.

3.2.5 Included within the forecast is a projected under spend of £643k relating to employee budgets. This is the position net of the corporate vacancy target.

3.2.6 The remaining £788k under spend before action and funding virements relates to emerging issues identified by Budget Managers.

3.2.7 Overall these items give a forecast under spend of £283k before management action.

3.2.8 Management action to the value of £276k has been identified to partially mitigate the forecast over spend. These actions give rise to a net forecast under spend of £559k.

3.2.9 The under spend of £559k includes the monitoring of the vacancy saving target. The position in relation to the employee budget is shown in a specific column on appendix 1 for clarity.

Environment and Culture Directorate

3.2.10 The RAG status for Directorate of Environment and Culture is Red as the Directorate is forecasting an over spend above £100k. The reasons for the variance are explained below.

Service Area	Forecast Variance before Action	Forecast Variance after Action	Narrative
	£,000	£,000	
Director of Environment and Culture	1	1	Various minor items below £50k
Head of Public Protection	(6)	(6)	£58k unachievable income due to a reduction in CCTV rentals is offset by various minor items below £50k
Head of Neighbourhood Environmental Services	424	371	See below
Head of Leisure and Culture	107	(22)	See below
Town Centre Management	13	13	See below
Total	539	357	

Head of Neighbourhood Environmental Services

3.2.11 The service has indicated that it is unable to deliver savings to the value of £678k that were built in to the 2009/10 budget (see below and appendix 2).

3.2.12 Net employee variations show £78k under spend.

3.2.13 £90k under recovery of income relating to white/bulky goods.

3.2.14 In relation to recycling an over achievement of income £467k on green, plastic and metal waste has been partially offset by under achievement of income on paper and glass of £238k mainly due to price decreases in those markets.

3.2.15 £92k saving on glass and paper haulage costs due to fewer collections from bottle banks is offset by £244k overspend on additional haulage costs for green waste.

3.2.16 This is offset by various net savings under £50k totalling £189k.

3.2.17 As identified in Appendix two a number of MTP options are not now believed to be achievable and new savings plans have been put in place to balance the budget for 2009/10 and bring about savings going forward in to future financial years. Details were reported to Cabinet on 16 December in the monitoring to the end of October 2009.

3.2.18 The Head of Service has identified actions to address the over spend in 2009/10, as previously reported. The majority of these are included in the main forecast position this month with the exception of net Northgate Kendrick Ash savings currently expected to be £20k. Some of these items will be recurring savings in future years.

Head of Leisure and Culture

3.2.19 The £107k over spend in Leisure mainly due to £169k over spend on employees which is being offset by management action of (£129k).

3.2.20 The museum service is forecasting a saving on utilities of £66k, additional income of £50k offset by an overspend of £59k on supplies and services.

3.2.21 A further £91k saving on leisure utilities is offset by net overspend on items below £50k of £86k.

Town Centre Management

3.2.22 An overspend on rents payable in respect of change of contract on St Peters Way Car Park of £53k, which is offset by £107k additional daily ticket income.

3.2.23 An overspend of £91k on maintenance of the bus station due to a HSE report are offset by savings of (£148k) on Gas and Electric

3.2.24 These are offset by net over spend of £124k on items below £50k.

Finance and Support Directorate

3.2.25 The RAG status for Finance and Support is Green as the Directorate is forecasting an under spend. The reasons for the variance are explained below.

Service Area	Forecast Variance before Action	Forecast Variance after Action	Narrative
	£,000	£,000	
Director of Finance and Support	(50)	(50)	Employee savings net of the corporate vacancy target.
Head of Finance and Assets	(740)	(740)	See below.
Head of Revenues and Benefits	347	248	Significant increase in benefits caseload.
Head of Customer Services and ICT	(40)	(40)	Various minor items below £50k
Head of Human Resources	(127)	(127)	Supplies and services savings £169k offset by £90k for pay and grading and various items below £50k totalling £49k.
Head of Procurement	7	7	Various minor items below £50k
Total	(603)	(702)	

Head of Finance and Assets

- 3.2.26 Employee savings net of vacancy target give a £205k forecast under spend.
- 3.2.27 Loss of external rent income £70k due to properties becoming vacant. This is offset by £40k additional income from rent reviews undertaken and £153k saving on business rate rebates, including Thornton Park Depot and the Market Square.
- 3.2.28 £386k saving on Concessionary Fares due to reimbursement rate being lower than budgeted for, updated information on average fares, and a lower level of trip activity than budgeted.
- 3.2.29 There is a £55k under spend on other property costs mainly due to a £37k saving on utility charges.
- 3.2.30 In addition there are net costs of £29k on various items below £50k.

Planning & Regeneration Directorate

- 3.2.31 The RAG status for People, Planning, and Regeneration is Green as the Directorate is reporting an over spend of less than £50k. The reasons for the variance are explained in the table below.

Service Area	Forecast Variance before Action	Forecast Variance after Action	Narrative
	£,000	£,000	
Director of Planning and Regeneration	(6)	(6)	Various minor items below £50k
Head of Planning	55	55	See below.
Head of Regeneration and Development	(43)	(38)	See below.
Total	6	11	

Head of Regeneration and Development

- 3.2.32 A £70k employee saving net of corporate vacancy target is offset by net over spend £27k on items below £50k.
- 3.2.33 An adjustment for a carry forward of reserves is shown in the Virement from reserves column to correct a previous draw down from reserves of a higher value than had been carried forward for this project.

Head of Planning

- 3.2.34 Planning has a net saving on employees of £105k net of vacancy factor mainly relating to changes in retention payments and the 1% pay award settlement.
- 3.2.35 The credit crunch continues to have an adverse impact on planning income, with a £103k under achievement of building control income and £47k on Development Control income.
- 3.2.36 In addition there is a net over spend of £10k on various items below £50k.

Borough Solicitor

3.2.37 The RAG status for the Borough Solicitor is Green as the Service is reporting an over spend of less than £50k. The reasons for the variance are explained in the table below.

Service Area	Forecast Variance before Action*	Forecast Variance after Action*	Narrative
	£,000	£,000	
Borough Solicitor	(75)	(75)	Net employee savings and income from recovery of court costs.
Total	(75)	(75)	

Assistant Chief Executive

3.2.38 The RAG status for Directorate of Assistant Chief Executive is Green as the Directorate is forecasting an under spend. The reasons for the variance are explained below.

Service Area	Forecast Variance before Action	Forecast Variance after Action	Narrative
	£,000	£,000	
Assistant Chief Executives	(64)	(64)	Various minor items below £50k.
Head of Policy and Community Engagement	37	37	See below
Head of Performance and Improvement	(27)	(27)	Mainly net employee savings.
Director of Local Strategic Partnership	(30)	(30)	Various minor items below £50k
Chief Executives	0	0	Various minor items below £50k
Total	(84)	(84)	

Head of Policy and Community Engagement

3.2.39 There is a £190k overspend due to unachievable savings targets. This relates to the efficiency saving for Community Centres.

3.2.40 Members' expenses are underspent by £78k. This is offset by an overspend of £79k on professional services.

3.2.41 In addition there is £243k over recovery of income. This is mainly due to additional grants of £52k, £83k additional contributions from other local authorities, room hire fees £60k, and £44k external rents and service charges.

3.2.42 These are offset by net costs of £89k on various items below £50k.

Housing Directorate (General Fund)

3.2.43 The RAG status for the Directorate of Housing is Green as the Directorate is reporting an under spend. The reasons for the variance are explained in the table below.

Service Area	Forecast Variance before Action*	Forecast Variance after Action*	Narrative
	£,000	£,000	
Director of Housing	(5)	(5)	Various minor items below £50k
Head of Housing Strategy, Investment and Performance	(2)	(2)	Various minor items below £50k
Head of Landlord Services	0	0	N/A
Head of Housing Needs and Support	(59)	(59)	See Below
Total	(66)	(66)	

Head of Housing Needs and Support

3.2.44 A saving of £113k has been made on employees net of Vacancy Factor and incorporating the 1% pay award.

3.2.45 £123k of savings have been achieved within Home Choice & Resettlement supplies and services.

3.2.46 The over spend of £66k in Housing Options is mainly due to increased supplies and services costs.

3.2.47 An overspend of £50k on temporary accommodation is offset by additional income of £64k on Private Sector Housing solutions

3.2.48 The remaining £125k relates to a net overspend on various items less than £50k.

Other Areas for Information

3.2.49 As indicated above, managers have already taken action to minimise the overall net impact on Council finances. This includes identifying where there is scope for efficiencies without detriment to public service delivery, seeking additional external funding and capitalisation of specific costs. Managers must continue to rigorously assess areas in which further efficiencies can be achieved, giving particular attention to managing the employee establishment.

Improvement Fund

3.2.50 The opening balance on the Improvements Reserve for 2009/10 was £1m. In September 2009 approval was given in line with the Council resolution of 26 February 2009 to draw down £150k of this earmarked reserve for a Programme Manager for SBR and other key change projects.

Corporate Initiatives (LABGI) Earmarked Reserve

3.2.51 The opening balance on the Corporate Initiatives Reserve for 2009/10 was £351k. The unearmarked element of this reserve has been ring fenced to Regeneration and Development by Council resolution of 26 February 2009.

	£,000
LABGI Balance as at 01.04.2009	351
Royal and Derngate Theatre Trust	-8
Market Square Lighting	-30
Earmarked in 2008/09 B/fwd:	
Market Square Designer	-20
Car Parking Feasibility	-20
Fish Market	-26
Leisure Feasibility	-25
Leisure Feasibility – Conditional Element	-30
Links View Flood Investigation	-3
Total estimated LABGI balance at 31.03.2009	189

3.2.52 Aside from the earmarked items, a total amount of £38k has been drawn down from this Earmarked Reserve in line with the Council resolutions of 26 February 2009.

General Fund Balances

3.2.53 Following the completion of the audit of the year-end accounts 2008/09 the opening General Fund Balance for 2009/10 was revised to £2,006k.

3.2.54 At the meeting on 14 October 2009 Cabinet agreed to appropriate the unclaimed increase in members' allowances 2008/09 from reserves to CEFAP for investment in communities. This totals £10,970, giving a revised opening General Fund Balance for 2009/10 of £1,995k.

Housing Revenue Account (HRA)

3.2.55 A separate report detailing the HRA position appears elsewhere on the agenda.

3.3 Choices (Options)

3.3.1 Cabinet is invited to note the report and the actions being taken to contain net expenditure to minimise the impact on the Council's reserves at the end of the financial year.

3.3.2 Consideration must be given as to whether further management action can be taken to achieve those savings that have been identified by Budget Managers as unachievable.

3.3.3 Options for further constraining expenditure without detriment to front line service delivery must be considered corporately to address the projected net overspend.

4. Implications (including financial implications)

4.1 Policy

4.1.1 The table at 3.2.3 shows that the budget is forecast to be under spent by £559k after management action and proposed use of reserves.

4.2 Resources and Risk

- 4.2.1 This report informs the Cabinet of the forecast revenue budget outturn as at the end of November 2009.
- 4.2.2 There will be an ongoing impact on future year budgets of not achieving savings contained within the 2009/10 budget.

4.3 Legal

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

4.4 Equality

- 4.4.1 There are no specific equalities implications arising from this report.

4.5 Consultees (Internal and External)

- 4.5.1 Chief Executive, Directors, Heads of Service, and Budget Managers have been consulted.

4.6 How the Proposals deliver Priority Outcomes

- 4.6.1 Monthly budget monitoring relates to improving the CAA Use of Resources score, which contributes to the priority of being a well-managed organisation that puts the customer at the heart of what we do.

4.7 Other Implications

- 4.7.1 Not applicable

5. Background Papers

- 5.1 Council Report 26th February 2009 (General Fund Revenue Budget 2009/10 – 2011/12),
- 5.2 Cabinet Report 29th June 2009 (General Fund Budget Outturn 2008/09)
- 5.3 Cabinet Reports 5 August 2009 Revenue Budget Monitoring Position as at End of May 2009
23 September 2009 Revenue Budget Monitoring Position as at End of June 2009
14 October 2009 Revenue Budget Monitoring Position as at End of July 2009
4 November 2009 Revenue Budget Monitoring Position as at End of August 2009
25 November 2009 Revenue Budget Monitoring Position as at End of September 2009
16 December 2009 Revenue Budget Monitoring Position as at End of October 2009

Gavin Chambers, Head of Finance and Assets, ext 7194
Rebecca Smith, Assistant Head of Finance, ext 8046

General Fund Controllable Service Revenue Budget - Forecast Outturn Variance 2009/20010

	2009/2010 Original Budget	2009/2010 Use of Reserves	2009/2010 Virements	2009/2010 Current Budget	Savings / Efficiency Target Included within 2009/10 Budget	Savings / Efficiencies Target (Over) / Under Achieved	Employees Forecast Net of Vacancy Factor	Other Emerging Issues	Forecast Outturn (Underspend) / Overspend before Mgmt Action	Management Action - Virement from Reserves	Management Action Plans in Place	Forecast Outturn following action plans & budget transfers
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<u>Director of Environment and Culture</u>												
Director of Environment and Culture	207	0	36	243	0	0	-1	2	1	0	0	1
Head of Public Protection	2,113	22	-12	2,123	-460	20	7	-33	-6	0	0	-6
Head of Neighbourhood Environmental Services	9,293	0	-65	9,228	-2,685	678	-78	-176	424	-33	-20	371
Head of Leisure and Culture	2,060	0	189	2,249	-890	131	169	-193	107	0	-129	-22
Town Centre Management	-1,446	0	-139	-1,585	-260	5	49	-41	13	0	0	13
	12,227	22	9	12,258	-4,295	834	146	-441	539	-33	-149	357
<u>Director of Finance and Support</u>												
Director of Finance and Support	291	0	127	418	0	0	-48	-2	-50	0	0	-50
Head of Finance and Assets	8,075	0	54	8,129	-856	0	-205	-535	-740	0	0	-740
Head of Revenues and Benefits	-133	0	75	-58	-851	59	-34	322	347	0	-99	248
Head of Customer Services and ICT	6,738	0	-46	6,692	-702	24	-15	-49	-40	0	0	-40
Head of Human Resources	1,972	0	-270	1,702	-418	13	28	-168	-127	0	0	-127
Head of Procurement	190	0	9	199	-20	10	9	-12	7	0	0	7
	17,133	0	-51	17,082	-2,847	106	-265	-444	-603	0	-99	-702
<u>Director of Planning and Regeneration</u>												
Director of Planning and Regeneration	201	0	44	245	0	0	-6	0	-6	0	0	-6
Head of Planning	1,869	133	-38	1,964	-462	13	-105	147	55	0	0	55
Head of Regeneration and Development	761	83	-3	841	-206	0	-70	27	-43	5	0	-38
	2,831	216	3	3,050	-668	13	-181	174	6	5	0	11
<u>Assistant Chief Executive</u>												
Assistant Chief Executive	505	0	8	513	-89	0	-32	-32	-64	0	0	-64
Head of Policy and Community Engagement	3,016	11	-79	2,948	-345	190	30	-183	37	0	0	37
Head of Performance and Improvement	378	150	2	530	-45	0	-21	-6	-27	0	0	-27
Director of Northampton Local Strategic Partnership	40	0	4	44	0	0	1	-31	-30	0	0	-30
Chief Executives	104	0	151	255	-195	0	-21	21	0	0	0	0
	4,043	161	86	4,290	-674	190	-43	-231	-84	0	0	-84
<u>Borough Solicitor</u>	1,171	0	4	1,175	-298	-28	-40	-7	-75	0	0	-75
<u>Director of Housing</u>												
Director of Housing	172	0	10	182	0	0	-7	2	-5	0	0	-5
Head of Strategy, Investment and Performance	227	0	-1	226	-26	0	-140	138	-2	0	0	-2
Head of Landlord Services	0	0	0	0	0	0	0	0	0	0	0	0
Head of Housing Needs and Support	1,073	0	-60	1,013	-617	3	-113	51	-59	0	0	-59
	1,472	0	-51	1,421	-643	3	-260	191	-66	0	0	-66
Total General Fund Controllable Revenue Budget	38,877	399	0	39,276	-9,425	1,118	-643	-758	-283	-28	-248	-559

Key

A positive variance indicates a budget overspend and a negative variance indicates a budget underspend

Analysis of Savings and Efficiencies Contained within the G

Achievable savings are denoted in Green

Unachievable savings are denoted in red.

Portfolio Holder	Director	Directorate
Paul Varnserry	C Boden	Assistant Chief Executive
Cllr Church	D Bailey	Director of Planning and Regeneration
Cllr Woods	I Procter	Director of Finance and Support
Cllr Woods	I Procter	Director of Finance and Support
Cllr Woods	I Procter	Director of Finance and Support
Cllr Woods	I Procter	Director of Finance and Support
Cllr Woods	I Procter	Director of Finance and Support

Cllr Woods	I Procter	Director of Finance and Support
Cllr Woods	I Procter	Director of Finance and Support
Cllr Perkins	I Procter	Director of Finance and Support
Cllr Perkins	I Procter	Director of Finance and Support
Cllr Beardsworth	L Wearing	Director of Housing
Cllr Hoare	D Kennedy	Borough Solicitor
Cllr Varnsvery	J Seddon	Director of Environment and Culture
Cllr Varnsvery	J Seddon	Director of Environment and Culture

Cllr Crane	J Seddon	Director of Environment and Culture
Cllr Crane	J Seddon	Director of Environment and Culture
Cllr Crane	J Seddon	Director of Environment and Culture
Cllr Crane	J Seddon	Director of Environment and Culture

Cllr Crake	J Seddon	Director of Environment and Culture
Cllr Crake	J Seddon	Director of Environment and Culture
Cllr Varnserry	J Seddon	Director of Environment and Culture
Cllr Varnserry	J Seddon	Director of Environment and Culture
Cllr Varnserry	J Seddon	Director of Environment and Culture
Cllr Crake	J Seddon	Director of Environment and Culture
Cllr Crake	J Seddon	Director of Environment and Culture
TOTAL		

General Fund Revenue Budget 2009/10, 2010/11 and 2011/12

Head of Service	Key Service Area
Head of Policy and Community Engagement	Community Developments
Head of Planning	Development Control
Head of Human Resources	Corporate Manager (Human Resources)
Head of Human Resources	Corporate Manager (Human Resources)
Head of Human Resources	Corporate Manager (Human Resources)
Head of Customer Services and ICT	Administrative Services
Head of Customer Services and ICT	Administrative Services

Head of Customer Services and ICT	Customer Access
Head of Customer Services and ICT	Administrative Services
Head of Procurement	Procurement
Head of Revenues and Benefits	Benefits
Head of Housing Needs and Support	Call Care
Borough Solicitor	Legal
Head of Leisure and Culture	Leisure
Head of Leisure and Culture	Leisure

Head of Neighbourhood Environmental Services	Domestic Refuse
Head of Neighbourhood Environmental Services	Public Conveniences
Head of Neighbourhood Environmental Services	Domestic Refuse
Head of Neighbourhood Environmental Services	Parks and Open Spaces

Head of Neighbourhood Environmental Services	Parks and Open Spaces
Head of Neighbourhood Environmental Services	Parks and Open Spaces
Head of Public Protection	Community Safety
Head of Public Protection	Licensing
Head of Public Protection	Community Safety
Head of Public Protection	Environmental Protection
Town Centre Management	Bus Station

Saving Reference as per Report to Full Council	Nature of Saving
MTPS78	Level 2 MTP
OI16	Level 1 Income
EGR313	Budget Realign
ESN63	Efficiency
MTPS116B	Level 1 MTP
ESN137	Efficiency
MTPS12	Level 1 MTP

MTPS27/50/ 51	Level 2 MTP
MTPS13	Level 2 MTP
MTPS703	Level 2 MTP
ESN134	Efficiency
EGR119	Budget Realign
MTPS727	Level 2 MTP
OI1	Level 1 Income
MTPS204C	Level 2 MTP

014	Level 1 Income
MTPS31/31b	Level 2 MTP
MTPS211	Level 2 MTP
MTPS32	Level 2 MTP

MTPS715	Level 2 MTP
MTPS716	Level 2 MTP
ESN45	Efficiency
OI14	Level 1 Income
OI10	Level 1 Income
MTPS208	Level 2 MTP
ESP22	FYE of Prior Decision

Detail	2009/10 Target	2009/10 Forecast Savings Shortfall / (Excess)
Community Centre efficiencies - Review management arrangements to balance income and expenditure	(190,000)	190,000
Charging for pre-planning and other planning fees	(15,000)	13,000
Reduction in budget for photocopying as forecasted year end spend is less than budget.	(4,000)	2,700
With the implementation of Agresso 5.5, the external consultancy support will no longer be needed and will cease.	(8,000)	4,670
Delete relocation expenses	(17,480)	5,600
Further savings in postal costs due to recently introducing the clean mail contract following the VFM exercise.	(5,000)	5,000
Use first class mail for urgent mail only	(7,000)	7,000

Closure of Weston Favell Housing Office	(53,312)	3,000
Implementation of E Benefits will lead to a reduction in process time and electronic vs. paper based system lead to staff savings of 2 fte on the basis that it is implemented by 31st March 2009.	(37,286)	9,000
Procurement Restructure	(20,000)	9,608
Housing Benefit & Council Tax Benefit to current level of Benefit/Subsidy	(296,372)	59,059
Savings on electricity for call care	(2,500)	2,500
Restructuring of Borough Solicitors	(50,000)	4,279
Increased income based business growth, Corporate DD's, On-line DDs and Swimming DDs.	(308,000)	31,000
Improved management control of expenditure on waged staff in Leisure	(100,000)	100,000

<p>Increase the bulky waste collection fee from £10 for 3 items to £25 for 3 items to cover the costs of delivering the service. This is in line with other councils.</p>	<p>(90,000)</p>	<p>90,000</p>
<p>Reprovision of toilet facilities utilising the Richmond scheme of using local businesses in the town.</p>	<p>(51,730)</p>	<p>37,000</p>
<p>Replacing permanent staff with temp staff as and when they leave</p>	<p>(385,254)</p>	<p>200,000</p>
<p>Reduce level of service for grounds maintenance i.e. grass cutting, less flowers, hanging baskets etc Proposed reduction of 7 vacant posts.</p>	<p>(332,533)</p>	<p>136,000</p>

Introduction of wild flower areas as opposed to mowing regime	(23,000)	23,000
Reduce frequency of mowing of grass on NCC land - i.e. verges- throughout the Borough, reducing the subsidy to NCC.	(192,000)	192,000
Saving achieved by making a contracted post permanent at a lower cost with no adverse impact on current activities within Crime and Disorder Support Services	(4,862)	4,862
Increase in fees for driver, vehicle, operator and gambling licences	(29,580)	8,580
Project bid led by Police with WNCD for GAF3 funding on CCTV Monitoring for Business area of Brackmills	(55,000)	4,800
Restructure public protection service to support the introduction of a geographic focus to service delivery at a neighbourhood level, in conjunction with Neighbourhood Environmental Services	(186,000)	2,700
Prior Year Decision Adjustments - Bus Station Cleaning	(10,000)	5,000
	(9,424,462)	1,117,267

Unachieved Savings	1,150,358
Overachieved Savings	(33,091)
Net Unachieved Savings	1,117,267

Progress Achieved to Date	Agreed Future Management Actions
Consultation proceeding with centre managers. Detailed proposals on restructure of caretaking / cleaning functions underway. This will not be achieved in 2009/10 although an alternative MTP option has been submitted for future years.	
The income target will not be achieved to date approximately £1,300 has been generated. An option has been put forward as part of the budget setting process to reduce this budget.	Fees introduced 1st June as agreed at Cabinet. Continue to monitor project throughout financial year with monitoring report to Cabinet at the appropriate time
This saving is unlikely be achieved. This shortfall will be offset by the surplus at Publication.	Manager has reviewed actual expenditure and recharged cost to other users. Continue monitoring is in place which aims to reduce shortfall.
Further consultancy services are required by Human Resources following the upgrade of Agresso. The cost also includes the provision of training to new staff on the new system.	Manager does not anticipated further expenses and part of the cost is covered by the training budget (£3,330).
A shortfall in HR is related to the relocation allowance of the Head of Service. Allowance covered the period up to November 2009 and will not have pressure on future year's budget.	HR does not anticipated further expenses on relocation and shortfall is offset by the surplus on employee budget.
Potentially due to volumes and prices, as not using cleaner mail, the postage budget is set to overspend.	Investigation into increase expenditure and measures to be taken to reduce the overspend.
Budget reduced	Postage budget looks to overspend, investigation and measures to be taken to minimise the overspend.

Office was vacated end of Sept 09. 3 months relief on NNDR has been requested. There is a possibility of letting premises to PCT, this would generate additional income.	
This saving has been offset in part by DWP grant of £18K, the remainder is to be found within the facilities restructure. The post room supervisors post has been vacant for 2 months and this savings has attributed to this savings.	In 2010/11 a post will potentially need to be deleted as there is no DWP funding to fund the post as in 2009/10.
This saving is offset by £8048 on vacancy factor and £1560 on pay increment of a post which had not been included when the budgets were set.	
This forecast is based on calculations of budget to mid year estimates.	
This saving is unlikely to be achieved. This is due to increased utility costs. It is also due to the sheltered housing team relocating to Exeter Place and sharing services as part of the project to close Weston Favell District Office.	To ensure that all meters have accurate readings taken in a timely manner.
Consultation undertaken and final structure published.	New structure active from 1st April 2009
Due to timing issues of recruiting Leisure Centre Managers employed to reduce overall wage bill.	Will be reviewed after 3 months, and then monthly thereafter.

Prices have been increased however Bulky Waste collection is reducing in comparison to the previous year. Many stores that sell white goods are now offering a service to take the old appliance away when the new one is delivered therefore impacting on the amount of NBC collections. The current economic climate may also be impacting on the purchase of new appliances to replace old ones. The increase in fees may also be a factor.	Monitoring of income and volumes collected against the predicted income stream. Other savings options are being looked into by the Head of Service.
Richmond type scheme to be incorporated into the Northampton Town Centre Neighbourhood working project. Currently no plans have been implemented and the head of service is looking to close toilets. This forecast may reduce if toilets are closed.	The project will be closely monitored in it's development and implementation. The Richmond type scheme to be in place before existing toilets close.
£185k has been achieved to date. The remaining £200k should be met through the replacement of vacant posts with agency staff however given the current economic climate staff turnover is low and it is unlikely the full saving can be met.	Monitoring the implementation by modelling the replacement of staff. Contingency plan to be put together in case the required level of leavers is not achieved. The Head of Service is currently looking into ways of achieving this efficiency saving.
£195k has been achieved. £17k which is currently unachieved is due to overtime worked in parks during the weekend. This MTP was to reduce staffing levels in the parks and grounds maintenance however the overtime is now increasing the staffing levels back up and therefore effects this MTP option. £119k relates to a reduction in management that has not happened. The Head of Service looking into ways of achieving this efficiency saving. These include restructure of the service	The Head of Service is currently looking into ways of achieving this efficiency saving.

Currently unachieved but plans in place to meet the saving.	The Head of Service is currently looking into ways of achieving this efficiency saving.
Currently unachieved.	The Head of Service is currently looking into ways of achieving this efficiency saving.
This will not be achieved as superseded by removal of CASPAR Officer post	
Report on change in fees has been approved by Cabinet and Council on 10 June after objections.	New fees advertised as required. New fees now to be collected from 29 June 2009 which has decreased income due to delay
Project start delayed until May 09 will bring 11/12ths of anticipated income. Savings will be confirmed when process complete	Will seek to find elsewhere
Restructure has been completed but has not achieved the savings in total	Will seek to find elsewhere
Savings will not be achieved as a consequence of the HSE Action Plan works	

Appendix 2

Key Risks Identified - For Detailed Information Refer to the Council Risk Register
Risk that insufficient training can be given to ensure successful launch of the scheme will result in increased level of complaints. Risk that income will not be generated to insufficient take up of the service
Staff should not feel that they cannot send mail first class if required

Possible negative publicity due to the withdrawal of face to face access point in a socially deprived area of town.

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Reduced income to the authority.

Current budget allocation allows for the toilets to be open for six months, the project will need to be in place before this. Other risks include customer dissatisfaction.

The longer it takes to achieve the more staff we will need to replace.

Potential redundancy costs.

Potential redundancy costs to be found from within the service reducing the savings achieved.
Potential redundancy costs to be found from within the service reducing the savings achieved.
Increase Public dissatisfaction /complaints about service to Council/Ombudsman etc

Appendices

2



**NORTHAMPTON
BOROUGH COUNCIL**

Item No.

10C

CABINET REPORT

Report Title	HOUSING REVENUE ACCOUNT BUDGET MONITORING 2009/10 – POSITION AS AT 30th NOVEMBER 2009
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AGENDA STATUS: PUBLIC

Cabinet Meeting Date:	20 January 2010
Key Decision:	NO
Listed on Forward Plan:	YES
Within Policy:	YES
Policy Document:	NO
Directorate:	Finance and Support
Accountable Cabinet Member:	Cllr D Perkins
Ward(s)	Not Applicable

1. Purpose

- 1.1 This report identifies the projected outturn position for the current financial year for the Housing Revenue Account (HRA). Appendix 1 of the report provides further background information. The report also refers to management action being taken in response to the forecast and to minimise the impact on the Council's HRA working balances at the end of the financial year.

2. Recommendations

- 2.1 Cabinet to note the report and the forecast overspend of £122k on the Net Cost of Services.

3. Issues and Choices

3.1 Report Background

- 3.1.1 The Council approved the 2009/10 HRA Budget on 19th February 2009. The 2009/10 budget preparation process delivered a balanced budget.

3.2 Issues

- 3.2.1 Budget Managers, in conjunction with Finance, have undertaken a review to identify any emerging issues that cannot be contained within the Current Budget with appropriate management action. Appendix 1 presents the identified variations from the Current Budget that are giving rise to a forecast net overspend of £122k for Net Cost of Services.
- 3.2.2 Working Balances - It should be noted that Working Balances carried forward from outturn are higher than the budget by £160k. This variance was detailed in the HRA Budget 2008/09 Outturn Report presented to Cabinet on 29th June 2009. There was an additional £2.493m moved into earmarked reserves.
- 3.2.3 Housing Restructure - A fundamental review of the staffing structure of the Housing Service has been undertaken. There has been no overall net increase in the cost of services.
- 3.2.4 HRA Subsidy & Dwelling Rent Income – net forecast overspend of £2k. The Current Budget figures reflect the Council's decision to reduce the approved rent increase (5.65% average) and implement a lower increase (approx' 2.82% average) from May 2009 in light of the Governments announcements post budget setting. The impact is lower than budgeted rental debits due of £910k, offset by a reduction in the amount of HRA negative subsidy payable to CLG of £1,113k. The Dwelling Rent income and Void Loss monitoring is attached at Appendix 2 in graphical format.
- 3.2.5 Repairs and Maintenance – forecast overspend of £440k. This forecast reflects the trend of the current level of expenditure on void properties and responsive repairs to housing stock. The Current Budget includes the virement of £1m that was proposed in the Period 7 Monitoring Report. This forecast will be subject to further ongoing scrutiny to determine the level of capitalisation of costs and any other factors that can mitigate the projected overspend.
- 3.2.6 General Management – forecast underspend of £41k. This represents a decrease of £56k to the previously reported forecast overspend of £15k. This forecast includes the additional costs involved in the relocation of Housing staff and the savings that have resulted from vacant posts across the service.
- 3.2.7 Special Services – forecast underspend of £330k. This forecast primarily relates to employee cost savings across the service that have occurred as a result of vacant posts and lower than expected pension contributions. In addition, there has been a decrease in the running costs in relation to Community Rooms and Brer Court that corresponds to a reduction in the levels of usage.
- 3.2.8 Rents Rates Taxes & Other Charges – forecast overspend of £50k. This reflects the estimated increase in Council Tax due on empty properties, This

is as a result of a change to the Council Tax rules that no longer allow relief to be claimed on properties that have been vacant for longer than six months.

3.3 Other Areas for Information

- 3.3.1 An emerging issue has been identified relating to the settlement of equal pay claims. Due to ongoing negotiations, no figures have yet been included in the budget forecasts for this issue.
- 3.3.2 As indicated above, managers are already taking action to minimise the overall net impact on HRA working balances. This includes identifying where there is scope for efficiencies without detriment to public service delivery, and capitalisation of specific costs. Managers must continue to rigorously assess areas in which further efficiencies can be achieved to manage forecast overspends within the overall budget. Particular attention should be given to Property Maintenance and the management of the employee establishment.
- 3.3.3 Management anticipate a reduction in the Contribution to Earmarked Reserves of £1m in order to maintain a balanced budget in the current year. However, it should be noted that this reduction may impact upon future years capital programmes and could potentially lead to an increase in borrowing to fund the ongoing HRA Capital Programme.

3.4 HRA Working Balances and Reserves

- 3.4.1 The HRA Working Balances and Reserves are summarised in Table 1 below.

Table 1 – HRA Working Balances and Reserves

	Balance 31.3.09 £'000
HRA Balances on Account	
HRA Working Balance	6,124
HRA Capital Programme Earmarked Reserve	7,000
HRA Leaseholders Earmarked Reserve	1,000
HRA PFI Reserve	175
TOTAL HRA BALANCES	14,299

- 3.4.2 **Capital Programme Reserve:** The opening balance for 2009/10 is £7m. The Reserve has been set aside to fund future Capital Programmes and is considered prudent in order to support the delivery of the outcomes of the HRA Asset Management Strategy and the HRA Business Plan. The Cabinet meeting of the 5th August 2009, (Report Item 13), approved a further £100k to be made available from the HRA Capital Programme Earmarked Reserve to support the next stage of the PFI process. See 3.4.4 below.
- 3.4.3 **Leaseholder Capital Works Reserve:** The opening balance for 2009/10 is £1m. The Reserve was set up in 2007/08 (see Cabinet Report 26th June 2008), in anticipation of the requirement for a sinking fund or similar

mechanism to account for changes made for capital works and the actual costs of Capital repairs. A Leaseholder charging review is being undertaken and will be subject to a separate report when complete.

- 3.4.4 **HRA PFI Reserve:** The opening balance for 2009/10 is £175k. The reserve was set-aside in 2008/09 to support the work towards the PFI bid to Government for PFI credits to enable transformational change to part of the HRA stock. This reserve has been increased to £275k, (see 3.4.2 above).
- 3.4.5 **HRA Working Balance:** The opening balance for 2009/10 is -£6,124k. The forecast Outturn for the year is -£6,288k, showing a net increase to the Working Balance of £164k. This represents an decrease of £122k from the budgeted increase of £286k (see Appendix 1). This is summarised in Table 2 below. The forecast Outturn position will be subject to continued and increasing scrutiny as the financial year progresses and more detailed analysis is possible.

Table 2 HRA Working Balances

	Revised £000	Forecast £000	Variance £000
Opening Balance	(6,124)	(6,124)	
Net Transfer (to)/from Working Bal'	(286)	(164)	122
Working Balance C/Fwd	(6,410)	(6,288)	122

3.5 Choices (Options)

- 3.5.1 Cabinet is invited to note the report and the actions being taken to contain net expenditure to minimise the impact on the HRA's working balances at the end of the financial year.
- 3.5.2 Options for further constraining expenditure without detriment to front line service delivery must be considered corporately to address the projected net overspend.

4. Implications (including financial implications)

4.1 Policy

- 4.1.1 Appendix 1 shows that the controllable revenue budget for the HRA is forecast to be overspent by £122k.

4.2 Resources and Risk

- 4.2.1 This report informs the Cabinet of the provisional HRA budget outturn as at the end of November 2009.
- 4.2.2 There will be an ongoing impact on future year budgets of not delivering services or overspending budgets.

4.3 Legal

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

4.4 Equality

4.4.1 Not applicable

4.5 Consultees (Internal and External)

4.5.1 Chief Executive, Directors, Corporate Mgrs, and Budget Managers have been consulted.

4.6 How the Proposals deliver Priority Outcomes

4.6.1 Monthly budget monitoring relates to improving the CPA Use of Resources score, which contributes to the priorities of continuing to improve our weakest services and continuing to strengthen our financial management.

4.7 Other Implications

4.7.1 Not applicable

5. Background Papers

5.1 Cabinet Reports

- 29 June 2009 HRA Budget Outturn Position 2008/09
- 05 Aug 2009 HRA Budget Monitoring 2009/10 – Position at 31st May 2009
- 23 Sep 2009 HRA Budget Monitoring 2009/10 – Position at 30th June 2009
- 14 Oct 2009 HRA Budget Monitoring 2009/10 – Position at 31st July 2009
- 04 Nov 2009 HRA Budget Monitoring 2009/10 – Position at 31st Aug 2009
- 25 Nov 2009 HRA Budget Monitoring 2009/10 – Position at 30th Sept 2009
- 16 Dec 2009 HRA Budget Monitoring 2009/10 – Position at 31st Oct 2009

Isabell Procter, Corporate Director, ext 8757

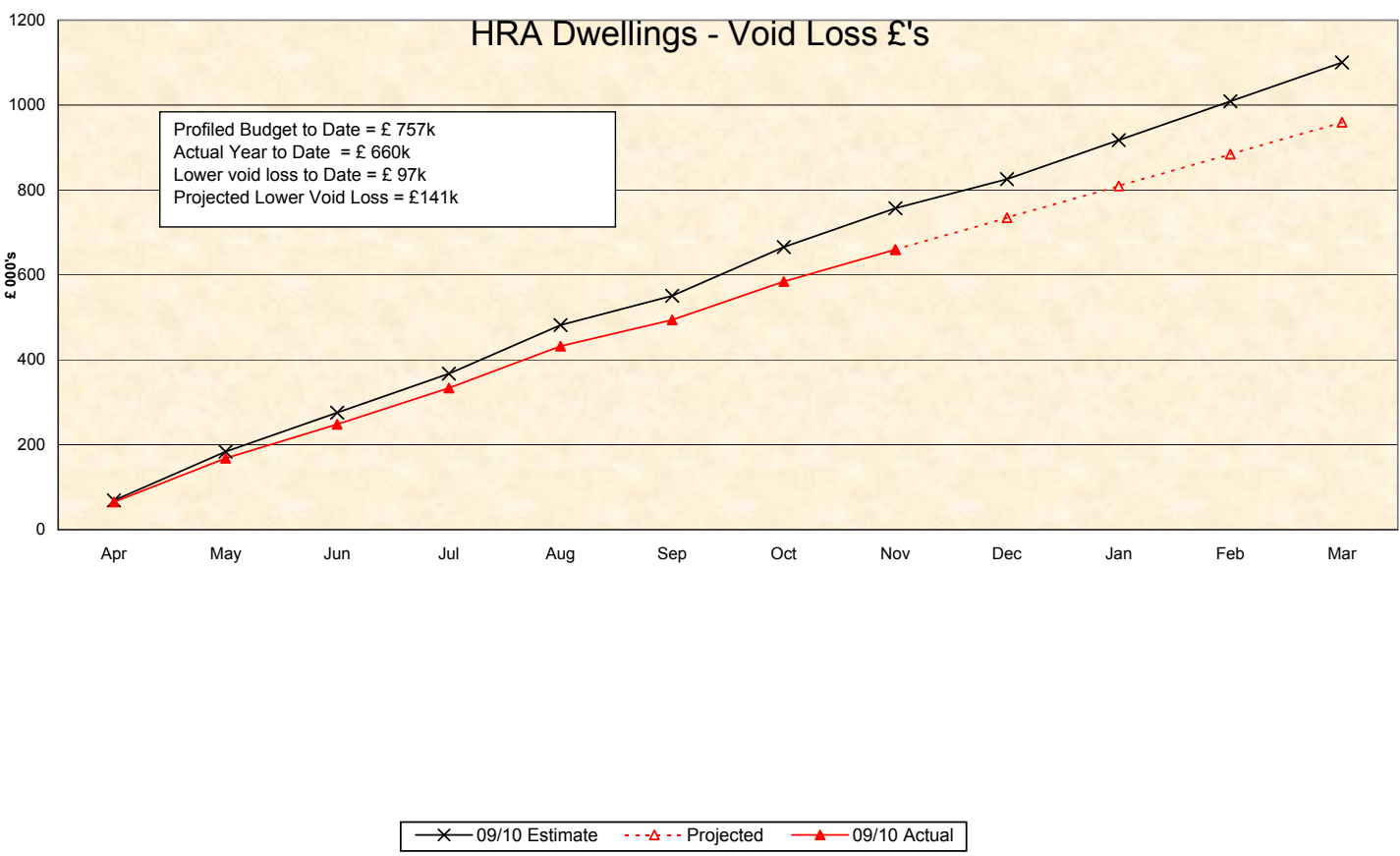
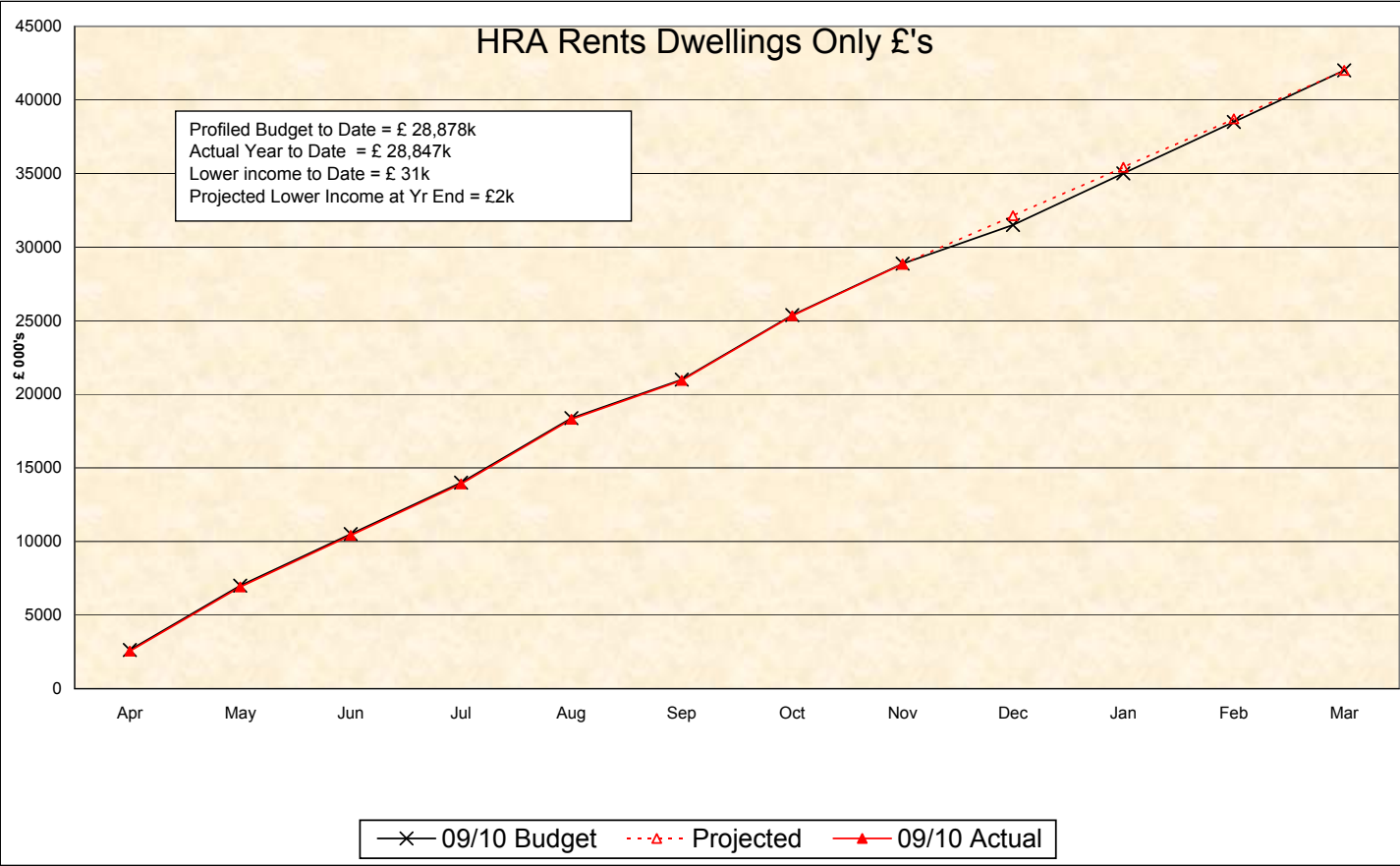


NORTHAMPTON
BOROUGH COUNCIL

HOUSING REVENUE ACCOUNT
FINANCIAL YEAR 2009/2010

For Period Ending: 30th November 2009

	2009/2010 £,000's Current Budget	2009/2010 £,000's Actuals	2009/2010 £,000's Forecast Outturn	Variance
INCOME				
Rents - Dwellings Only	-42,170	-28,799	-42,168	2
Rents - Non Dwellings Only	-1,157	-783	-1,157	0
Service Charges	-1,471	-988	-1,471	0
Other Income	-205	-92	-205	0
Total Income	-45,002	-30,662	-45,000	2
EXPENDITURE				
Repairs and Maintenance	10,501	7,643	10,941	440
General Management	4,589	1,929	4,548	-41
Special Services	3,467	1,564	3,137	-330
Rents, Rates, Taxes & Other Charges	45	52	95	50
Increase in Bad Debt Provision	400	267	400	0
Rent Rebate Subsidy Deductions	1,324	883	1,324	0
Housing Revenue Account Subsidy	9,570	6,380	9,570	0
Total Expenditure	29,895	18,717	30,015	120
Net Cost of Services	-15,107	-11,945	-14,985	122
Net Recharges to the General Fund	5,392	3,145	5,392	0
Interest & Financing Costs	-28	-16	-28	0
Depreciation/MRA	7,957	4,642	7,957	0
Contribution to Earmarked Reserves	1,500	875	1,500	0
Net Transfer From / (To) Working Balance	-286	-3,300	-164	122
Working Balance b/f	-6,124	-6,124	-6,124	0
Working Balance Outturn	-6,410	-9,424	-6,288	122



Appendices

6



NORTHAMPTON
BOROUGH COUNCIL

Item No.

10D

CABINET REPORT

Report Title	CAPITAL PROGRAMME 2009-10 – POSITION AS AT END OF NOVEMBER 2009
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AGENDA STATUS: PUBLIC

Cabinet Meeting Date:	20 January 2010
Key Decision:	YES
Listed on Forward Plan:	YES
Within Policy:	YES
Policy Document:	NO
Directorate:	Finance & Support
Accountable Cabinet Member:	David Perkins
Ward(s)	Not Applicable

1. Purpose

1.1 The purpose of the report is to:

- Request approval for capital schemes to be added to the Council's capital programme for 2009-10
- Request approval for variations to capital schemes in the Council's capital programme for 2009-10
- Advise Cabinet on the latest 2009-10 capital programme monitoring position, including forecast outturns and slippage into 2010-11.
- Advise Cabinet as to how the 2009-10 capital programme will be funded

2. Recommendations

2.1 That Cabinet approve the following schemes to be added to the capital programme for 2009-10.

Scheme Reference, Description & Directorate	Narrative	2009-10 £	Future Years £	Funding Source
2009-10/GF070 Grimebusters Environment & Culture	Purchase of two trailer mounted pressure washers and a bespoke vehicle for street washing and gum removal. The vehicle and equipment would be used to deliver an enhanced street scene with washed streets (targeting the town centre), free of gum and a reduction in graffiti.	84,000	-	NEIP
2009-10/GF071B Carbon Management Projects – Lighting and Timeclocks Environment & Culture	To undertake a range of energy saving projects to reduce the carbon emissions of the Council, in line with the adopted policy and terms and conditions of the external grant funding. The work will include lighting upgrades to: Greyfriars bus station, Westbridge Cedos block, Camp Hill Depot and Fish Street offices. Timeclocks will be installed at the Central Museum, Fish Street offices and Westbridge Admin block. Passive infrared lighting will be installed at Lings Forum.	52,721	-	50% Prudential Borrowing, 50% Salix
2009-10/GF072 Partnership Information Hub (GIS) Finance & Support	To create a Northamptonshire partnership information hub. This will ensure that there is a comprehensive central information point for demographic, socio-economic and general geographic information.	121,000	49,000	NEIP

Further details of these appraisals can be seen at Annex A of this report.

2.2 That Cabinet approve the following variations to schemes in the capital programme for 2009-10.

Scheme Reference, Description & Directorate	Narrative	2009-10 £	Future Years £	Funding Source
Budget Increase				
2008-09/GF073 V03 Money 4 Youth Assistant Chief Executive	Additional funding of £25k has been awarded to NBC for floodlights and a youth shelter at the multi-use games area in St Davids. The original budget for this project was an estimate of the funding that would be received, the amount in the capital programme is £14,632 less than the funding received, therefore the budget needs to be increased by a net amount of £10,368.	10,368	-	GOEM
Budget Decrease				
2009-10/GF063B V01 Lings Forum Lighting Upgrade Environment & Culture	Further testing has shown that this project is not compliant with the terms and conditions of the Salix funding. Other projects will be submitted to utilise this funding, therefore there are no savings as a result of this variation.	(39,444)	-	50% Prudential Borrowing, 50% Salix
Neutral Budget Impact				
2007-08/CS012 V06 Kitchen Replacement (Backlog) Housing HRA	Additional kitchens requiring urgent replacement and kitchens that are in homes in a general poor state of repair have resulted in the average kitchen cost being higher than estimated.	80,000	-	MRA
2008-09/HRA007 V04 Complete Roofs Housing HRA	An additional roof replacement arising out of a responsive repair issue required capital replacement over and above this year's original programme.	45,000	-	MRA
2009-10/HRA002 V02 Cooper Street Heating Improvements – Phase 2 Housing HRA	This project has been tendered and has come in well within budget. Sizeable contingencies are required to ensure all the technical issues associated with a complex district heating scheme can be resolved quickly and efficiently, to maximize tenant comfort and satisfaction, however there is still sufficient budget to finance other key schemes delivering decent homes.	(100,000)	-	MRA

2009-10/HRA004 V05 Decent Homes & Poor Condition Housing HRA	There are some decent homes issues associated with structural defects and key decent homes failures that need immediate attention in order that the council does not breach its right to repair duty under the Landlord and Tenants Act. These are works to be completed earlier than expected but that would have been attributed to decent homes budgets later in the investment programme.	(85,000)	-	MRA
2009-10/HRA007 V02 Structural Repairs Housing HRA	Following reports of leaks and other reported issues to the roof at St Katharine's Court in Spring Boroughs inspection has shown that the parapet wall to the top of this ten-story block is in a dilapidated state and requires urgent attention. The works are sufficient in scope and nature to warrant capital expenditure.	10,000	-	MRA
2009-10/HRA014 V03 Door Entry Replacement Housing HRA	Additional urgent door replacements and upgrades are required to defend vulnerable blocks from serious antisocial behaviour such as arson, and deliberate damage, where the risk to property and people is considerable.	50,000	-	MRA

Further details of these variations can be seen at Annex B of this report.

2.3 That Cabinet note:

- a) The capital programme monitoring position as at end of November 2009, including forecast outturns, revenue expenditure funded by capital and slippage into 2010-11, as set out at Annex C, D and E.
- b) The funding arrangements for the 2009-10 capital programme as set out at Annex F.

3. Issues and Choices

3.1 Report Background

- 3.1.1 The latest approved capital programme for 2009-10 was approved by Cabinet on 16 December 2009.

3.2 Issues

Approval of Capital Projects and Project Variations

- 3.2.1 Approval is sought to add schemes to the Council's capital programme for 2009-10, as set out at paragraph 2.1 above.
- 3.2.2 Approval is sought for variations to schemes that are already in the Council's capital programme for 2009-10, as set out at paragraph 2.2 above.
- 3.2.3 All proposals put forward for approval with this report have been submitted on capital appraisal or variation forms, which have been signed off by, amongst others, the relevant Director, the Section 151 Officer and the appropriate Cabinet Portfolio Holder. Copies of the capital project appraisals and variation forms, which are listed as background papers, are available on request.
- 3.2.4 The funding implications of proposed programme changes are discussed in the capital programme funding section of this report at paragraphs 3.2.13 to 3.2.27 below.

Capital Programme position as at end of November 2009

- 3.2.5 In line with best practice and with CAA requirements, capital programme monitoring information is brought to Cabinet on a monthly basis. The information in this report relates to the period to the end of November 2009.
- 3.2.6 Annex C shows the position at summary level as at the end of November 2009. The information includes
- Latest proposed capital programme, incorporating the original programme for 2009-10, slippage from 2008-09, other agreed changes, and the further amendments and additions proposed in this report.
 - Actual expenditure to the end of November 2009
 - Planned expenditure to the end of the year
 - Forecast outturn for the year
 - Forecast slippage to 2010-11
- 3.2.7 Annex D provides a summarised narrative of project variances at service level.
- 3.2.8 The forecast outturn position and forecast slippage position on each project have been put together from information supplied by budget managers, who are each responsible for financial control of their projects.
- 3.2.9 Actual capital programme expenditure to the end of November 2009 is £7.854m. This represents 34.93% of the latest approved budget of £22.486m, and 35.5% of the forecast outturn figure of £22.123m
- 3.2.10 Capital schemes naturally take time to get up and running due to the need, for example, for contract tendering and consultation; and invoices are not due for payment until goods are received or works are complete, or part complete in the case of staged payments. Therefore the percentage of spend is

reasonable for this time of year, however it remains important to closely monitor the forecast outturn position to ensure that forecasts remain accurate. Each capital programme scheme will continue to be monitored through regular meetings with budget managers and the forecasts will be challenged where they do not appear realistic.

3.2.11 Of the total capital programme forecast underspend of £363k at year-end

- £229k overspend will be covered through the approval of project appraisals and project variations brought to this Cabinet
- There is a forecast overspend of £52k on the Choice Based Lettings Sub-Regional scheme. It is now unlikely that the whole of this overspend will materialise in 2009-10 as the project has not yet started; this figure will be updated once the contract is signed. DCLG have provided funding towards the cost of this project with the remaining being funded by Northampton Borough Council and Daventry District Council. A project variation will be brought to Cabinet once the project plan has been agreed with the contractor.
- There is a forecast overspend of £510k on the Upton Country Park Pedestrian and Cycle Bridge. The revised cost is currently being challenged and the budget holder is investigating the section 106 funds available for this project. A project variation will be brought to Cabinet once these issues have been resolved.
- There is a forecast underspend of £208k on the IT Network Replacement Programme. The budget for this project was originally profiled over two financial years, however due to slippage from 2008-09 the total budget is now in 2009-10. Once the phasing of this project is complete this figure will be revised and a variation will be brought to Cabinet.
- There is a forecast underspend and slippage on the following projects: One Stop Shop, CRM (£59k), Ecton Lane Improvements 2 (£250k), Housing and Planning Delivery Improvements (£150k) and Decent Homes & Poor Condition (£500k). The amounts on these projects are subject to change and for this reason project variations will not be brought to Cabinet. These figures will be updated on a monthly basis as better information becomes available.

3.2.12 Included in the above figures are schemes that are now classed under accounting regulations as revenue expenditure funded by capital. The expenditure on these schemes to the end of November is £2.097m, the latest approved budget is £5.634m and the forecast outturn for these schemes is £6.143m. Further details of these schemes can be seen at Annex E of this report.

Capital Programme Funding

3.2.13 All schemes in the capital programme, whether included in the original programme, arising from slippage, or added to the programme during the year, are fully funded, either from borrowing, internal resources or from external funding arrangements.

3.2.14 The financing of the programme for 2009-10 is set out at Annex F.

3.2.15 Increases or reductions in overall financing requirements resulting from the appraisal and variations brought to Cabinet with this report, excluding self balancing items are as follows:

Scheme	2009-10 Value	Future Years Value	Funding Source/Impact
	£	£	
Grimebusters	84,000	-	Northamptonshire Improvement & Efficiency Partnership (NIEP)
Money 4 Youth	10,368	-	Government Office for the East Midland (GOEM)
Partnership Information Hub	121,000	49,000	Northamptonshire Improvement & Efficiency Partnership (NIEP)

3.2.16 There is no impact to the overall financing requirement as a result of the new carbon management projects or the variation to an existing project. The funding for these was approved as part of the 2008-09 capital programme and was already included in the financing as earmarked awaiting projects.

3.2.17 The value of useable RTB capital receipts received to the beginning of December is £166k. These will be placed in a capital reserve and used in the future to support the HRA programme.

3.2.18 The value of non-RTB capital receipts received to the end of November is £210k. £100k will be placed in a capital reserve, in line with the capital strategy, as agreed by Council 26 February 2009. £110k has been earmarked to support next year's capital programme.

3.2.19 Changes from the previously reported financing position are summarised in the table below.

Capital Programme 2009-10			
	Programme	Financing	In Year Financing Variance Excess/ (Shortfall)
	£000	£000	£000
Latest approved programme (25 th November Cabinet)	22,486	33,239	10,753
Appraisals brought to this Cabinet	258	254	(4)
Variations brought to this Cabinet	(29)	10	39
RTB Capital Receipts Received	-	26	26
Rounding	-	1	1
Latest proposed programme	22,715	33,530	10,815

3.2.20 The in year funding variance shown above can be broken down as follows:

2009-10 Capital Financing Variance			
	GF	HRA	Total
	£000	£000	£000
Earmarked pending project appraisals 2009-10			
Budgeted Prudential borrowing	24		
Grants and Contributions	55		
Revenue Financing	64		
Capital Reserve			
Non RTB Capital Receipts	100		
Earmarked carry forward to 2010-11			
Budgeted Prudential Borrowing	1,700		
Revenue Reserve		8,208	
Grants & Contributions	199	188	
RTB Capital Receipts		166	
Non RTB Capital Receipts	110		
Rounding	1		
Total	2,253	8,562	10,815

3.2.21 Changes to the carbon management projects have resulted in £112k of unallocated funding. This has decreased by £13k due to the new projects and project variations submitted to this Cabinet. This money is ring fenced for the carbon management scheme and will be required for future projects to meet the terms and conditions of the external funding. The £112k is made up of £24k prudential borrowing, £24k Salix funding and £64k revenue contribution.

3.2.22 Grant funding of £31k for the Choice Based Lettings sub-regional scheme remains unallocated pending the completion of the scoping exercise, and subject to agreement from Daventry DC could be used to part off set the overspend previously discussed in this report.

3.2.23 The re-profiling of the Grosvenor Centre Car Park project, over two financial years, has resulted in £1.7m of prudential borrowing not being required until 2010-11.

- 3.2.24 Detailed work on the cashflow for the Woodside Way project has highlighted that £188k of the HCA grant funding will not be required until next financial year.
- 3.2.25 Capital funding of £170k has been awarded to NBC for the Northamptonshire Information Hub (GIS) project. The expenditure for this project will span over two financial years with £49k of this funding not being required until 2010-11.
- 3.2.26 The expenditure and funding for the Places of Change has been re-aligned. An additional £26k of CLG funding is required in 2009-10 and £150k section 106 is now not required until 2010-11.
- 3.2.27 The amount of £8.208m shown above for the carried forward HRA revenue ear-marked reserve, is needed to fund continuations of the existing HRA programme in future years.

3.3 Choices (Options)

- 3.3.1 Cabinet are asked to approve the inclusion of the capital schemes at paragraph 2.1 into the Council's capital programme and to approve the variations to the agreed capital programme set out at paragraph 2.2.

4. Implications (including financial implications)

4.1 Policy

- 4.1.1 All schemes within the capital programme are within existing policy

4.2 Resources and Risk

- 4.2.1 All schemes included in the capital programme, or put forward for approval, are fully funded, either through borrowing, internal resources or external funding arrangements. The financing of the programme is set out at Annex F.
- 4.2.2 Schemes funded by prudential borrowing have an impact on the revenue budget arising from the repayment of debt principal and interest. Recent changes to regulations and guidance on the repayment of debt principal in the accounts – known as 'minimum revenue provision' or MRP, mean that the annual revenue cost of repayment of debt principal now varies according to the nature of the expenditure, as it is fixed according to the life of the asset. Thus, debt relating to short life assets may have to be paid back over as little as three years, whereas for long life assets it may be over fifty or sixty years. The interest charge is approximately 4% to 4.5% per annum (on current borrowing rates).
- 4.2.3 The revenue costs of all prudential borrowing in the approved capital programme are built into the Council's draft revenue budget for 2010-11 and medium term plans for future years
- 4.2.4 All other revenue budget implications related to the capital projects are set out in the capital project appraisals, and fed into revenue budget planning as

appropriate (i.e. through revenue budget monitoring, budget build or medium term financial planning).

- 4.2.5 Financial and non-financial risks related to the capital projects are addressed in the capital project appraisals.

4.3 Legal

- 4.3.1 Legal implications related to the capital projects are addressed in the capital project appraisals.
- 4.3.2 There are no specific legal implications arising from this report.

4.4 Equality

- 4.4.1 Equalities implications related to the capital projects are addressed in the capital project appraisals. Many of the schemes in the programme are specifically targeted at addressing equalities issues. Project managers are responsible for ensuring that Equality Impact Assessments (EIAs) are completed for their schemes, and that any equalities issues associated with the project are correctly addressed.

4.5 Consultees (Internal and External)

- 4.5.1 Each capital project appraisal and project variation for schemes in the programme has been put together by the Project Manager, in consultation with other officers and the Cabinet Portfolio Holder.

In respect of consultation with stakeholders on individual schemes, details are contained within the capital project appraisals

4.6 How the Proposals deliver Priority Outcomes

- 4.6.1 The extent to which each project meets the Council's objectives and priorities is described within the individual capital project appraisals.
- 4.6.2 The use of capital project appraisals to determine and agree capital schemes in accordance with the objectives and priorities of the authority, and the effective monitoring and reporting of capital programme activity both contribute to improving the CAA Use of Resources score. This supports the Council's priority to be a well-managed organisation that puts our customers at the heart of what we do.

4.7 Other Implications

- 4.7.1 There are no other specific implications arising from this report.

5. Background Papers

- 5.1 Capital programme budget setting and monitoring reports to Cabinet throughout 2009-10

5.2 Capital Project Appraisals

- 2009-10/GF070 Grimebusters
- 2009-10/GF071B CMP Electrical Projects
- 2009-10/GF072 Partnership Information Hun (GIS)

5.3 Capital Project Variations

- 2008-09/GF073 V03 Money 4 Youth
- 2009-10/GF063B V01 Lings Forum Lighting Upgrade
- 2007-08/CS012 V06 Kitchen Replacement
- 2008-09/HRA007 V04 Complete Roofs
- 2009-10/HRA002 V02 Cooper Street Heating Improvements – Phase 2
- 2009-10/HRA004 V05 Decent Homes & Poor Condition
- 2009-10/HRA007 V02 Structural Repairs
- 2009-10/HRA014 V03 Door Entry Replacement

Bev Dixon, Finance Manager – Capital & Treasury, ext 7401

Project Appraisals put forward for Cabinet Approval

A1

1	Project Title	Grimebusters					
2	Appraisal Reference	2009-10/GF070					
3	Directorate	Environment & Culture					
4	Service Block	Environmental, Protective and Cultural Services					
5	Outline description (including specific works)						
	<p>The project is for the purchase of 2 x trailer mounted pressure washers and a bespoke vehicle for street washing/gum removal. The vehicle and equipment would be used to deliver an enhanced Street Scene with washed streets (targeting the Town Centre), free of gum and a reduction in graffiti.</p>						
6	Consequences of not undertaking the project and impact on the community or employees						
	<p>Not undertaking the project would have a negative impact on Northampton Borough Councils ability to provide high standards of cleansing, particularly for the new public realm improvements in the Town Centre. The opportunity of external funding will be missed.</p>						
7	Project budget	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
	Capital costs	84,000	0	0	0	0	84,000
	Revenue consequences	0	0	0	0	0	0
8	Source of capital funding	SCE (R) Single Capital Pot £	Prudential Borrowing £	Major Repairs Reserve £	Grant & 3rd Party Contribs £	Other £	Total £
		0	0	0	84,000	0	84,000
	Funded by Northamptonshire Improvement and Efficiency Partnership (NIEP)						

Project Appraisals put forward for Cabinet Approval

A2

1	Project Title	Carbon management projects - lighting and timeclocks					
2	Appraisal Reference	2009-10/GF071B					
3	Directorate	Environment & Culture					
4	Service Block	Environmental, Protective and Cultural Services					
5	Outline description (including specific works)						
	<p>To undertake a range of energy saving projects at various locations to reduce the carbon emissions of the Council in line with the adopted policy.</p>						
6	Consequences of not undertaking the project and impact on the community or employees						
	<p>Salix fund will not be spent in accordance with requirements. Lighting will remain inefficient and autoboilers and immersion heaters will continue to heat water out-of -hours. Considerable energy and financial saving, and CO2 emission reduction will not be achieved.</p>						
7	Project budget	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
	Capital costs	52,721	0	0	0	0	52,721
	Revenue consequences	0	0	0	0	0	0
8	Source of capital funding	SCE (R) Single Capital Pot £	Prudential Borrowing £	Major Repairs Reserve £	Grant & 3rd Party Contribs £	Other £	Total £
		0	26,361	0	26,361	0	52,721
	Salix funding (already received)						

Project Appraisals put forward for Cabinet Approval

A3

1	Project Title	Partnership Information Hub (GIS)					
2	Appraisal Reference	2009-10/GF072					
3	Directorate	Finance & Support					
4	Service Block	Environmental, Protective and Cultural Services					
5	Outline description (including specific works)						
	<p>To create a Northamptonshire partnership information hub. This will ensure that there is a comprehensive central information point for demographic, socio-economic and general geographic information. This project provides a vehicle that will provide efficiencies in terms of staff time and cost of technology provision by providing a 'one point of call' to allow the public and partners to view and analyse spatial and statistical data for all the public services. By being able to access this hub, more enhanced and cohesive service delivery across Northamptonshire will be promoted. This project will also facilitate initiatives such as 'Total Place' and 'Safer, Stronger Communities' by providing accurate and reliable data and the same data for all users. It will also form part of the backbone for information used in shared services across the county.</p>						
6	Consequences of not undertaking the project and impact on the community or employees						
	<p>The above efficiencies or aids to service and enhanced partnership working will not be met. Also the opportunity for external funding will be missed.</p>						
7	Project budget	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
	Capital costs	121,000	49,000	0	0	0	170,000
	Revenue consequences	0	0	0	0	0	0
8	Source of capital funding	SCE (R) Single Capital Pot £	Prudential Borrowing £	Major Repairs Reserve £	Grant & 3rd Party Contribs £	Other £	Total £
		0	0	0	170,000	0	170,000
	Funded by Northamptonshire Improvement and Efficiency Partnership (NIEP)						

Northampton Borough Council

CAPITAL PROJECT APPRAISAL

2009-10 In Year

1	Project Title	Partnership Information Hub (GIS)	For Finance's use only
2	Appraisal Reference Number	2009-10/GF072	COR (Capital Outturn Return) Category:
3	Directorate	Finance & Support	
4	Service Block	Environmental, Protective and Cultural Services	
5	Outline description of the project, including specific works to be undertaken. <div style="background-color: #cccccc; padding: 10px;"> <p>To create a Northamptonshire partnership information hub. This will ensure that there is a comprehensive central information point for demographic, socio-economic and general geographic information. This project provides a vehicle that will provide efficiencies in terms of staff time and cost of technology provision by providing a 'one point of call' to allow the public and partners to view and analysis spatial and statistical data for all the public services. By being able to access this hub, more enhanced and cohesive service delivery across Northamptonshire will be promoted. This project will also facilitate initiatives such as 'Total Place' and 'Safer, Stronger Communities' by providing accurate and reliable data and the same data for all users. It will also form part of the backbone for information used in shared services across the county.</p> </div>		Cost Centre: Approved by Cabinet Meeting on:

6	Consequences of not undertaking the project and impact on the community or employees					
The above efficiencies or aids to service and enhanced partnership working will not be met. Also the opportunity for external funding will be missed.						

Project budget	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
Capital costs	121,000	49,000	0	0	0	170,000
Revenue consequences	0	0	0	0	0	

Source of capital funding	SCE (R) Single Capital Pot £	Unsupported (Prudential) Borrowing £	Major Repairs Reserve £	Grant or Third Party Contribution £	Other £	Total £
NEIP	0	0	0	170,000	0	170,000

COR (Capital Outturn Return) Code	#N/A	Weighted Score	N/A	S106 Related	No	Whole Life Costing Completed	No
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Authorisations	Signature	Name	Date
Project Manager		Karen Chapman	
Budget Manager		Karen Chapman	
Head of Service		Marion Goodman	
Corporate Director		Isabell Procter	
Portfolio Holder		Brian Markham	
Taxations Accountant		N/A	
Finance Manager - Revenue		Ann Davies	
Finance Manager - Capital		Bev Dixon	
Section 151 Officer		Isabell Procter	

6a	Project Dates	Planned Start Date	14-Dec-09	Planned End Date	31-Jul-11
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7	Nature of expenditure			
	Please specify the number and type of assets in the appropriate category below (More than one category may apply to an individual project.)			
Property Assets	Land - purchase, reclamation or enhancement			
	Buildings and infrastructure - new construction (including extensions to existing buildings)			
	Buildings and infrastructure - enhancement (including refurbishment)			
	Is the land/building owned by NBC, or will it be owned by NBC, or does NBC have an interest in it?		If No, who is, or who will be, the owner of the asset?	
Non-Property Assets	Information Technology assets - please also indicate whether hardware, software or licences, and whether it is to be internally developed, developed by consultants or purchased			
	Other tangible and intangible fixed assets - e.g vehicles, furniture, non-IT licences			
	Loan, grant or financial assistance to a third party towards capital expenditure - please specify			
8	Agresso Structure (Finance to complete)			
	Agresso Cost Centre			
9	Responsible Officers			
	i) Project Manager	Karen Chapman	iv) Key Service Area	
	ii) Budget Manager	Karen Chapman		
	iii) Head of Service	Marion Goodman		
10	Location - (Please select from the dropdown list)			
	Ward		Parish	

11	Statutory duty or other legal commitments (this section will be linked to the weighted score) <i>Indicate whether, if investment is not made, the Council will fail to deliver a statutory duty, now or in the future.</i>		
a)	Brief outline of statutory duty or legal commitment project will address <div style="background-color: #cccccc; height: 50px; width: 100%;"></div>		
b)	Objectives, Consequences and Urgency		
i)	Objective of project <i>Describe the problem or issue the project will address, and how this was identified</i> <div style="background-color: #cccccc; height: 50px; width: 100%;"></div>		
ii)	Consequences of not undertaking the project <div style="background-color: #cccccc; height: 50px; width: 100%;"></div>		
iii)	Urgency of project <i>Give brief details and justification of the time span</i> <div style="background-color: #cccccc; height: 50px; width: 100%;"></div>		
12	Consultation with stakeholders <i>Specify any consultations undertaken with stakeholders and others</i> <div style="background-color: #cccccc; height: 50px; width: 100%;"></div>		
13	Extent to which project meets Council's Objectives and Priorities (this section will be linked to the weighted score) <i>For each of the Council's Priorities met by the project, please choose from the drop down list which target(s) (from the Corporate Plan) the project will address. More than one may apply.</i>		
	Council Priorities 2009-12		Key Action(s) & Target(s) addressed by the project
	Priority 1: Safer, greener and cleaner communities		<div style="background-color: #ffff00; height: 30px; width: 100%;"></div> <div style="background-color: #ffff00; height: 30px; width: 100%;"></div> <div style="background-color: #ffff00; height: 30px; width: 100%;"></div>
	Priority 2: Housing, health and wellbeing		<div style="background-color: #ffff00; height: 30px; width: 100%;"></div> <div style="background-color: #ffff00; height: 30px; width: 100%;"></div> <div style="background-color: #ffff00; height: 30px; width: 100%;"></div>
	Priority 3: A well-managed organization that puts our customers at the heart of what we do		<div style="background-color: #ffff00; height: 30px; width: 100%;"></div> <div style="background-color: #ffff00; height: 30px; width: 100%;"></div> <div style="background-color: #ffff00; height: 30px; width: 100%;"></div>
	Priority 4: A confident, ambitious and successful Northampton		<div style="background-color: #ffff00; height: 30px; width: 100%;"></div> <div style="background-color: #ffff00; height: 30px; width: 100%;"></div> <div style="background-color: #ffff00; height: 30px; width: 100%;"></div>
	Priority 5: Partnerships and community engagement		<div style="background-color: #ffff00; height: 30px; width: 100%;"></div> <div style="background-color: #ffff00; height: 30px; width: 100%;"></div> <div style="background-color: #ffff00; height: 30px; width: 100%;"></div>

14a	Extent to which project contributes towards partnership working, medium term planning, delivery of service objectives, equalities issues & other corporate priorities (delivery of statutory performance indicators, Best Value Improvement Plans). This section
i)	Partnership working
	Briefly describe the nature and duration of any partnership arrangements
ii)	Performance Indicators
	Describe briefly any performance indicators supported by the project (including the name & reference), and any improvement in performance the project will deliver
iii)	Gershon Programme and Efficiencies
	Give brief details of the efficiencies that are included in the MTP and give details of any ways in which the project will support these efficiencies
iv)	Value for Money
	Explain how the delivery of this project in the proposed manner represents good value for money
v)	Service Strategies and Service Plans
	Give brief details of any ways in which the project supports the delivery of service objectives outlined in the service strategy or plan
vi)	State specifically the equalities issues that have been initially identified that this project will address
	How will this project address the equalities issues that have been initially identified?
	Equalities Impact Assessment Please state who is responsible for completing the Equalities Impact Assessment and the dates by which it will be started and completed. Please use the attached NBC intranet link for guidance on how to complete an EIA. Click here to go to EIA's website
vii)	Other corporate initiatives (including Improvement Plans and Value for Money Reviews)
	Give brief details of any ways in which the project supports any other corporate initiatives
14b	Extent to which project contributes towards national or regional priorities or targets
	Please state the national priorities or targets and briefly describe how the project will contribute towards these.
15	Non-Financial Risk
	Outline what the non-financial risks are to the delivery of this project and how these risks are being addressed and state the name of the person who will be managing the risk register for the project.

16	Environmental impacts - This will ensure that sustainability issues are identified and addressed (positive and negative). This section will be linked to the weighted score. For each issue in each sub-section below, use the drop down menu to indicate the i		Direction of impact/contribution		
			Negative	Nil	Positive
i)	Economy:				
	Consider the nature of the project, its service to the community, effect on already established businesses and in particular its contribution to:				
	Employment	Increasing employment opportunities		X	
		Increasing vocational training opportunities		X	
		Increasing equal opportunities for employment		X	
		Improving environmental awareness of local business		X	
	Consumption Patterns	Linking the extent to which wages earned locally are spent locally		X	
		Encouraging sustainable consumption patterns, eg: recycling		X	
	Business development	Encouraging development of new businesses		X	
		Maintaining the integrity of existing businesses		X	
	Details - Explain positive and negative impacts				
ii)	Infrastructure				
	Consider the impact of the project and its operation on public services and infrastructure. Consider the impact in terms of:				
	Housing	Providing affordable housing/housing to rent		X	
		Improving the quality of existing housing		X	
		Increasing the energy efficiency of housing		X	
	Transport	Promoting the development/maintenance of pedestrian and cycle lanes		X	
		Promoting the use of public transport		X	
		Reducing traffic congestion and delays improving/adding local facilities		X	
	Waste & Recycling	Reducing waste		X	
		Encouraging recycling/reuse/repair		X	
	Emergency Services	The adequacy of emergency services		X	
	Details - Explain positive and negative impacts				
iii)	Community Welfare				
	Consider community issues associated with the project. How the project will perform in terms of:				
	Safety / Security	Public safety on roadways & public areas		X	
		Minimising crime and fear of crime		X	
		Providing adequate lighting/security		X	
	Cultural & Leisure Facilities	Increasing access to/provision of cultural and recreational facilities		X	
		Encouraging wide participation in recreational activities		X	
	Participation	Improving the sense of community		X	
		Involving the community in the development of the project		X	
		Increasing facilities and opportunities for minority groups		X	
	Details - Explain positive and negative impacts				

16 cont.	Environmental impacts - This will ensure that sustainability issues are identified and addressed (positive and negative)		Direction of impact/contribution		
	For each issue in each sub-section below, indicate the impact with an X in the appropriate column		Negative	Nil	Positive
iv)	Aesthetics				
	<i>Consider the nature of the project and how it blends with its surroundings aesthetically and historically. Consider contribution in terms of:</i>				
	Environment	The nature and beauty of the landscape		X	
		Encouraging the use of open spaces for community benefit		X	
		Encouraging nature/wildlife habitats		X	
	Heritage	Preserving local heritage including buildings, monuments or sites of historic significance		X	
	Details - Explain positive and negative impacts				
v)	Natural Resources				
	<i>Consider the resources used by/supplied by the project during its construction and operation and its contribution to:</i>				
	Land	The redevelopment of Brownfield sites in preference to Greenfield sites		X	
	Conservation & biodiversity	Promoting biodiversity and conservation values		X	
	Pollution	Reducing local pollution, eg: air, noise, vibration, water, land		X	
	Details - Explain positive and negative impacts				
vi)	Design of Buildings & Structures				
	<i>Consider the project design in terms of energy consumption, efficiency & use of renewable resources in construction</i>				
	Energy	Maximising energy efficiency		X	
		Increasing the use of renewable energy resources		X	
	Materials	Increasing the use landscaping		X	
		Increasing the use of renewable construction materials		X	
		Reusing/conserving buildings		X	
	Locality	Enhancing the built environment		X	
		Providing a range of local amenities		X	
		Improving access for the disabled		X	
	Details - Explain positive and negative impacts				

17.1	Preferred option						
a/b	Description of preferred option, and contribution of the option to the project's objectives. To create a Northamptonshire partnership information hub. This will ensure that there is a comprehensive central information point for demographic, socio-economic and general geographic information. This project provides a vehicle that will provide efficiencies in terms of staff time and cost of technology provision by providing a 'one point of call' to allow the public and partners to view and analysis spatial and statistical data for all the public services. By being able to access this hub, more enhanced and cohesive service delivery across Northamptonshire will be promoted. This project will also facilitate initiatives such as 'Total Place' and 'Safer, Stronger Communities' by providing accurate and reliable data and the same data for all users. It will also form part of the backbone for information used in shared services across the county.						
c	Likely impacts that will result from pursuing an option (including impact on day-to-day activities during project implementation) 						
d	Financial evaluation (Please express all figures in £. For instance £55,429).						
i)	Project budget - Figures should be expressed in £	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
	Acquisition of land & buildings						0
	New construction, conversion and renovation						0
	Vehicles						0
	Plant, Machinery and Equipment	121,000	49,000				170,000
	Grants						0
	Total project budget	121,000	49,000	0	0	0	170,000
ii)	Project funding - Figures should be expressed in £	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
	Supported Borrowing - SCE (R) - Single Capital Pot Element						0
	Supported Borrowing - SCE (R) - Separate Programme Element						0
	Unsupported (Prudential) Borrowing						0
	Major Repairs Reserve						0
	Grant*	121,000	49,000				170,000
	Third party contribution (inc Sec 106)*						0
	Revenue contribution*						0
	Capital receipt*						0
	Unspecified						0
	Total funding	121,000	49,000	0	0	0	170,000
iii)	* Describe specific source of capital funding (Planning Application Reference required for S106 funding) NEIP						
iv)	Is the scheme funded, or part funded by WNDC? - Indicate with an X WNDC Related						
v)	Revenue budget implications (if applicable) - Figures should be expressed in £	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	
	Employees						
	Running costs						
	Income						
	Net Cost/(Saving) To Directorate	0	0	0	0	0	
vi)	Source of revenue funding (if applicable) e.g. Revenue growth item, virement from existing (identified) budget, revenue grant funding						
vii)	Staffing implications (if applicable); full time equivalent.	2009/10 F.T.E	2010/11 F.T.E	2011/12 F.T.E	2012/13 F.T.E	2013/14 F.T.E	
	Increase/(decrease)						
viii)	Please confirm that both capital and revenue impacts have been included in the Medium Term Plan Which service ? <div> <div></div> <div>Capital</div> <div></div> <div>Revenue</div> <div></div> </div>						
ix)	Financial Risk Complete the risk assessment section below by identifying all financial risks that this project poses to the authority						
	Financial Risk	Probability 1(low) - 5(high)	Impact 1(low) - 5(high)	Risk Score 1(low) - 25(high)	What has been done to mitigate this risk? What could be done to mitigate this risk?	What ongoing monitoring will be performed to reduce the probability of the risk materialising / its impact?	
	Overspend			0			
	Expenditure falls outside planned timescales (issue for time limited grants)			0			
	Unforeseen costs			0			
	Planned Financing is not secured			0			
	Other - Please specify			0			
x)	Debt Financing Budget implications - Finance will complete where applicable						
		2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	
	Borrowing costs - principal and interest						

17.2	Alternative Option 1 - Alternative options required for schemes over £100,000 only						
a	Description of alternative option						
b	Contribution of option to the achievement of the project's objectives						
c	Likely impacts that will result from pursuing an option (including impact on day-to-day activities during project implementation)						
d	Financial evaluation (Please express all figures in £. For instance £55,429).						
i)	Project budget - Figures should be expressed in £	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
	Acquisition of land & buildings						0
	New construction, conversion and renovation						0
	Vehicles						0
	Plant, Machinery and Equipment						0
	Grants						0
	Total project budget	0	0	0	0	0	0
ii)	Project funding - Figures should be expressed in £	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
	Supported Borrowing - SCE (R) - Single Capital Pot Element						0
	Supported Borrowing - SCE (R) - Separate Programme Element						0
	Unsupported (Prudential) Borrowing						0
	Major Repairs Reserve						0
	Grant*						0
	Third party contribution (inc Sec 106)*						0
	Revenue contribution*						0
	Capital receipt*						0
	Unspecified						0
	Total funding	0	0	0	0	0	0
iii)	* Describe specific source of capital funding (Planning Application Reference required for S106 funding)						
iv)	Is the scheme funded, or part funded by WND? - Indicate with an X						
	WNDC Related						
v)	Revenue budget implications (if applicable) - Figures should be expressed in £	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	
	Employees						
	Running costs						
	Income						
	Net Cost/(Saving) To Directorate	0	0	0	0	0	
vi)	Source of revenue funding (if applicable) e.g. Revenue growth item, virement from existing (identified) budget, revenue grant funding						
vii)	Staffing implications (if applicable); full time equivalent.	2009/10 F.T.E	2010/11 F.T.E	2011/12 F.T.E	2012/13 F.T.E	2013/14 F.T.E	
	Increase/(decrease)						
viii)	Please confirm that both capital and revenue impacts have been included in the Medium Term Plan						
	Which service ?						
		Capital		Revenue			
ix)	Financial Risk						
	Complete the risk assessment section below by identifying all financial risks that this project poses to the authority						
	Financial Risk	Probability 1(low) - 5(high)	Impact 1(low) - 5(high)	Risk Score 1(low) - 25(high)	What has been done to mitigate this risk? What could be done to mitigate this risk?	What ongoing monitoring will be performed to reduce the probability of the risk materialising / its impact?	
	Overspend			0			
	Expenditure falls outside planned timescales(issue for time limited grants)			0			
	Unforeseen costs			0			
	Planned Financing is not secured			0			
	Other - Please specify			0			
x)	Debt Financing Budget implications - NBC Finance will complete where applicable						
		2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	
	Borrowing costs - principal and interest						

17.3	Alternative Option 2						
a	Description of alternative option						
b	Contribution of option to the achievement of the project's objectives						
c	Likely impacts that will result from pursuing an option (including impact on day-to-day activities during project implementation)						
d	Financial evaluation (Please express all figures in £. For instance £55,429).						
i)	Project budget - <i>Figures should be expressed in £</i>	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
	Acquisition of land & buildings						0
	New construction, conversion and renovation						0
	Vehicles						0
	Plant, Machinery and Equipment						0
	Grants						0
	Total project budget	0	0	0	0	0	0
ii)	Project funding - <i>Figures should be expressed in £</i>	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
	Supported Borrowing - SCE (R) - Single Capital Pot Element						0
	Supported Borrowing - SCE (R) - Separate Programme Element						0
	Unsupported (Prudential) Borrowing						0
	Major Repairs Reserve						0
	Grant*						0
	Third party contribution (inc Sec 106)*						0
	Revenue contribution*						0
	Capital receipt*						0
	Unspecified						0
	Total funding	0	0	0	0	0	0
iii)	* Describe specific source of capital funding (Planning Application Reference required for S106 funding)						
iv)	Is the scheme funded, or part funded by WND? - Indicate with an X						
	WNDC Related						
v)	Revenue budget implications (if applicable) - <i>Figures should be expressed in £</i>	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	
	Employees						
	Running costs						
	Income						
	Net Cost/(Saving) To Directorate	0	0	0	0	0	
vi)	Source of revenue funding (if applicable)						
	e.g. Revenue growth item, virement from existing (identified) budget, revenue grant funding						
vii)	Staffing implications (if applicable); full time equivalent.	2009/10 F.T.E	2010/11 F.T.E	2011/12 F.T.E	2012/13 F.T.E	2013/14 F.T.E	
	Increase/(decrease)						
viii)	Please confirm that both capital and revenue impacts have been included in the Medium Term Plan						
	Which service ?						
		Capital		Revenue			
ix)	Financial Risk						
	Complete the risk assessment section below by identifying all financial risks that this project poses to the authority						
	Financial Risk	Probability 1(low) - 5(high)	Impact 1(low) - 5(high)	Risk Score 1(low) - 25(high)	What has been done to mitigate this risk? What could be done to mitigate the risk?	What ongoing monitoring will be performed to reduce the probability of the risk materialising / its impact?	
	Overspend			0			
	Expenditure falls outside planned timescales(issue for time limited grants)			0			
	Unforeseen costs			0			
	Planned Financing is not secured			0			
	Other - Please specify			0			
x)	Debt Financing Budget implications - Finance will complete where applicable						
		2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	
	Borrowing costs - principal and interest						

17.4	Alternative Option 3						
a	Description of alternative option						
b	Contribution of option to the achievement of the project's objectives						
c	Likely impacts that will result from pursuing an option (including impact on day-to-day activities during project implementation)						
d	Financial evaluation (Please express all figures in £. For instance £55,429).						
i)	Project budget - <i>Figures should be expressed in £</i>	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
	Acquisition of land & buildings						0
	New construction, conversion and renovation						0
	Vehicles						0
	Plant, Machinery and Equipment						0
	Grants						0
	Total project budget	0	0	0	0	0	0
ii)	Project funding - <i>Figures should be expressed in £</i>	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
	Supported Borrowing - SCE (R) - Single Capital Pot Element						0
	Supported Borrowing - SCE (R) - Separate Programme Element						0
	Unsupported (Prudential) Borrowing						0
	Major Repairs Reserve						0
	Grant*						0
	Third party contribution (inc Sec 106)*						0
	Revenue contribution*						0
	Capital receipt*						0
	Unspecified						0
	Total funding	0	0	0	0	0	0
iii)	* Describe specific source of capital funding (Planning Application Reference required for S106 funding)						
iv)	Is the scheme funded, or part funded by WND? - Indicate with an X						
	WNDC Related						
v)	Revenue budget implications (if applicable) - <i>Figures should be expressed in £</i>	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	
	Employees						
	Running costs						
	Income						
	Net Cost/(Saving) To Directorate	0	0	0	0	0	
vi)	Source of revenue funding (if applicable) e.g. Revenue growth item, virement from existing (identified) budget, revenue grant funding						
vii)	Staffing implications (if applicable); full time equivalent.	2009/10 F.T.E	2010/11 F.T.E	2011/12 F.T.E	2012/13 F.T.E	2013/14 F.T.E	
	Increase/(decrease)						
viii)	Please confirm that both capital and revenue impacts have been included in the Medium Term Plan						
	Which service ?						
		Capital		Revenue			
ix)	Financial Risk						
	Complete the risk assessment section below by identifying all financial risks that this project poses to the authority						
	Financial Risk	Probability 1(low) - 5(high)	Impact 1(low) - 5(high)	Risk Score 1(low) - 25(high)	What has been done to mitigate this risk? What could be done to mitigate this risk?	What ongoing monitoring will be performed to reduce the probability of the risk materialising / its impact?	
	Overspend			0			
	Expenditure falls outside planned timescales(issue for time limited grants)			0			
	Unforeseen costs			0			
	Planned Financing is not secured			0			
	Other - Please specify			0			
x)	Debt Financing Budget implications - Finance will complete where applicable						
		2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	
	Borrowing costs - principal and interest						

Project Variations put forward for Cabinet Approval

B1

1	Project Title	Money For Youth					
2	Original Appraisal Ref	2008-09/GF073					
3	Variation Ref Number	2008-09/GF073 V03					
4	Directorate	Assistant Chief Executive					
5	Service Block	Environmental, Protective and Cultural Services					
6	Reason for variation						
	<p>Additional funding of £25k has been awarded to NBC for floodlights and a youth shelter at the multi-use games area in St Davids. The original budget for this project was an estimate of the funding that would be received, the amount in the capital programme is £14,632 less than the funding received, therefore the budget needs to be reduced by a net amount of £10,368.</p>						
7	Summary of Budget Increases/(Decreases)						
I	Project budget	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		10,368	0	0	0	0	10,368
II	Project funding	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		10,368	0	0	0	0	10,368
III	Funding source						
	GOEM						

Project Variations put forward for Cabinet Approval

B2

1	Project Title	Lings Forum Lighting Upgrade					
2	Original Appraisal Ref	2009-10/GF063B					
3	Variation Ref Number	2009-10/GF063B V01					
4	Directorate	Environment & Culture					
5	Service Block	Environmental, Protective and Cultural Services					
6	Reason for variation						
	<p>Further testing has shown that the Lings Forum Lighting Upgrade project is not compliant with the terms and conditions of the Salix funding, so will be removed from the capital programme. Other projects will be submitted to utilise this funding, therefore there are no savings as a result of this variation.</p>						
7	Summary of Budget Increases/(Decreases)						
I	Project budget	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		(39,444)	0	0	0	0	(39,444)
II	Project funding	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		(39,444)	0	0	0	0	(39,444)
III	Funding source						
	50% Salix funding, 50% prudential borrowing.						

Project Variations put forward for Cabinet Approval

B3

1	Project Title	Kitchen Replacement (Backlog)					
2	Original Appraisal Ref	2007-08/CS012					
3	Variation Ref Number	2007-08/CS012 V06					
4	Directorate	Housing HRA					
5	Service Block	Housing Revenue Account					
6	Reason for variation						
	<p>Additional kitchens requiring urgent replacement and kitchens that are in homes in a general poor state of repair have resulted in the average kitchen cost being higher than estimated; this is due to walls and plaster in poor condition, dilapidated floors and space issues requiring internal alterations.</p>						
7	Summary of Budget Increases/(Decreases)						
I	Project budget	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		80,000	0	0	0	0	80,000
II	Project funding	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		80,000	0	0	0	0	80,000
III	Funding source						
	MRA						

Project Variations put forward for Cabinet Approval

B4

1	Project Title	Complete Roofs					
2	Original Appraisal Ref	2008-09/HRA007					
3	Variation Ref Number	2008-09/HRA007 V04					
4	Directorate	Housing HRA					
5	Service Block	Housing Revenue Account					
6	Reason for variation						
	<p>An additional roof replacement arising out of a responsive repair issue required capital replacement over and above this years original programme.</p>						
7	Summary of Budget Increases/(Decreases)						
I	Project budget	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		45,000	0	0	0	0	45,000
II	Project funding	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		45,000	0	0	0	0	45,000
III	Funding source						
	MRA						

Project Variations put forward for Cabinet Approval

B5

1	Project Title	Cooper Street Heating Improvements - Phase 2					
2	Original Appraisal Ref	2009-10/HRA002					
3	Variation Ref Number	2009-10/HRA002 V02					
4	Directorate	Housing HRA					
5	Service Block	Housing Revenue Account					
6	Reason for variation						
	<p>This project has been tendered and come in well within budget. Sizeable contingencies are required to ensure all the technical issues associated with a complex district heating scheme can be resolved quickly and efficiently, to maximize tenant comfort and satisfaction, however there is still sufficient budget to finance other key schemes delivering decent homes, right to repair and urgent Housing Health and Safety issues that cannot be neglected. Specifically these projects relate to structural safety, kitchen failures and door entry to resist antisocial behaviour.</p>						
7	Summary of Budget Increases/(Decreases)						
I	Project budget	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		(100,000)	0	0	0	0	(100,000)
II	Project funding	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		(100,000)	0	0	0	0	(100,000)
III	Funding source						
	MRA						

1	Project Title	Decent Homes & Poor Condition					
2	Original Appraisal Ref	2009-10/HRA004					
3	Variation Ref Number	2009-10/HRA004 V05					
4	Directorate	Housing HRA					
5	Service Block	Housing Revenue Account					
6	Reason for variation						
	<p>There are some decent homes issues associated with structural defects and key decent homes failures which need immediate attention in order that the council does not breach its right to repair duty under the Landlord and Tenants Act. These are works to be completed earlier than expected but that would have been attributed to decent homes budgets later in the investment programme. Therefore the Council's Decent Homes target overall will not be compromised, by moving £85k to these urgent projects.</p>						
7	Summary of Budget Increases/(Decreases)						
I	Project budget	2009/10 £ (85,000)	2010/11 £ 0	2011/12 £ 0	2012/13 £ 0	2013/14 £ 0	Total £ (85,000)
II	Project funding	2009/10 £ (85,000)	2010/11 £ 0	2011/12 £ 0	2012/13 £ 0	2013/14 £ 0	Total £ (85,000)
III	Funding source						
	MRA						

Project Variations put forward for Cabinet Approval

B7

1	Project Title	Structural Repairs					
2	Original Appraisal Ref	2009-10/HRA007					
3	Variation Ref Number	2009-10/HRA007 V02					
4	Directorate	Housing HRA					
5	Service Block	Housing Revenue Account					
6	Reason for variation						
	<p>Following reports of leaks and other reported issues to the roof at St Katharines Court in Spring Boroughs inspection has shown that the parapet wall to the top of this ten story block is in a delapidated state and requires urgent attention to ensure the safety of the public from falling masonry. The works are sufficient in scope and nature to warrant capital expenditure.</p>						
7	Summary of Budget Increases/(Decreases)						
I	Project budget	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		10,000	0	0	0	0	10,000
II	Project funding	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		10,000	0	0	0	0	10,000
III	Funding source						
	MRA						

Project Variations put forward for Cabinet Approval

B8

1	Project Title	Door Entry Replacement					
2	Original Appraisal Ref	2009-10/HRA014					
3	Variation Ref Number	2009-10/HRA014 V03					
4	Directorate	Housing HRA					
5	Service Block	Housing Revenue Account					
6	Reason for variation						
	<p>Additonal urgent door replacements and upgrades are required to defend vulnerable blocks from serious antisocial behaviour such as arson, and deliberate damage, where the risk to property and people is considerable. There is finance available in decent homes and the saving on Cooper Street heating project to fund these urgent works.</p>						
7	Summary of Budget Increases/(Decreases)						
I	Project budget	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		50,000	0	0	0	0	50,000
II	Project funding	2009/10 £	2010/11 £	2011/12 £	2012/13 £	2013/14 £	Total £
		50,000	0	0	0	0	50,000
III	Funding source						
	MRA						

Annex C

Capital Monitoring Programme 2009-10

To end of November 2009

Division/Service	Approved Budgets				Proposed Budgets		Actuals			Forecasts			Slippage
	Original Approved Budget (19.02.2009)	Slippage	Approved Changes	Latest Approved Budget	Proposed Changes	Latest Proposed Budget	Exp to End of Prev Month	Exp Current Month	Exp to End of Current Month	Forecast Exp to End of Year	Total Forecast for Year	Forecast (Unspent Budget)/ Budget Overspends	Forecast Slippage
	£	£	£	£	£	£	Mth 1 to 7 £	Mth 8 £	Mths 1 to 8 £	Mths 9 to 12 £	Mths 1 to 12 £	£	£
General Fund													
Finance & Support													
Human Resources	0	0	0	0	0	0	0	0	0	0	0	0	0
Finance & Assets	126,800	282,247	372,864	781,911	0	781,911	144,501	36,056	180,556	606,181	786,737	4,826	0
Revenue & Benefits	68,100	3,000	(1,000)	70,100	0	70,100	64,923	0	64,923	5,177	70,100	0	0
Northampton Area Procurement	0	0	0	0	0	0	0	0	0	0	0	0	0
Consumer Services & ICT	639,200	78,380	449,180	1,166,760	121,000	1,287,760	159,443	15,144	174,587	845,823	1,020,410	(146,350)	267,350
Total Finance & Support	834,100	363,627	821,044	2,018,771	121,000	2,139,771	368,866	51,200	420,066	1,457,182	1,877,247	(141,524)	267,350
Environment & Culture													
Public Protection	128,179	51,605	(56,137)	123,647	13,277	136,924	30,642	28,637	59,279	74,176	133,454	9,807	0
Neighbourhood & Environmental Services	100,000	47,750	147,297	295,047	84,000	379,047	200,770	7,727	208,496	170,551	379,047	84,000	0
Culture & Leisure	49,667	1,056,431	(822,730)	283,368	0	283,368	69,129	33,100	102,229	191,831	294,060	10,692	7,308
Town Centre Operations	0	0	30,000	30,000	0	30,000	0	0	0	30,000	30,000	0	0
Total Environment & Culture	277,846	1,155,786	(701,570)	732,062	97,277	829,339	300,540	69,464	370,004	466,558	836,561	104,499	7,308
Planning & Regeneration													
Planning	200,000	31,759	(4,670)	227,089	0	227,089	27,084	15,825	42,909	34,180	77,089	(150,000)	150,000
Regeneration & Development	977,915	2,006	409,930	1,389,852	0	1,389,852	87,185	77,515	164,700	1,735,152	1,899,852	510,000	0
Total Planning & Regeneration	1,177,915	33,765	405,260	1,616,940	0	1,616,940	114,269	93,340	207,609	1,769,332	1,976,940	360,000	150,000
Assistant Chief Executive													
Policy & Community Engagement	46,657	82,288	49,000	177,945	10,368	188,313	71,331	28,146	99,477	88,836	188,313	10,368	0
Communications & Consultation	0	0	0	0	0	0	0	0	0	0	0	0	0
Performance & Improvement	0	0	0	0	0	0	0	0	0	0	0	0	0
Northampton Local Strategic Partnership	3,100	494	88,212	91,806	0	91,806	63,964	0	63,964	29,173	93,137	1,331	(0)
Total Assistant Chief Executive	49,757	82,782	137,212	269,751	10,368	280,119	135,295	28,146	163,441	118,009	281,450	11,699	(0)
Borough Solicitor													
Strategy, Investment & Performance	0	0	0	0	0	0	0	0	0	0	0	0	0
Total Borough Solicitor	0	0	0	0	0	0	0	0	0	0	0	0	0
Housing GF													
Strategy, Investment & Performance	0	0	749,446	749,446	0	749,446	30,000	45,925	75,925	673,521	749,446	0	0
Landlord Services	0	47,305	322,000	369,305	0	369,305	405	0	405	118,900	119,305	(250,000)	250,000
Needs & Support	1,494,317	2,165,491	962,100	4,621,908	0	4,621,908	1,817,063	246,344	2,063,407	2,610,481	4,673,887	51,979	0
Total Housing GF	1,494,317	2,212,796	2,033,546	5,740,659	0	5,740,659	1,847,468	292,268	2,139,736	3,402,902	5,542,638	(198,021)	250,000

Annex C

Capital Monitoring Programme 2009-10

To end of November 2009

Division/Service	Approved Budgets				Proposed Budgets		Actuals			Forecasts			Slippage
	Original Approved Budget (19.02.2009)	Slippage	Approved Changes	Latest Approved Budget	Proposed Changes	Latest Proposed Budget	Exp to End of Prev Month	Exp Current Month	Exp to End of Current Month	Forecast Exp to End of Year	Total Forecast for Year	Forecast (Unspent Budget)/ Budget Overspends	Forecast Slippage
	£	£	£	£	£	£	Mth 1 to 7 £	Mth 8 £	Mths 1 to 8 £	Mths 9 to 12 £	Mths 1 to 12 £	£	£
TOTAL General Fund	3,833,935	3,848,757	2,695,492	10,378,184	228,645	10,606,829	2,766,437	534,418	3,300,855	7,213,983	10,514,837	136,654	674,658
HRA													
Housing HRA													
Strategy, Investment & Performance	12,129,192	1,885,782	(2,775,426)	11,239,548	0	11,239,548	3,413,800	319,760	3,733,560	7,005,989	10,739,548	(500,000)	500,000
Landlord Services	0	0	0	0	0	0	0	0	0	0	0	0	0
Needs & Support	300,000	268,593	300,000	868,593	0	868,593	792,295	27,387	819,682	48,911	868,593	0	0
Total Housing HRA	12,429,192	2,154,375	(2,475,426)	12,108,141	0	12,108,141	4,206,094	347,147	4,553,241	7,054,900	11,608,141	(500,000)	500,000
TOTAL HRA	12,429,192	2,154,375	(2,475,426)	12,108,141	0	12,108,141	4,206,094	347,147	4,553,241	7,054,900	11,608,141	(500,000)	500,000
Total Capital Programme	16,263,127	6,003,132	220,066	22,486,325	228,645	22,714,970	6,972,531	881,565	7,854,096	14,268,883	22,122,979	(363,346)	1,174,658

Note : Figures include Revenue Expenditure funded from Capital

Division/Service	Latest Approved Budget	Actuals to Period 8	Total Forecast for Year	Forecast (Unspent) / Overspend	Forecast Slippage	Detail
£	£	£	£	£	£	
<u>General Fund</u>						
<u>Finance & Support</u>						
Human Resources	0	0	0	0	0	There are no capital schemes in this division.
Finance & Assets	781,911	180,556	786,737	4,826	0	There is an overspend of £4k on the E-Payments, Chip and Pin project due to residual work, this will be funded by an increase in prudential borrowing; a project variation will be brought to a future Cabinet. There is a £1k overspend on the Electrical Upgrade Works project, this will be covered by a contribution from revenue.
Revenue & Benefits	70,100	64,923	70,100	0	0	All projects in this division are forecast to be fully spent.
Northampton Area Procurement	0	0	0	0	0	There are no capital schemes in this division.
Consumer Services & ICT	1,166,760	174,587	1,020,410	(146,350)	267,350	There is a forecast underspend and slippage of £59k on the One Stop Shop, CRM project. The impact of the proposed Cliftonville office move will inevitably slow down the progress of this project and implementation of Middleware will not be able to start until after the move is completed - due to limited resources in ICT. £208k of the forecast underspend and slippage figure relates to the IT Network Replacement project. The phasing of this project was originally over 2 financial years but due to slippage from 2008-09 all of the budget is now in 2009-10. The forecast expenditure and slippage is an estimate, this will be confirmed once the phasing is complete. There is a forecast overspend of £121k for the Partnership Information Hub project, this is a new project funded by NIEP grant. A project appraisal has been submitted with this report.
Total Finance & Support	2,018,771	420,066	1,877,247	(141,524)	267,350	

Division/Service	Latest Approved Budget	Actuals to Period 8	Total Forecast for Year	Forecast (Unspent) / Overspend	Forecast Slippage	Detail
£	£	£	£	£	£	
<u>Environment & Culture</u>						
Public Protection	123,647	59,279	133,454	9,807	0	The forecast overspend on this division relates to the carbon management projects. A project appraisal form has been submitted for the new projects. One existing project is to be removed as it does not comply with the terms and conditions of the Salix funding, a project variation has been submitted for this.
Neighbourhood & Environmental Services	295,047	208,496	379,047	84,000	0	The forecast overspend on this division relates to the Grimebusters project. This is a new project funded by NIEP grant. A project appraisal has been submitted with this report.
Culture & Leisure	283,368	102,229	294,060	10,692	7,308	There is a forecast underspend and forecast slippage of £7,308 on three projects that are funded by the Big Lottery. This is in line with the terms and conditions of the funding as the funding timescales are from September to August. There is a forecast overspend of £18k on the Big Lottery Improving Access project. This will be funded by next year's funding, a project variation will be submitted once confirmation has been received from The Big Lottery that they agree to this.
Town Centre Operations	30,000	0	30,000	0	0	All projects in this division are forecast to be fully spent.
Total Environment & Culture	732,062	370,004	836,561	104,499	7,308	
<u>Planning & Regeneration</u>						
Planning	227,089	42,909	77,089	(150,000)	150,000	The forecast underspend in this division relates to the Housing and Planning Delivery Improvements project. Consultant fees will be incurred this financial year, however it is unlikely that any improvements will be implemented this year. The slippage figure will be reviewed on a monthly basis.
Regeneration & Development	1,389,852	164,700	1,899,852	510,000	0	The forecast overspend on this division relates to the Upton Country Park Pedestrian and Cycle Bridge project. The start date on this project was delayed, however work can now go ahead but lost time cannot be recovered. A revised cost has been received however this is being challenged by the budget holder and it is being investigated whether there is enough section 106 funding to support this. Also, confirmation is required on what will be delivered this financial year.
Total Planning & Regeneration	1,616,940	207,609	1,976,940	360,000	150,000	

Division/Service	Latest Approved Budget	Actuals to Period 8	Total Forecast for Year	Forecast (Unspent) / Overspend	Forecast Slippage	Detail
	£	£	£	£	£	
<u>Assistant Chief Executive</u>						
Policy & Community Engagement	177,945	99,477	188,313	10,368	0	The forecast overspend on this division relates to the Money 4 Youth project. Additional funding has been awarded for floodlights and a youth shelter at St Davids MUGA, a project variation form has been submitted with this report.
Communications & Consultation	0	0	0	0	0	There are no capital projects in this division.
Performance & Improvement	0	0	0	0	0	There are no capital projects in this division.
Northampton Local Strategic Partnership	91,806	63,964	93,137	1,331	(0)	The overspend on this division relates to a retention payment on an old project (New Recreational Facilities), which has no budget remaining. The total overspend on this project is £2.5k but there is a slight underspend on the Spring Lane Victorian Annex project that will contribute towards this overspend. The remaining overspend is unfunded.
Total Assistant Chief Executive	269,751	163,441	281,450	11,699	(0)	

Division/Service	Latest Approved Budget £	Actuals to Period 8 £	Total Forecast for Year £	Forecast (Unspent) / Overspend £	Forecast Slippage £	Detail
<u>Borough Solicitor</u>	0	0	0	0	0	There are no capital projects in this directorate.
Total Borough Solicitor	0	0	0	0	0	
<u>Housing GF</u>						
Strategy, Investment & Performance	749,446	75,925	749,446	0	0	All projects in this division are forecast to be fully spent.
Landlord Services	369,305	405	119,305	(250,000)	250,000	The forecast underspend and slippage in this division relates to the Ecton Lane Improvements 2 project. Contractors are due on site in February 2010 with slippage representing when the invoices will fall due.
Needs & Support	4,621,908	2,063,407	4,673,887	51,979	0	There is a forecast overspend of £52k on the Choice Based Lettings Scheme. DCLG have provided funding towards the cost of this project with the remaining being funded by Northampton Borough Council and Daventry District Council. A project variation will be brought to Cabinet once the scoping exercise is complete. We currently hold £31k unallocated resources from DCLG earmarked for CBL development, with the agreement of Daventry DC this could be used to fund the expenditure. Included in this division are the Disabled Facilities Grants and Provision of Decent Homes projects for private sector housing. Both of these projects have budgets of £1.7m and are forecast to be fully spent. To the end of November approximately 85% of both of these budgets have been committed, however with these grants there can be a time lapse of up to 12 months from when the grants are approved to when they are physically paid.
Total Housing GF	5,740,659	2,139,736	5,542,638	(198,021)	250,000	
Total General Fund	10,378,184	3,300,855	10,514,837	136,654	674,658	

Division/Service	Latest Approved Budget £	Actuals to Period 8 £	Total Forecast for Year £	Forecast (Unspent) / Overspend £	Forecast Slippage £	Detail
<u>HRA</u>						
<u>Housing HRA</u>						
Strategy, Investment & Performance	11,239,548	3,733,560	10,739,548	(500,000)	500,000	The forecast underspend and slippage on this division relates to the Decent Homes and Poor Condition project. This figure will be reviewed on a month by month basis.
Landlord Services	0	0	0	0	0	There are no capital schemes in this division.
Needs & Support	868,593	819,682	868,593	0	0	An additional £183k has been committed on the Disabled Adaptations - Council Stock project. However due to the time lapse between when grants are approved and when the work is completed the expenditure is unlikely to occur in 2009-10, therefore this will be covered by the 2010-11 budget. It is extremely difficult to forecast cashflow for grants due to the time lapse between grants being approved and the physical work being completed.
Total Housing HRA	12,108,141	4,553,241	11,608,141	(500,000)	500,000	
Total HRA	12,108,141	4,553,241	11,608,141	(500,000)	500,000	
Total Capital Programme	22,486,325	7,854,096	22,122,979	(363,346)	1,174,658	

Revenue Expenditure Funded by Capital Under Statute (REFCUS)

As at the end of November 2009

Scheme Title	Budgets			Actuals	Forecasts			Slippage
	Latest Approved Budget	Proposed Changes	Latest Proposed Budget	Exp to End of November 2009	Forecast Exp to End of Year	Total Forecast for Year	Forecast (Unspent Budget)/ Budget Overspends	Forecast Slippage
Midsummer Meadow Bridge	41,043		41,043	0	41,043	41,043	0	0
Capitalisation Directive October 2009	300,000		300,000	0	300,000	300,000	0	0
Upton Country Park Pedestrian & Cycle Bridge	740,000		740,000	43,765	1,206,235	1,250,000	510,000	0
Environmental & Recreational Impr - Spring Lane Victorian School Annex	3,100		3,100	0	1,967	1,967	(1,133)	0
Disabled Facilities Grant (Private Sector)	1,713,679		1,713,679	1,063,061	650,618	1,713,679	0	0
GOEM Projects (Decent Homes)	1,978,057		1,978,057	978,834	999,223	1,978,057	0	0
Renovation Grants	95,997		95,997	3,905	92,092	95,997	0	0
Hot Property	9,509		9,509	6,033	3,476	9,509	0	0
Heat Streets	2,350		2,350	1,926	424	2,350	0	0
GOEM Warm Front Top Up	0		0	(27)	27	0	0	0
GOEM Falls on Level	0		0	(665)	665	0	0	0
Countywide Climate Friendly Communities	750,000		750,000	0	750,000	750,000	0	0
Total	5,633,735	0	5,633,735	2,096,832	4,045,770	6,142,602	508,867	0

Note: These schemes are included in the figures for the capital programme.

Annex F

Capital Programme Financing 2009-10

As at the end of November 2009

	GF Finance & Support £	GF Environment & Culture £	GF Planning & Regeneration £	GF Assistant Chief Executive £	GF Borough Solicitor £	GF Housing £	HRA Housing £	Unallocated £	Total £
Programme									
Latest Approved Budget	2,018,771	732,062	1,616,940	269,751		5,740,659	12,108,141		22,486,325
Proposed Budget Changes	121,000	97,277		10,368					228,645
Latest Proposed Budget	2,139,771	829,339	1,616,940	280,119	0	5,740,659	12,108,141	0	22,714,970
Funding									
Prudential Borrowing	3,367,211	188,271	330	3,100		1,729,689			5,288,600
Supported Borrowing							500,000		500,000
Capital Receipts	63,200	100,000				33,800	364,326	210,000	771,326
MRA							11,068,543		11,068,543
Grants	170,000	354,637	838,559	277,019		3,930,503	225,957		5,796,674
Third Party Financing	141,043	89,615	778,052			155,322			1,164,032
Revenue Financing	147,317	209,269				72,317	8,512,000		8,940,903
Total Funding	3,888,771	941,791	1,616,940	280,119		5,921,631	20,670,826	210,000	33,530,079
Unallocated Funding	1,749,000	112,453				180,971	8,562,685	210,000	10,815,109
Breakdown of unallocated funding									
General Fund									
<i>Earmarked funding pending project appraisals</i>									
Prudential borrowing		23,593							23,593
Grant		24,460				31,000			55,460
Revenue contribution		64,399							64,399
<i>Earmarked carryforward to 2010-11</i>									
Prudential borrowing	1,700,000								1,700,000
GF Capital Receipt								110,000	110,000
Section 106						149,971			149,971
Grant	49,000								49,000
Capital Reserve									
GF Capital Receipt								100,000	100,000
HRA									
<i>Earmarked carryforward to 2010-11</i>									
Earmarked Reserve							8,207,915		8,207,915
RTB Capital Receipts							166,384		166,384
Grant							188,387		188,387
Unallocated Funding	1,749,000	112,453	0	0	0	180,971	8,562,685	210,000	10,815,109