

# Public Document Pack



## Executive Board Sub Committee

Friday, 25 July 2008 10.00 a.m.  
Marketing Suite, Municipal Building

A handwritten signature in black ink, appearing to read 'David W R'.

**Chief Executive**

### **ITEMS TO BE DEALT WITH IN THE PRESENCE OF THE PRESS AND PUBLIC**

#### **PART 1**

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Members are reminded of their responsibility to declare any personal or personal and prejudicial interest which they have in any item of business on the agenda no later than when that item is reached and, with personal and prejudicial interests (subject to certain exceptions in the Code of Conduct for Members), to leave the meeting prior to discussion and voting on the item.	
<b>3. COMMUNITY PORTFOLIO</b>	
<b>(A) INTRODUCTION OF CIVIL FUNERAL CEREMONIES</b>	<b>1 - 4</b>
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*Please contact Gill Ferguson on 0151 471 7395 or e-mail [gill.ferguson@halton.gov.uk](mailto:gill.ferguson@halton.gov.uk) for further information.  
The next meeting of the Committee is on Thursday, 11 September 2008*

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*In accordance with the Health and Safety at Work Act the Council is required to notify those attending meetings of the fire evacuation procedures. A copy has previously been circulated to Members and instructions are located in all rooms within the Civic block.*

**REPORT TO:** Executive Board Sub Committee

**DATE:** 25 July 2008

**REPORTING OFFICER:** Strategic Director, Health and Community

**SUBJECT:** Introduction of Civil Funeral Ceremonies

**WARDS:** Boroughwide

## **1.0 PURPOSE OF THE REPORT**

1.1 To seek Members' support for the Registration Service to introduce civil funeral ceremonies.

## **2.0 RECOMMENDATION: That**

**(1) the Board agrees to the Registration Service extending its offer of discretionary services to include civil funeral ceremonies, as outlined in this report.**

**(2) the Board agrees to the fee that is proposed for such a ceremony in paragraph 3.8 of this report.**

## **3.0 SUPPORTING INFORMATION**

3.1 A civil funeral ceremony is a ceremony reflecting the wishes of the family who want to mark the passing of a family member, or friend, who did not have any religious belief. Based on information provided by family and friends of the deceased, a trained celebrant, who may also be a Registrar, will prepare and deliver a eulogy, usually at a local crematorium or at the graveside in a non-denominational cemetery.

3.2 The Government White Paper "Civil Registration: Vital Change" set out an agenda for a modern, effective and high quality Registration Service. To underpin this, local authorities were to be given more responsibility for local service delivery that would meet both national standards and local community needs.

3.3 As part of this modernisation agenda, the Registration Service pursued new governance arrangements and the new "Halton Registration Scheme 2007" came into effect on 4 July 2007. This provides for a more flexible, less prescriptive framework and commits Halton to the terms of the Code of Practice (which determines service delivery standards) and to meeting the national standards contained in the Good Practice Guide for local Registration Services.

- 3.4 In relation to Civil Funerals, the White Paper reads “As society changes and develops, there may be other celebratory services that local authorities would wish to provide such as civil funerals.” The availability of celebratory services will be included as an element of national standards of service provision. Local authorities will be required to deliver these services locally or direct enquiries to other neighbouring authorities where such services are provided.
- 3.5 Since 2006 the Service has conducted naming ceremonies and ceremonies for the re-affirmation of marriage vows. These have proved to be, and continue to be popular with the residents of Halton. The Service would now like to extend the range of its discretionary services by offering a civil funeral ceremony. There have been a number of enquiries for civil funerals in recent years, and given the “signposting” requirements outlined in the above paragraph, the enquirers have had to be directed to the Liverpool and Cheshire Registration Services.
- 3.6 As part of the monitoring procedure for the Registration Service, customers were surveyed on their views on the possibility of offering a non-religious funeral service. Some 70% of those responding either strongly agreed/agreed, 28% had no views, and only 2% strongly disagreed. Surveys on this specific issue were also sent to local ministers and funeral directors. Out of 17 clergy responses, 53% strongly agreed/ agreed and out of three funeral director responses, two strongly agreed/agreed whilst the third contracted a humanist to provide civil funerals and was therefore not interested in a local service provision.
- 3.7 The Registration Service has been working in partnership with the Council’s Bereavement Services to develop a civil funeral offer. Members of staff from both Services have been trained and are keen to offer this additional service. They feel they have the empathy required, plus a wide and practical knowledge and are experienced and professional celebrants.
- 3.8 The Council will be able to set and levy fees for the ceremonies. Following benchmarking with neighbouring authorities it is suggested that initial fee for a civil funeral on a weekday should be set at £165.
- 3.9 The Safer Halton Policy and Performance Board considered this matter when it met on 17 June 2008 and was supportive of extending discretionary Registration services in this way.

#### **4.0 POLICY IMPLICATIONS**

- 4.1 This proposal, if agreed, will extend the range of discretionary services offered by the Council’s Registration Service. This is in-line with the ongoing modernisation of this service nationally.

## **5.0 FINANCIAL IMPLICATIONS**

- 5.1 As the service has not yet been publicised, it is difficult to gauge the number of requests by the public for ceremonies. However, it is not expected that demand for the service will be high. All services will be self-financing and should provide additional income to the Council.
- 5.2 In the short-term, officers may work additional hours at plain time to prepare and deliver the service. However, the cost of their time will be more than offset by the fees charged. Longer-term, officers will undertake these duties in place of other duties (which will reduce as service modernisation progresses nationally).

## **6.0 OTHER IMPLICATIONS**

- 6.1 The service is optional for Councils and applicants. The Council would be using its authority under the well-being powers conferred by Section 2 of the Local Government Act 2000 to offer the service and make an administrative charge to recover its costs.

## **7.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES**

### **7.1 Children and Young People in Halton**

None directly.

### **7.2 Employment, Learning and Skills in Halton**

None directly.

### **7.3 A Healthy Halton**

None directly.

### **7.4 A Safer Halton**

None directly.

### **7.5 Halton's Urban Renewal**

None directly.

## **8.0 RISK ANALYSIS**

- 8.1 The main risk associated with offering a civil funeral ceremony is that staff could find it difficult at times to refuse the service, but it could also be difficult to commit at short notice. Funeral directors would require an immediate answer. The provision of staff to quickly fulfil the request of meeting with the family, drafting the eulogy and delivering the service usually all within a few days, will have to be monitored.

The proposal is not so significant as to require a full risk assessment.

**9.0 EQUALITY AND DIVERSITY ISSUES**

9.1 The recommendations have a positive impact on diversity, as the result of pursuing them will be to give the people of Halton freedom of choice to access such a secular service locally. The report is neutral in terms of equality.

**10.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

10.1 There are no background papers within the meaning of the Act.

**REPORT TO:** Executive Board Sub Committee

**DATE:** 25 July 2008

**REPORTING OFFICER:** Strategic Director, Health and Community

**SUBJECT:** Nationality Checking Service

**WARDS:** Boroughwide

## **1.0 PURPOSE OF THE REPORT**

- 1.1 To seek Members' support for the Registration Service to enter into partnership with the Home Office to offer the Nationality Checking Service (NCS).

## **2.0 RECOMMENDATION: That**

- (1) the Executive Board agrees to the Registration Service extending its offer of discretionary services to include the Nationality Checking Service, as outlined in this report, and**
- (2) the Board agrees to the fees that are proposed for this service in paragraph 3.8 of this report.**

## **3.0 SUPPORTING INFORMATION**

- 3.1 The Nationality Checking Service (NCS) is a checking and advice service that helps those seeking citizenship make a good quality and complete application which the Home Office's Nationality Group will be able to determine more quickly.
- 3.2 A number of Registration Services already offer the NCS and the arrangement has proved to be a success for all concerned, but demand for the service still exceeds supply and the Home Office are keen to recruit more Council partners. The aim is to create a more cohesive service for citizenship from application, through processing and on to the citizenship ceremony, involving local authorities across the UK and the Nationality Group of the Home Office.
- 3.3 The NCS was introduced due to the large number of flawed applications received by the Home Office, one consequence of which was that the applicant lost the statutory fee for that application. Such fees are presently £655 for a single person, £735 for a couple and £400 for one or more children - hence, from a financial point of view alone, the importance to the applicant of ensuring their application is "right first time" via this checking service is clear.

- 3.4 Further, the service provides the applicant with the confidence that their “checked” application will pass smoothly through the Home Office process and significantly, it enables the applicant to retain all their important documents (such as their passport) rather than post them to the Home Office.
- 3.5 The Border and Immigration Agency of the Home Office benefit as the number of flawed applications is greatly reduced and this raises the efficiency of their operation. This is a further positive for applicants as it reduces the processing time for all applications in the system.
- 3.6 Councils offering NCS are considered to be immigration advisers by the Office of the Immigration Services Commissioner (OISC), an independent body established by Parliament to regulate immigration advisers. The process to be followed to become an NCS partner is therefore:
- Registration Service Manager to undergo a short initial assessment on the role and function of the OISC
  - Application for the Council’s registration as a Level 1 adviser submitted along with annual fee of £555
  - Council’s NCS marketing plan submitted to the Border and Immigration Agency
  - Registration Officers who will be providing the service attend a one day (free) training session and then pass an on-line Level 1 adviser assessment
- 3.7 The service is aimed at anyone seeking British Nationality and not merely those who are resident in the Borough of Halton. The experience of those Councils already offering the service is that applicants will phone around to secure the earliest NCS appointment that is available, and that applicants are prepared to travel some distance to secure an appointment that suits.
- 3.8 The Council will be able to set and levy fees upon applicants for the provision of the NCS and it is suggested that initial fees should be set as follows:

<u>Type of Application</u>	<u>Fee</u>
An adult submitting a single application	£45
A husband and wife, or civil partners, living together and applying at the same time	£65
A husband and wife, or civil partners, living together and up to two children, all applying at the same time	£75



Additional children on a parent's application, applying at the same time as the rest of the family (see above) each pay an additional fee	£15
Children under the age of 18 who apply separately from their parents each pay an additional fee	£25

- 3.9 The Safer Halton Policy and Performance Board considered this matter when it met on 17 June 2008 and were supportive of extending discretionary Registration services in this way.

#### **4.0 POLICY IMPLICATIONS**

- 4.1 This proposal, if agreed, will extend the range of discretionary services offered by the Council's Registration Service. This is in-line with the ongoing modernisation of this service nationally.

#### **5.0 FINANCIAL IMPLICATIONS**

- 5.1 In the 2007/2008 financial year, the income target for the Registration Service was almost £97,000. In the coming years, certain of the income streams that make-up this target will reduce or disappear. For example, income from copy certificates will reduce as banks, insurance companies and government departments & agencies are able to access the relevant information electronically. Further, the consolidated payment received from the government for issuing medical cards (for the Department for Health) or for issuing death certificates (for the Department for Work and Pensions) is likely to disappear.
- 5.2 Given the above, if the Registration Service fails to take advantage of alternative sources of income it will have a negative impact on budgets in the coming years.
- 5.3 In the short-term, officers may work additional hours at plain time to cover additional (NCS) appointments. However, the cost of their time will be more than offset by the fees charged. Longer-term, officers will undertake these duties in place of other duties and levy NCS fees in place of other income.

#### **6.0 OTHER IMPLICATIONS**

- 6.1 The service is optional for Councils and applicants. The Council would be using its authority under the well-being powers conferred by Section 2 of the Local Government Act 2000 to offer the service and make an administrative charge to recover its costs.

#### **7.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES**

**7.1 Children and Young People in Halton**

None directly.

**7.2 Employment, Learning and Skills in Halton**

None directly.

**7.3 A Healthy Halton**

None directly.

**7.4 A Safer Halton**

None directly.

**7.5 Halton's Urban Renewal**

None directly.

**8.0 RISK ANALYSIS**

- 8.1 The main risk associated with offering the NCS is that if officers make mistakes, resulting in nationality application fees being lost, individuals / families will look to the Council to reimburse them for their loss. The key control measures in place to minimise such a risk are that Registration Officers, for whom accuracy and attention to detail is a key competence, will be delivering the Service and in addition, they will receive training and have to pass an on-line assessment before qualifying as an adviser.

The proposal is not so significant as to require a full risk assessment.

**9.0 EQUALITY AND DIVERSITY ISSUES**

- 9.1 The recommendations have a positive impact on diversity, as the result of pursuing them will be to support the creation of a more cohesive service for citizenship from application, through processing and on to the citizenship ceremony. It will result in the provision of much needed technical support for individuals and families to streamline their nationality applications. The report is neutral in terms of equality.

**10.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

- 10.1 There are no background papers within the meaning of the Act.

**REPORT TO:** Executive Board Sub-Committee

**DATE:** 25<sup>th</sup> July 2008

**REPORTING OFFICER:** Strategic Director – Environment

**SUBJECT:** Halton Village Conservation Area Appraisal and Management Plan

**WARDS:** Castlefields

## **1.0 PURPOSE OF THE REPORT**

- 1.1 This report seeks the Board's approval for the publication of the Halton Village Conservation Area Appraisal and Management Plan (Appendix A) for public consultation.

## **2.0 RECOMMENDATION: That**

- 1) The draft Halton Village Conservation Area Appraisal and Management Plan (Appendix A) is approved for the purposes of public consultation for a two week period;**
- 2) Any further editorial and technical amendments that do not materially affect the content of the document be agreed by the Operational Director (Environmental & Regulatory Services) in consultation with the Executive Board Member for Planning, Transportation, Regeneration and Renewal, as necessary, before the document is published for public consultation; and**
- 3) The results of the public consultation exercise and consequent recommended modifications to the draft Halton Village Conservation Area Appraisal and Management Plan be reported back to the Executive Board, for resolution to adopt the document.**

## **3.0 SUPPORTING INFORMATION**

- 3.1 Halton Village lies immediately adjacent to Halton Lea in Runcorn New Town, bordered by Town Park and a number of residential areas including Halton Brow and Castlefields. The central focus of Halton Village is Halton Castle, located on Castle Road.
- 3.2 Halton Village was designated as a Conservation Area in April 1970. The statutory definition of a conservation area is 'an area of special architectural or historic interest, the character or appearance of which it

is desirable to preserve or enhance.’ Section 71 of the Planning (Listed Buildings and Conservation Areas) Act 1990 places a duty on local authorities to formulate and publish proposals for designated conservation areas.

- 3.3 National policies for the designation, protection and enhancement of conservation areas are set out within Planning Policy Guidance (PPG) 15, Planning and the Historic Environment. This document states that in exercising their planning functions, local authorities must pay special attention to the desirability of preserving or enhancing the character or appearance of such areas. The Secretary of State has the view that this should also be a material consideration in determining planning applications that affect the setting or views into and out of conservation areas.
- 3.4 Guidance published by English Heritage states that, “A clear, comprehensive appraisal of the character of a conservation area provides a sound basis for development control and for developing initiatives to improve the area”. In addition, English Heritage guidance recommends that appraisals should be carried out for all new, or extensions to existing, conservation areas as a matter of course in order to inform the designation process. It also recommends that priority be given to preparing appraisals for those areas where the pressure for change is the greatest.
- 3.5 It is with the above statutory duty in mind that the Council has produced a draft Conservation Area Appraisal and Management Plan for Halton Village (attached as Appendix A). The document is split into two parts: the Conservation Area Appraisal (Part 1) and the Management Plan (Part 2), although these two sections are largely interconnected and interdependent. Both of these sections have been produced in line with English Heritage’s published guidance on conservation area appraisals and the management of conservation areas. The draft document is based on specialist work undertaken by Donald Insall Associates Ltd, as instructed by the Council.
- 3.6 The Conservation Area Appraisal (Part 1) contains the following: details of the location of Halton Village; and the village’s historic development; a description of the landscapes and vistas surrounding the area; the contribution of individual buildings and the townscape as a whole; a record of buildings architecture, materials and details; the changes amounting from unsympathetic alterations and extensions; and an assessment of lost buildings within the area. This information feeds into an assessment of the special character of the village and the defining of character zones.
- 3.7 The Management Plan (Part 2) sets out proposals for the maintenance and improvement of the village. This includes general management proposals for new development, reinstatement of lost features, landscaping and streetscapes. It also includes proposals for future

community involvement and the potential use of grants and repair notices for buildings in the Conservation Area. In addition, the Management Plan proposes more specific management projects, which focus on distinct issues, including boundary amendments and potential scope for the use of Article 4 directions, and particular buildings or areas within the village.

- 3.8 Several appendices to the Halton Village Conservation Area Appraisal and Management Plan have been produced including maps and plans of key features of the built and natural environment, and historic maps. Pictorial representations of some of the management proposals have also been drawn up, including a map of proposed boundary amendments. A Gazetteer of all of the buildings within the Conservation Area has also been produced.
- 3.9 There is currently no statutory obligation to engage in public consultation in respect of conservation area appraisals and management plans. However, it is widely considered to be good practice to involve the local community in assessing the value of a conservation area. English Heritage recommend that public participation should be an integral part of the appraisal process, and assert that local consultation can help to bring valuable public understanding and ownership to proposals for the area. It should be noted that the document has already been subject to internal consultation with officers from relevant divisions.
- 3.10 Local councillors will be notified of the publication of the document for public consultation, and will receive a paper copy of the document, as well as a responses form and an explanatory letter.
- 3.11 Once all of the comments have been received and considered, they will be reported back to Executive Board along with the final draft of the Conservation Area Appraisal and Management Plan for approval.

#### **4.0 POLICY IMPLICATIONS**

- 4.1 Once formally adopted, the Conservation Area Appraisal and Management Plan will be a material consideration in the matter of assessing planning applications in, or directly affecting, Halton Village Conservation Area, through the development control process. The document will also help to inform future projects for the management and maintenance of the historic environment in Halton Village.
- 4.2 The Management Plan gives proposals for boundary amendments to the Halton Village Conservation Area, and the imposition of Article 4 directions, which, if formally adopted, would limit (otherwise permitted) development within some parts of the Conservation Area. Of particular note is the proposal that Halton Brow should be considered as a potential extension to the existing Halton Village Conservation Area, or

be designated as a conservation area in its own right. Dependent on the outcome of the public consultation process, some of these proposals for action may be taken forward, and would require further formal confirmation at the appropriate time.

## **5.0 OTHER IMPLICATIONS**

- 5.1 Some of the management proposals given in the document suggest that further studies and/or surveys should be undertaken to better assess aspects of the Conservation Area or to inform future management decisions. This will help to coordinate future actions by the Council and its partners for the benefit of residents and business in Halton Village.
- 5.2 It is intended that the Halton Village Conservation Area Appraisal and Management Plan will be used as a template for undertaking area appraisals and management plans for other conservation areas in Halton when resources permit. In the last six months, both Daresbury and Moore Parish Councils have requested that appraisals be undertaken in their respective conservation areas. It is in the Council's interest to complete and adopt these documents in order to better manage the Borough's heritage assets.
- 5.3 At the appropriate time in the future both the Conservation Area Appraisal and Management Plan will need to be updated. English Heritage suggest that this adopted documents should be reviewed every five years, although it is envisaged the comprehensiveness of the Halton Village document means that it will remain valid and relevant for a longer period.

## **6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES**

### **6.1 Children and Young People in Halton**

No implications envisaged.

### **6.2 Employment, Learning and Skills in Halton**

The Halton Village Conservation Area Appraisal and Management Plan intends to inform residents and the local community of the special character and interest associated with the Conservation Area, and to educate them of the steps required in maintaining and enhancing these assets. Hence, local people will be able to increase their knowledge of processes involved in the conservation of the built environment, and in doing so, may develop new skills.

### **6.3 A Healthy Halton**

The Halton Village Conservation Area Appraisal and Management Plan include a section on the open and green spaces contained within Halton Village. These strategic assets to the village, and the

communities living in and around the Conservation Area, can be variously used for organised sports, children's recreation or informal walking, participation in which can be beneficial for health and well-being. The document aims to help safeguard these green environments, including their flora and fauna, by proposing that surveys and management schedules be prepared, that footpaths and access points be improved, and that indigenous planting be encouraged.

The proposed preparation of a Conservation Trail for Halton Village has the aim of encouraging a greater number of people to take exercise by walking around the Conservation Area and enjoying its built and natural environment.

**6.4 A Safer Halton**

The Halton Village Conservation Area Appraisal and Management Plan proposes that footpaths, particularly around Halton Castle, be improved, which will increase the levels of safety associated with their use. Also, the increased use of paths and around the Conservation Area, particularly through green spaces and around Halton Castle, will increase levels of surveillance and animation in the Village, which can help to reduce anti-social behaviour and the fear of crime.

**6.5 Halton's Urban Renewal**

The Halton Village Conservation Area Appraisal and Management Plan will contribute towards the preservation and enhancement of the historic environment in Halton Village.

**7.0 RISK ANALYSIS**

It is not envisaged that there are any risks posed by the publication of the Halton Village Conservation Area Appraisal and Management Plan for public consultation.

The publication of this document does not require a full Risk Assessment to be undertaken.

**8.0 EQUALITY AND DIVERSITY ISSUES**

There are no equality and diversity issues contained within the Halton Village Conservation Area Appraisal and Management Plan.

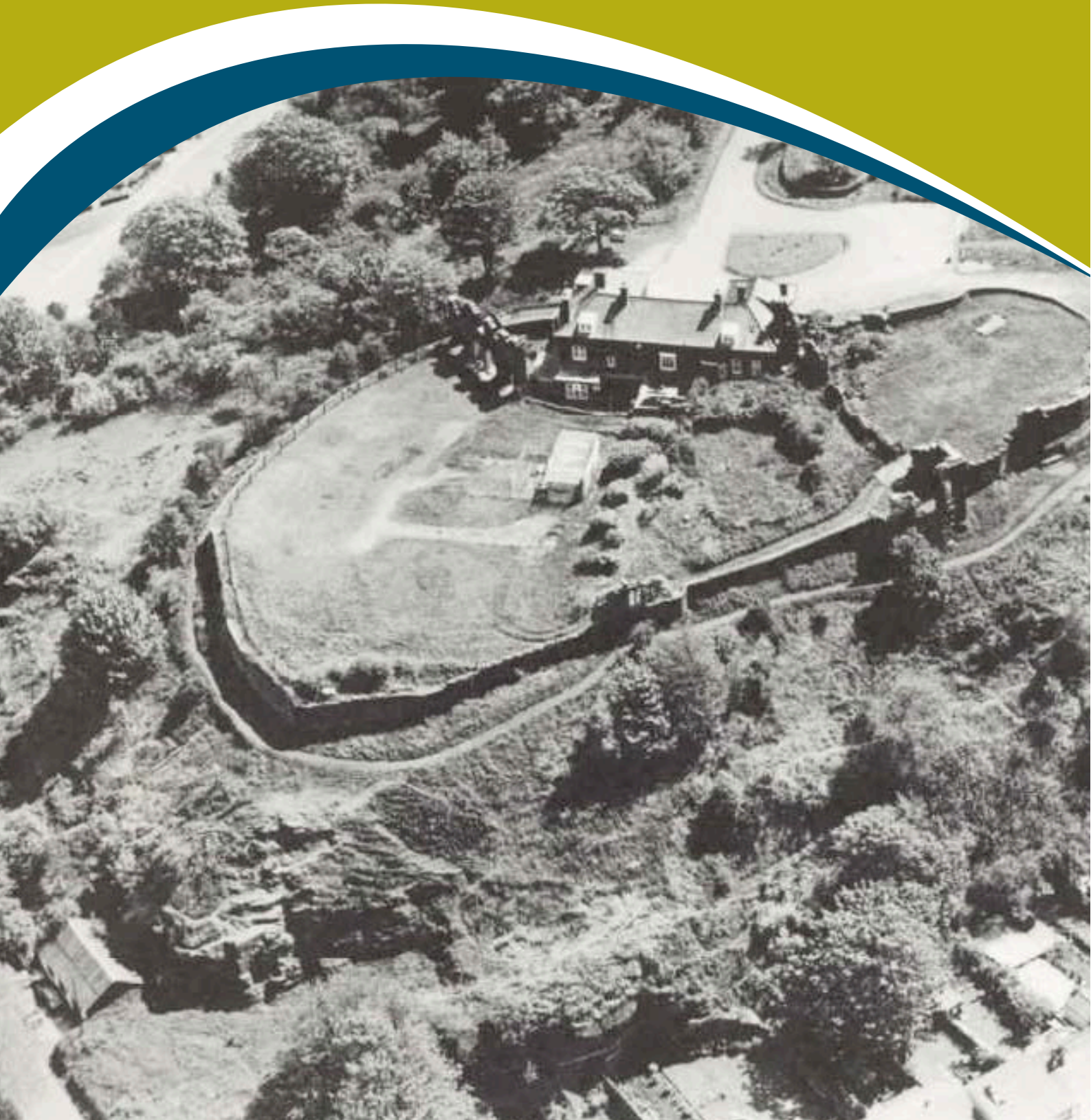
**9.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

<b>Document</b>	<b>Place of Inspection</b>	<b>Contact Officer</b>
<b>Planning (Listed Buildings and Conservation Areas) Act 1990</b>	<b>Rutland House</b>	<b>Neil MacFarlane</b>
<b>Planning Policy Guidance 15: Planning and the Historic Environment</b>	<b>Rutland House</b>	<b>Neil MacFarlane</b>
<b>Guidance on Conservation Area Appraisals (English Heritage, 2006)</b>	<b>Rutland House</b>	<b>Neil MacFarlane</b>
<b>Guidance on the Management of Conservation Areas (English Heritage, 2006)</b>	<b>Rutland House</b>	<b>Neil MacFarlane</b>





# Halton Village Conservation Area Appraisal and Management Plan





**HALTON VILLAGE  
CONSERVATION AREA  
APPRAISAL AND  
MANAGEMENT PLAN  
PUBLIC CONSULTATION  
DRAFT 2008**

This document has been produced in partnership with Donald Insall Associates Ltd, as it is based upon their original appraisal completed in april 2008. if you wish to see a copy of the original study, please contact Halton Borough Council's planning and policy division.

Cover Photo courtesy of Norton Priory Museum Trust and Donald Insall Associates.

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### BACKGROUND TO THE STUDY

This document has been produced in partnership with Donald Inall Associates Ltd, as it is based upon their original appraisal completed in

## PREFACE

April 2008. If you wish to see a copy of the original study, please contact Halton Borough Council's Planning and Policy Division.

The purpose of this document is to provide a survey and appraisal of the character and fabric of the existing Conservation Area (Part 1) and propose a management plan to advise on necessary changes and additional protection or improvement measures required to preserve and enhance Halton Village's special character (Part 2).

### SCOPE AND STRUCTURE OF THE STUDY

The scope of this Conservation Area Appraisal and Management Plan is based on the guidelines published by English Heritage ('Guidance on Conservation Area Appraisals' and 'Guidance on the Management of Conservation Areas', both dated February 2006). In accordance with the guidelines, the following framework has been broadly used as the basis for analysis of the Conservation Area:

- Location and population
- Origins and development of the settlement
- Prevailing or former uses and their influence on plan form or building type
- Archaeological significance
- Architectural and historic qualities of buildings
- Contribution made by key unlisted buildings
- Character and relationship of spaces
- Prevalent and traditional building materials

- Local details
- Contribution made by green spaces, trees, hedges, etc
- Setting of the Conservation Area and its relationship with the surrounding landscape
- Extent of loss, intrusion or damage
- Existence of any neutral areas

Part 1 of document has been structured to encompass these areas of study, which then feed into Part 2's management proposals.

### EXISTING DESIGNATIONS AND LEGAL FRAMEWORK FOR CONSERVATION AREAS AND THE POWERS OF THE LOCAL AUTHORITY

The statutory definition of a conservation area is 'an area of special architectural or historic interest, the character or appearance of which it is desirable to preserve or enhance.' Section 71 of the Planning (Listed Buildings and Conservation Areas) Act 1990 places a duty on local authorities to formulate and publish proposals for designated conservation areas.

Halton Village Conservation Area was designated in April 1970 and a summary of the area was produced by Cheshire County Council at this time. However, Halton Village has not had a formal appraisal or management plan prepared and adopted.

National policies for the designation, protection and enhancement of conservation areas are currently set out within Planning Policy Guidance (PPG) 15: Planning and the Historic Environment. Paragraph 4.14 of PPG15 states that in exercising their planning functions, local authorities

must pay special attention to the desirability of preserving or enhancing the character or appearance of such areas. The Secretary of State has the view that this should also be a material consideration in determining applications that affect the setting or views into and out of conservation areas.

Halton Borough Council sets out policies regarding conservation areas within Chapter 2, policy BE12 and paragraphs 34-45 of the Halton Unitary Development Plan (UDP), adopted in April 2005. Due to the recent introduction of a new planning system, Halton Council is currently going through a process of replacing the UDP with the Halton Local Development Framework (LDF). The LDF will include new policies in relation to the protection and enhancement of the historic environment in Halton. This Conservation Area Appraisal and Management Plan will sit alongside new LDF documents and policies.

Whereas listing focuses on individual buildings, conservation area policies allow the same general conservation principles to be applied over a whole area. Conservation area designation brings control over demolition within the defined area and provides the basis for policies designed to preserve and enhance the area's character, appearance or special interest. The regulation extends further than just buildings; overall vistas, streetscapes and landscapes are recognised as playing a vital role. A further duty is placed upon Local Authorities to formulate proposals for the preservation and enhancement of their individual conservation areas by

specifically identifying what is to be preserved or enhanced.

Whilst conservation area designation can impose limitations on building owners' development rights, it often opens up opportunities for enhancement. Promotion of an understanding of the importance and character of the conservation area amongst local residents can lead to successful schemes of improvements initiated through smaller projects, such as the gradual reintroduction of boundary walls.

In accordance with English Heritage guidance on Conservation Area Appraisals and Management Plans, and PPG15, it is vital to define what is of special interest in the village of Halton. Part 1 of this document describes the special interest of the designated area and the process of testing it against consistent criteria. Part 2 goes on to suggest specific enhancement and improvement schemes to reinforce the character of the conservation area and advises on the control of damaging accumulative change, for instance through the use of Article 4(1) or 4(2) directions which can remove some permitted development rights. As is the case with all conservation areas, if nothing is done to prevent unsatisfactory alterations it could ultimately result in the loss of what makes the place special.

## WHAT HAPPENS NEXT?

The Council are currently seeking views of the local community and other stakeholders on this draft Appraisal and Management Plan. Following the end of the consultation period, representations will be

collected and considered by Council officers. Amendments will then be made to the content of the Conservation Area Appraisal and Management Plan, before it is presented before the Council's Executive Board for formal adoption.

Once adopted, the document will be a material consideration for planning applications affecting the Halton Village Area. It will also provide a management structure for coordinating future projects aimed at improving and enhancing the area.

## 6

## PART I CONSERVATION AREA APPRAISAL

### LOCATION

#### 1.1 LOCATION

##### 1.1.1 GEOGRAPHIC LOCATION

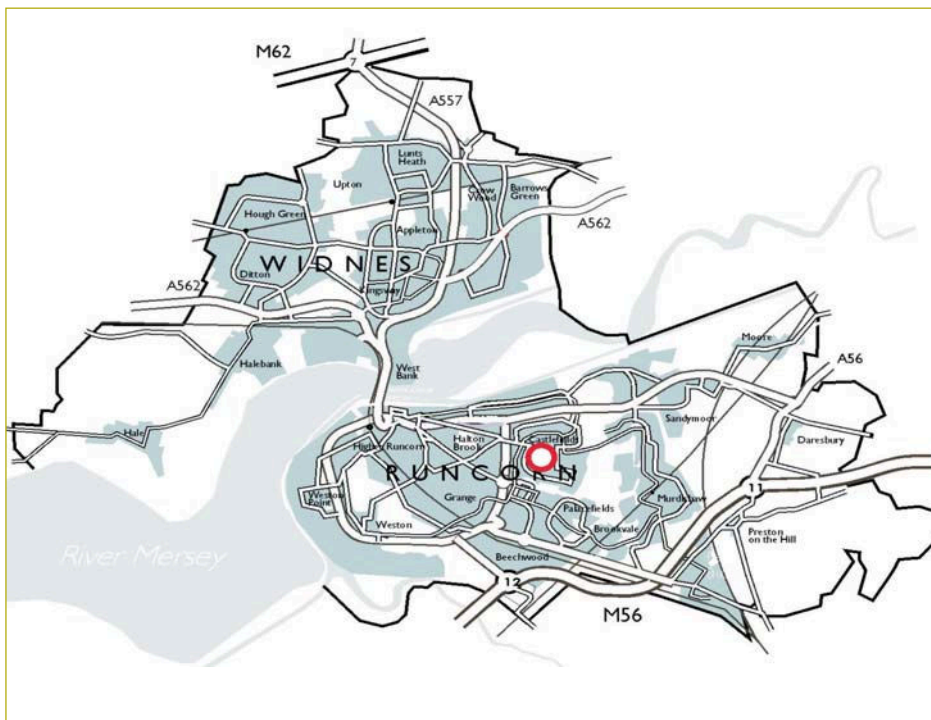
Figure 1: The view from Halton Castle towards the River Mersey



Halton Village is located immediately adjacent to Halton Lea, the administrative and social core of Runcorn New Town. Although Runcorn and Halton were once separate places in their own right, both are now joined, together with a number of other small former townships, within the largely modern New Town. Halton Village sits within a mile of the River Mersey and is

approximately 15 miles southeast of Liverpool and 15 miles northeast of Chester. Halton Village is geographically within the county of Cheshire and within the administrative boundary of Halton Borough Council, which covers the Runcorn and Widnes areas and is a unitary authority.

Figure 2: The location of Halton Village



#### 1.1.2 TOPOGRAPHY AND GEOLOGY

The focal point of the Conservation Area, Halton Castle, sits on a high sandstone outcrop at the end of the mid Cheshire ridge, overlooking the south bank of the River Mersey. Whilst the area around the castle is relatively flat, with only a slight incline towards the river, the Castle Hill affords views across Halton Borough and the Mersey Estuary. The gradual incline of the hill to the southeast allows vehicular access to the castle and the other buildings on Castle Road. However, the gradient to the north, west and east sides of Halton Castle are considerably greater, with red sandstone cliffs providing a dramatic backdrop to many of the buildings along Main Street. Many of these near-vertical cliffs have interesting exposed rock-strata. These geological features, typical of Triassic formations, are also seen at the base of the high castle perimeter walls.

#### 1.1.3 GENERAL USAGE

The predominant use of buildings within the area is residential. However there are a small number of shops along Main Street together with the community buildings of the churches and British Legion Club and public houses. The village also boasts several green spaces, some of which are used for recreational purposes.

#### 1.1.4 CONSERVATION AREA AND STUDY AREA BOUNDARY

The existing Conservation Area Boundary approximately follows the



extent of the historic village and includes all but one of listed buildings within the immediate area. The boundary excludes areas of predominately 20th century housing. Most of the area within the boundary falls along Main Street, around Millennium Green, Castle Hill and Halton Common. The boundary is irregular and excludes a central area of

modern housing along Mount Road and St. Mary's Road that sits between Halton Common and the castle.

Figure 3 shows extent of the Conservation Area and listed buildings within Halton Village. This includes many important historic buildings, most notably the grade I listed Halton

## HISTORIC DEVELOPMENT

Castle, which is also designated as a Scheduled Monument. The Castle Hotel Public House, the Chesshyre (Parish) Library, the Vicarage, the Old Hall and the Seneschal's House are all listed grade II\*, to reflect their high importance. Within the village there are 15 further entries on the statutory list designated as grade II. Further detail of the listed buildings within the Conservation Area is given in section 1.4.2 and Appendix B of this document.

Figure 3: The existing Halton Village Conservation Area and its listed buildings



## 1.2 HISTORIC DEVELOPMENT

The town of Runcorn, within which Halton Village is located, has a complex history with a wide range of influences that have shaped its built form over a period of many centuries. These factors range from the area's agricultural past, to the building of the castle and its use as a court, to the effects of the industrial revolution and the building of the New Town. The Cheshire Historic Towns Survey provides detail on the historic development of Halton Borough, through an analysis of texts and maps. While the Halton Castle Conservation Management Plan (CMP) provides a detailed history of the development of Halton Castle and its setting, the following sections contain a brief overview of the history of Halton Village, including its critical relationship with Halton Castle.

### 1.2.1 EARLY HISTORY AND ORIGINS

A small number of archaeological finds have been discovered in and around Halton Village, which feasibly indicate early settlements. An Iron Age coin

found in 1795 suggests a small possibility of a prehistoric enclosure at the summit of the hill where Halton Castle now stands.

There is little conclusive evidence of Roman settlement in Halton. Archaeological excavations at Halton Brow suggest a possible agricultural settlement, with further finds discovered elsewhere in Runcorn. However, as Runcorn is positioned at a distance from the main Roman route between Manchester and Chester, military and economic activity is unlikely.

Chester fell to the Normans in 1069-70 and the county of Cheshire was subsequently divided up into baronies of which Halton was one. The foremost evidence of Halton's early existence is within the Domesday records of 1086. At that time Halton

was the fourth largest manor in Cheshire, with a population of around 200. Runcorn was not mentioned in the Domesday Book, but there are records of its existence in the 10th century, as a fort built to resist the Viking penetration via the Mersey. The earliest certified records of activity at nearby Norton Priory date from 1134.

### 1.2.2 THE CASTLE AND CASTLE HILL

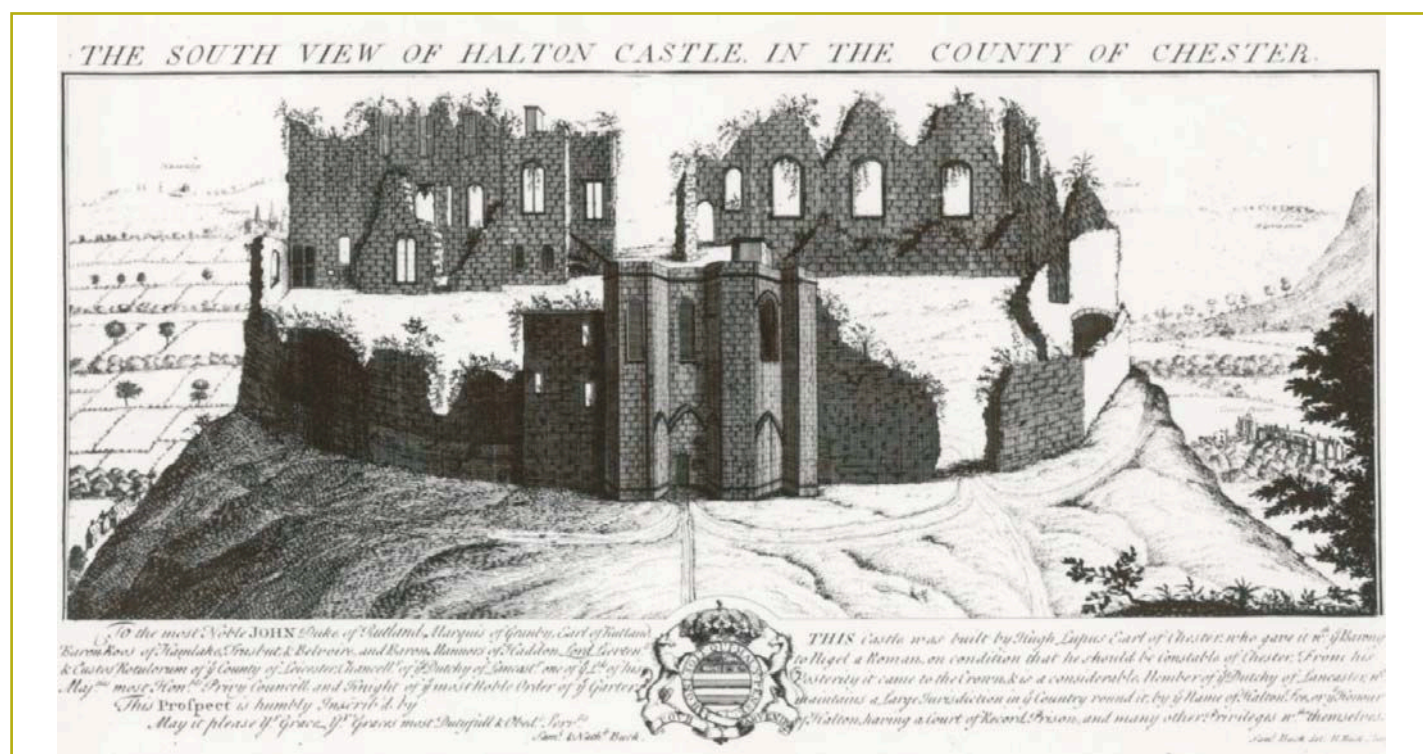
As described above, Halton Castle has been a significant influence on the historical development of Halton Village. Its origins date back to 1071, when it was constructed by Nigel the first Baron of Halton. The site for the castle was likely to have been chosen for its strategic position on a rocky outcrop overlooking the River Mersey. Halton Castle changed ownership a number of times during the following

centuries, undergoing a substantial programme of rebuilding, with a gatehouse being constructed in the 15th century. The castle was partially dismantled during the 17th century, as shown in Figure 4.

The castle gatehouse was demolished to make way for a courthouse, which was constructed in 1737 and used as a courthouse and a prison until 1908. In 1909 it was converted into a hotel, and is now the Castle Hotel public house.

During the early years of the 19th century, changes were made to the castle ruins and grounds to follow the fashion of the time for naturalistic landscapes, influenced by the picturesque movement. Three sections of folly walls were constructed at that time, built to improve the 'romantic' appearance of the castle and in

Figure 4: The Buck Brothers etching of Halton Castle, 1727



particular to make the silhouetted profile of the castle an 'eye-catcher' from nearby Norton Priory. Of these constructions, the most notable that exists today is the high section of wall to the east of the Castle Hotel. Slightly later in the 19th century, sunken gardens were laid out in the centre part of the castle grounds. Whilst the basic layout and structure of this arrangement is thought to still exist today, this area is extensively overgrown, with no evidence of the original planting species remaining.

According to the Halton Castle CMP, the development of Halton Castle over the centuries is reflective of the "multi-layered stories" of settlement, defence, judicial function and hospitality within the political and social historic context of the period of its development. Recent decades have seen the castle's external condition and general appearance worsen, with evidence of vandalism and graffiti in some places. Again, a more detailed exploration of Halton Castle's current condition is given in the Halton Castle CMP.

The building is owned by the Duchy of Lancaster, and in 2002 was leased to Halton Borough Council, with the Norton Priory Museum Trust acting as its managing body. The castle is largely closed to visitors, with the exception of a number of organised events throughout the year, although it is possible for extra visits to be arranged in conjunction with the Norton Priory Museum Trust.

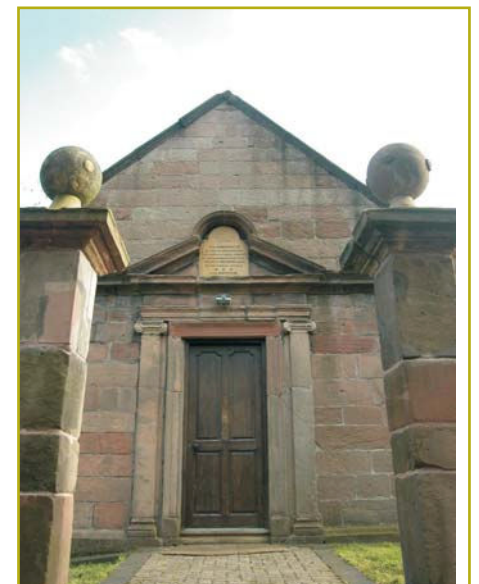
### 1.2.3 DEVELOPMENT OF THE VILLAGE BETWEEN THE 16TH AND 19TH CENTURIES



Figure 5a: The Seneschal's house, Main Street

The development of Halton between the 16th and 19th centuries is well documented in its existing buildings. The oldest building within the village itself, the Seneschal's House, built in 1598, may have been built for the steward of a larger house or a judicial officer, possibly associated with the castle. The Old Hall was built approximately one hundred years later and there are several further buildings dating from the 17th and 18th centuries. Sir John Chesshyre, who lived at nearby Hallwood (now the Tricom Public House), built the Parish Library on Castle Road in 1733. Historic plans show that a drive used to exist between Hallwood and Norton Priory, crossing over the eastern end of Main Street. Despite

Figure 5b: Parish Library, Castle Road



this route now being lost, the gate posts still exist on Main Street, although these are not currently within the Conservation Area.

Whilst the boundaries of Halton Village did not expand to any great extent during the 19th century, the population of the village grew and many sites previously occupied by larger detached houses or farmsteads were developed with terraced housing. This is particularly evident along Main Street. Almost certainly to cater for the change and growth in population, the church on Castle Hill was rebuilt by Sir George Gilbert Scott between 1851 and 1852. Later in the 19th century, the Methodist Church was built on Main Street.

Historic Ordnance Survey (OS) Maps also provide evidence of the historic development of the Village in the 19th and early 20th century. Copies of 1st Edition and 2nd Edition OS maps of Halton Village can be found in Appendix I (1) and I (2) respectively.

#### 1.2.4 20TH CENTURY HISTORY OF HALTON VILLAGE AND SURROUNDING AREAS OF RUNCORN NEW TOWN

Runcorn generally continued to be a successful industrial town in the 20th century, particularly due to its improving transportation links. The Silver Jubilee road bridge became a vital link between Lancashire and Cheshire when it was opened in 1961.

The improvements to the road bridge to cater for traffic increases came at the time of Runcorn's designation as a New Town in 1964. The New Town

was intended to be a provider of employment and modern accommodation to relieve pressure from Liverpool. Runcorn's New Town was built as a series of pockets of development, linked by the Rapid Transit System (reserved for buses, also known as the 'busway'), the series of expressways and a linear green

space linking all areas to a large Town Park. By 1979, Runcorn New Town had attracted 33,500 new residents. The Runcorn New Town Master Plan, published in 1967, contained several images of Halton Village, including the Castle, showing the area before New Town development occurred (see Figure 6).

*Figure 6: Images of Halton Village from the Runcorn New Town Master Plan*



## LANDSCAPE AND VISTAS

One of the more successful long-term and popular (amongst residents) New Town developments is Halton Brow. This development of 1969 was groundbreaking in the way that it approached the curtailment of traffic speed by its layout of informally shaped parking courts at either side of cul-de-sacs. Halton Brow is located adjacent Halton Village (and its Conservation Area boundary), and was planned with a degree of integration into the existing village street network. Attached, as Appendix K, is a copy of a pamphlet produced by the Runcorn Development Corporation to promote Halton Brow.

Aside from the adjacent New Town developments, the village itself has seen a more gradual change over the past 100 years. A very small number of buildings have been built in this time in the historic core of the village and relatively few buildings have been lost through demolition (see Appendix H). Changes to the buildings reflect modern needs (most notably the use of cars) and the advent of new methods of repair and maintenance.

A useful overview of the historic development of the built environment in Halton Village is given in Appendix D. This plan shows the relative age of buildings in the Conservation Area allowing for a practical comparison of the historic buildings and the predominantly 20th century housing which surrounds them. A comparison of this plan with Appendix C of this document shows that those buildings of an older origin (i.e. built before the 19th century) are also often those that make the strongest contribution to the character of the Halton Village Conservation Area (i.e. category A or B in Appendix C).

### 1.2.5 ARCHAEOLOGY AND ARCHAEOLOGICAL POTENTIAL

As mentioned earlier, evidence of a Roman presence at Halton Brow was found in 1936 and the pentagonal ditch was re-examined in 1967, at the time of the construction of the New Town housing. This indicates the possibility of a low-key Roman presence at Halton Village, although there is very little conclusive evidence of settlement around Runcorn.

In 1987 a series of archaeological excavations took place within the grounds of Halton Castle by a team led by Robina McNeil on behalf of the North-West Archaeological Trust. However, there is still much to understand about the castle and its setting. For example, a desk-based study by Gifford of Chester as part of the recent CMP for Halton Castle questioned whether what had previously been thought to have been the external perimeter wall of the castle was indeed just the wall of the inner ward and that, like nearby Beeston Castle, the outer ward encompassed a much wider area, possibly to the foot of the hill. The CMP concluded that the castle site and surrounding area are of high archaeological potential.

There are a great number of historic stone walls and structures within the village and at the base of Castle Hill. It is likely that many of these walls were constructed from stone reclaimed from other sources (possibly the castle itself) and many could possibly be part of much older buildings or defensive structures. As suggested in the Halton Castle CMP, these should be further

investigated as part of an archaeological programme to gain an improved understanding of the history of the village.

## 1.3 LANDSCAPE AND VISTAS

### 1.3.1 SETTING AND RELATIONSHIP WITH THE SURROUNDING AREA

Views into and out of Halton Village Conservation Area are a critical element of its character. The visual relationship between the castle and the surrounding area is important due to the historical significance of the Scheduled Monument and specifically its influence on the physical, social and economic development of Halton Village.

The need to protect the setting of Halton Castle must strongly influence any planning matters within the Conservation Area, but it must also be recognised that the landscape has already irreversibly changed and that the industrialised landscape around the Mersey Estuary, including the river crossings, is now something to be considered of interest in its own right.

The outlook from Castle Hill affords a fascinating overview of the townscape of Halton Village and Runcorn, and provides scope for appreciation of the way in which the urban settlements and industrial areas sit within the wider natural landscape. Views from within the castle grounds give an approximately 270° panorama towards the east, north and west, broken by the more developed and planted, shallower slopes along Castle Road (see Figure 7) towards the



Figure 7: Map showing the extent of 270 degree panoramic view from Castle Hill to the north, west and east

south. A large area of Halton Borough is visible from this vantage point, with the more developed area of Runcorn and Widnes in the foreground and natural features, such as the hills around Frodsham, and the extensive Mersey Estuary in the distance.

Some of the larger, more obtrusive industrial and retail buildings have a negative influence on the views from Halton Castle. Whilst it is accepted that modern buildings are important to this view, the majority are not interesting visual landmarks. The large, flat roof of Asda supermarket at Halton Lea and its associated car park are an example of this problem. Any building that has a large expanse of any one colour or texture is likely to be highly visible from the castle.

Figure 8: The view from Halton Castle to the bowling green and Millennium Green in the foreground, and the Mersey Estuary in the background



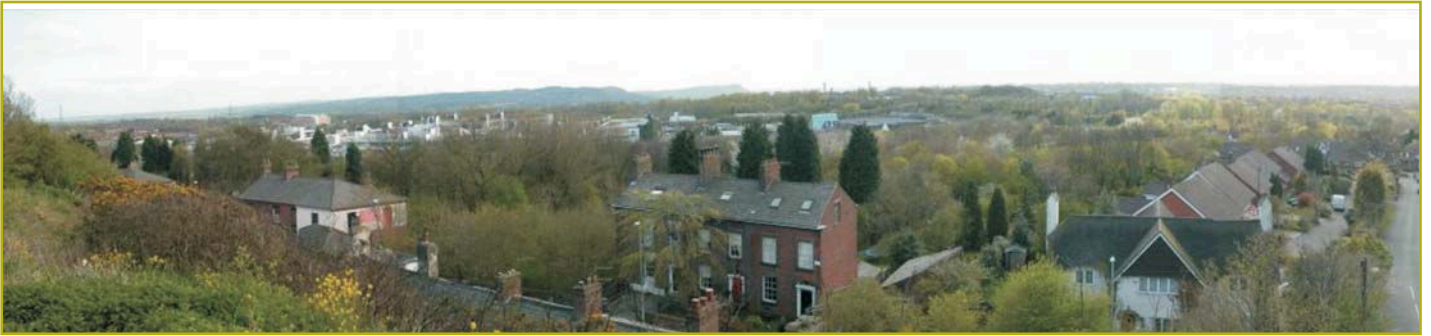


Figure 9: The view from Castle Hill towards Main Street, with Frodsham and Helsby Hills in the background

Astmoor and Manor Park business areas also have a presence on the skyline and visually clutter the area around Norton Priory, making it very difficult to make out the historic site. This has sadly meant that the once strong visual relationship between Halton Castle and Norton Priory is

now lost.

With the exception of the Castle Hill, the village is very insular, with few opportunities for glimpses of the surrounding area. Along Main Street views are confined to Castle Hill and along the street itself, except at the

junction with roads feeding on to it from the east. The most notable view is at the junction between Halton Brow and Main Street where a vista is set up towards the Silver Jubilee Bridge (see Figure 11).

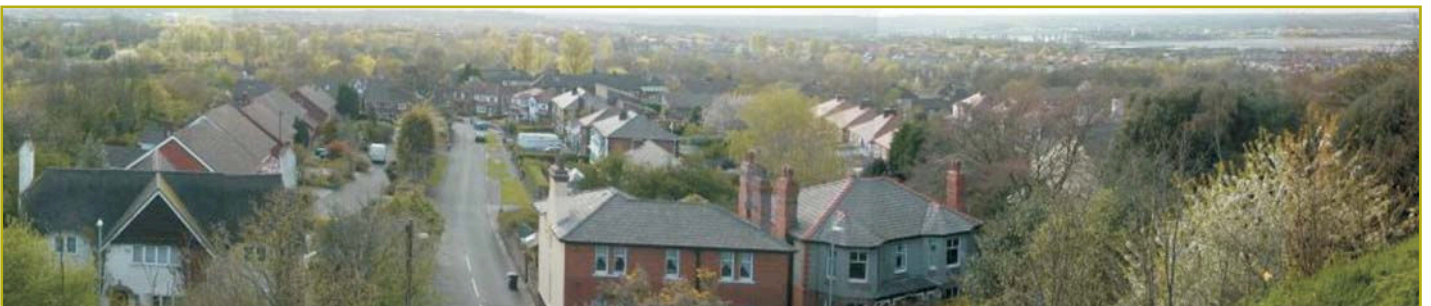


Figure 10: The view from Castle Hill towards Lodge Lane

Figure 11: The view from Main Street to Halton Brow





Figure 12: The view from Asda, West Lane to St. Mary's Church and Halton Castle

Views into the Conservation Area generally feature the castle and St Mary's Church, as little else is visible from a significant distance. The castle is clearly visible from many open areas within about a 1-mile radius to its east, north and west sides, whilst the St Mary's Church is more prominent to the west, south and east. Figure 12 shows the view of the church and the castle from the Asda supermarket car park, which is typical of the way these buildings are seen from the modern surrounding context.

The castle is highly visible in most of the more open parts of the northern half of the Conservation Area and it is highly prominent from the edge of Halton Brow. It is from this area that many historic images of Halton Castle were taken (as Figure 13).

There are significant views towards St Mary's Church from the mid section of Main Street. The undeveloped section of the eastern side of Castle Hill allows for a virtually uninterrupted vista of the west front, whilst gaps between the terraced housing allow for glimpses of the church to be made along Main Street.

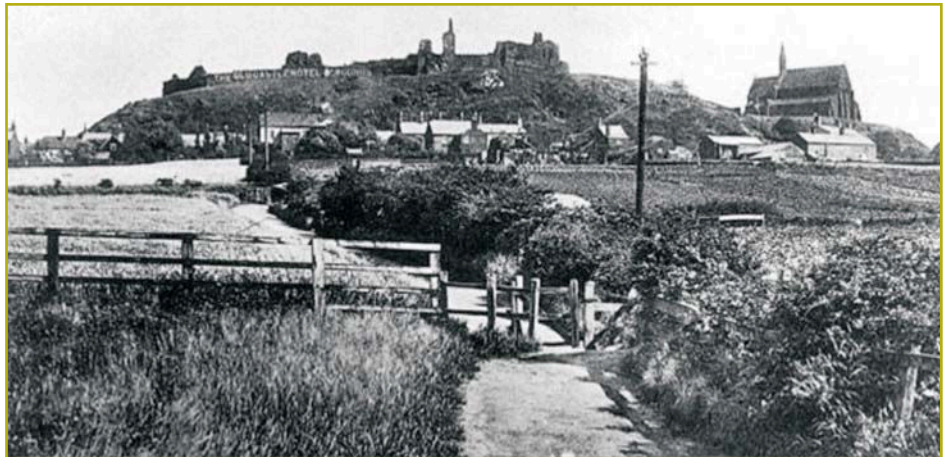


Figure 13: (above) A historic photograph of Halton Castle from Halton Brow and (below) a contemporary view of Halton Castle







Figure 14: The views of St Mary's Church from Main Street

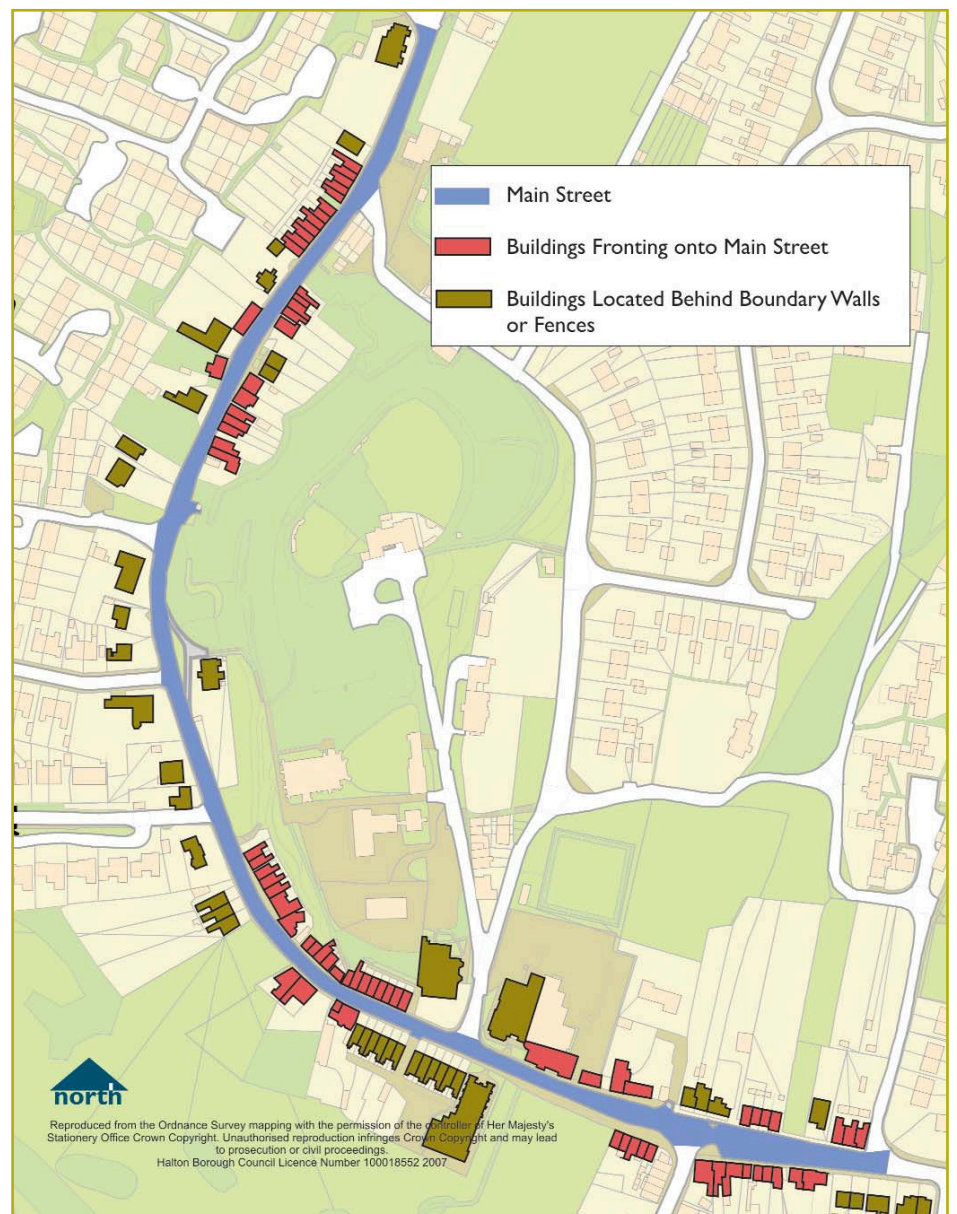


At the street level, the two main entrances into the village are from Halton Lea (via Holt Lane) and from Halton Brow. These routes enter the village from opposite ends and offer opposing impressions of its character. The former route is dominated the modern infrastructure around Halton Lea, before the visitor is funnelled into the narrow, unassuming lane straight into the village itself. The latter gives a less radical change, with the visitor first experiencing the residential areas along Halton Brow, before making a sharp right hand turn into the village. Whilst the Seneschal's House to an extent acts as a gateway to the village on the route from Halton Brow, visually announcing that the visitor has arrived in an area of special historic interest, there is no such building along Holt Lane.

Again at the street level, the road

layout prevents extensive views of the surrounding area. The radius of the loop of roads around the castle affords only short views along the roads and up towards Castle Hill. These short views are enhanced where buildings have a tight frontage onto the highway, creating a strong streetscape: this is a particularly important characteristic of the Conservation Area, especially along Main Street (see Figure 15). Both the lower (south-

Figure 15: Map of Main Street streetscape



eastern) end of Main Street and Castle Road are wider than most of the older roads in the village. This more open streetscape allows many of the historic buildings to be viewed as a group in their wider context.

### 1.3.2 NATURE AND RELATIONSHIP OF SPACES

The nature of the spaces within Halton Village is largely determined by the natural topography of the land. The positioning of the oldest of buildings within the village suggests that the layout of the roads around the core of the village has not changed for at least several hundred years. Castle Hill provides a distinctive and unique arrangement of roads around its base (Main Street and The Underway) with a rich mix of building types. In many places, terraced housing positioned right onto the pavement irregularly opens up to reveal larger buildings, set back from the road, within gardens (see Figure 15). Another influence on the changing nature of the spaces within the village is the variation in density of planting on Castle Hill, allowing various glimpsed views of the castle and St Mary's Church (as described in section 1.3.1).

Many of the roads around the castle have no pavements but are bounded by stone walls, creating enclosed narrow streets. The construction of these walls varies considerably from smooth ashlar to random rubble. In some cases the road has been cut out of the bedrock and the walls are built on a vertically cut section of stone, leaving exposed sandstone outcrops. The very varied height and

configuration of these walls often creates interesting textures and patterns.

Halton Common has a particularly intriguing character. It is surprisingly detached from the village core around the base of the castle, and is linked via an unassuming road (School Lane). The Common has four historic buildings, set along or near an unmade road. The landscape around is unkempt and overgrown and contrasts dramatically with the neighbouring housing estates. The eastern edge of the Common is defined by a high stone wall, separating it from part of the Castlefields housing area. A small cluster of more modern housing sits on the southeast corner of the Common (see Figure 28 in section 1.7.2).

An arm of modern housing interrupts the relationship between the castle and the Common. Modern housing estates of various types and characters wrap around Halton Village to its eastern, northern and western sides. However, this housing is mostly concealed from view along the historic streets.

### 1.3.3 GREEN SPACES AND PLANTING

Views from the castle show that despite the Conservation Area being locked within a built up area, the village and its surroundings are very green. Groups of trees and small green spaces are an important part of the character of the Conservation Area and contribute to the setting of many listed buildings. Some of this planting is carefully managed, while other areas

are self seeded, or unmaintained. The visual effect of the two types from a distance is similar, but upon closer inspection a completely unmanaged area may have a detrimental effect on the indigenous species in the areas and the wildlife that exists within it. Those spaces making an important contribution to the green environment of Halton Village are indicated in Appendix G.

#### a) Halton Castle and Castle Hill:

The castle grounds and hill have a distinct character in terms of their greenery and natural features. The Castle Hill has a number of near vertical cliffs with exposed sandstone strata, but other areas of smooth, gently undulating lawn. It is likely that the planting around the sides of the hill was largely self-seeded with mostly bracken and gorse, with some small oak and birch trees. There are few mature trees around the north, east and west sides of the hill, which suggests that the presence of trees is a relatively recent phenomenon. There are a small number of more mature trees along Castle Road, down the more shallow southern slopes of the hill. These trees play a role in creating the character of the road, with views gradually opening up as the visitor proceeds up the hill.

**b) Halton Common:** Scrubland trees and shrubs currently dominate Halton Common and some of the land surrounding it. There are again many birch trees, which appear to be self-seeded. There are only very small areas of managed planting around the entrance near to the primary school. It is probable that the Common was once used for grazing which would have given it quite a different

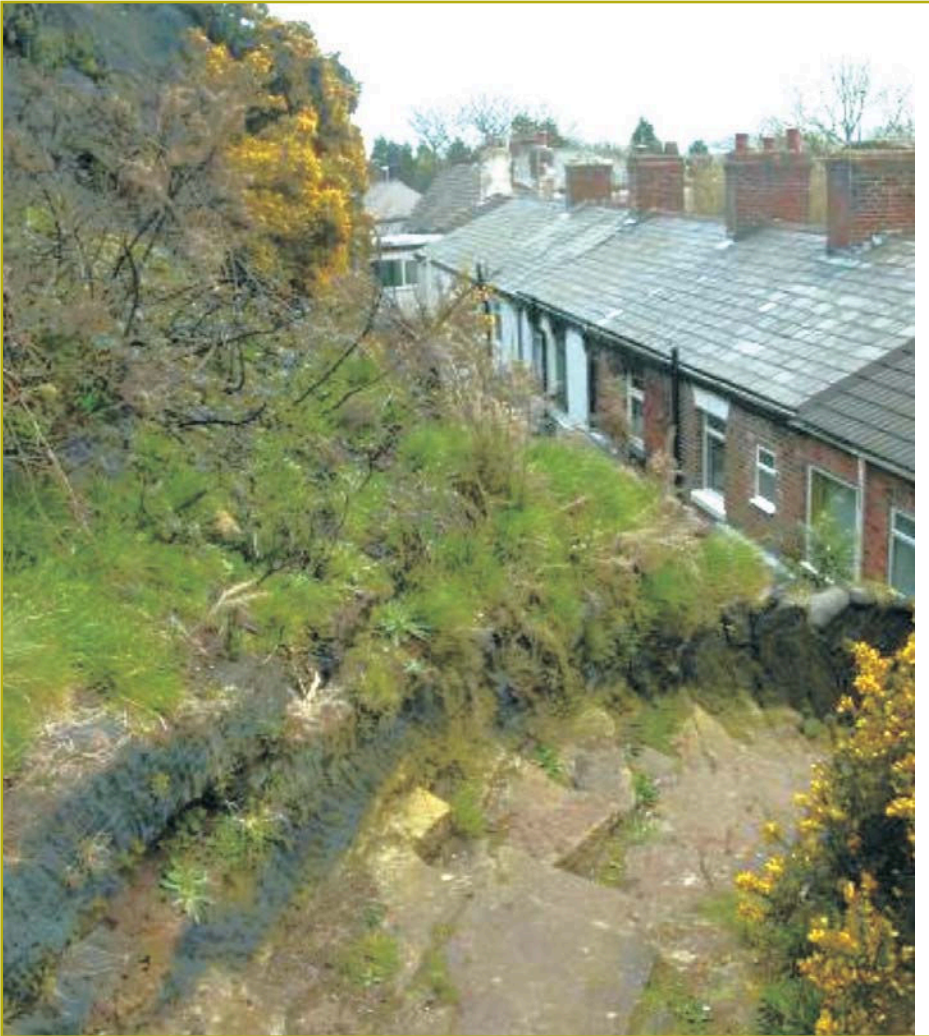
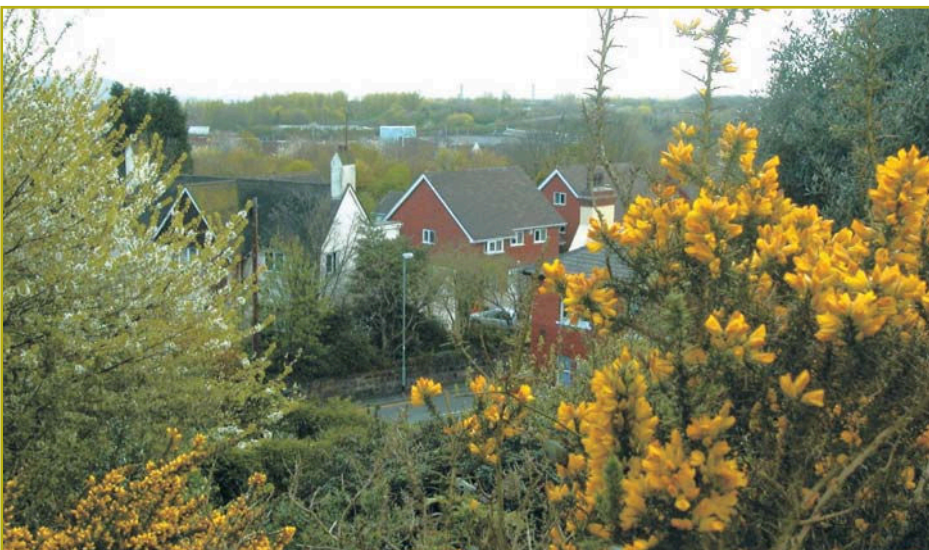


Figure 16: (above) Exposed rock strata and (below) gorse, growing on Castle Hill



appearance of grassland and heath land.

**c) Millennium Green:** Towards the northern end of Halton Village is a strategically positioned open space, consisting of a large grassed area and some public seating. Halton Village's Millennium Green is part of the Countryside Agency's (now Natural England) Millennium Greens initiative, which provided new areas of public open space close to people's homes that could be enjoyed permanently by the local community. Halton Village's Millennium Green is a successful example of the initiative, is well-used by local residents and also offers some excellent views of Halton Castle and Castle Hill.

**d) Town Park:** Although outside the Conservation Area, Town Park plays an important role in the setting of Halton Village as it provides a green break between the historic village and the modern New Town development along the southern end of the designated Conservation Area. Town Park was conceived as part of the 1967 master plan for Runcorn New Town. It has large grassed areas interspersed with clumps of mature trees and is fairly well used by locals for recreational purposes.

All of these green areas are designated and therefore protected as areas of greenspace within the Halton Borough Council's Unitary Development Plan (UDP). Castle Hill is also protected as an important landscape feature within UDP. A number of the trees in the Conservation Area are protected by Tree Preservation Orders (TPOs). Halton Village's green spaces, and its trees and hedges within gardens,

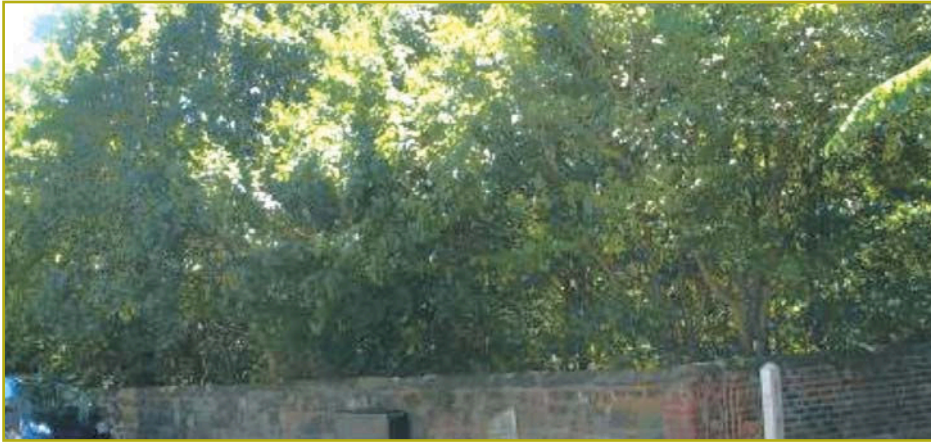


Figure 17: Green spaces along Main Street

contribute to the Conservation Area's special character, with ground level views kept relatively short, allowing views of groups of buildings to be gradually opened up. Hedges, trees and shrubs behind the front boundary walls of the larger houses are important in that they contrast with abrupt citing of most of the terraced houses directly onto the pavements. This mix, seen most evidently along Main Street, is a particular characteristic of Halton Village.

Due to the important contribution made by these green spaces and areas of planting to the character of the village, any loss of greenery would be detrimental to the character of the Conservation Area and would have a

negative effect on many important views including vistas along Main Street.

Another green space of interest, although outside of the currently designated Conservation Area and adjacent to Town Park, is Halton Cemetery, accessed via Holt Lane. The cemetery provides some additional green space between Halton Village and the more built up area around Halton Lea. A war memorial, taking the form of a gate over the footpath, which commemorates those who lost their lives in World War One, marks the cemetery's entrance. This memorial, also known as a Lych Gate, is constructed from oak, as shown in Figure 18a and b, and is similar to those found at the entrance to churchyards around the country. While the cemetery is a valuable resource for Halton Village, it cannot

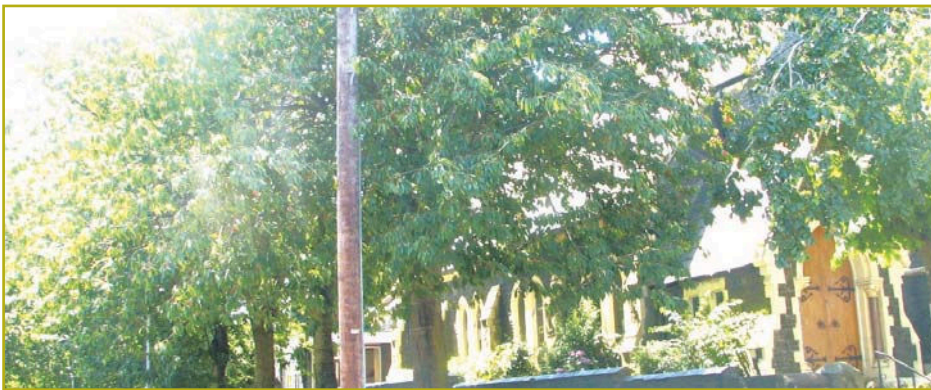


Figure 18a: Lych Gate marking the entrance to Halton Cemetery from Holt Lane



## TOWNSCAPE AND PRINCIPAL BUILDINGS



Figure 18b: Halton Cemetery

be legitimately considered to be part of the village due to its proximity to Halton Lea. However, it is felt that the Lych Gate is of sufficient importance for an application for its listing to be considered

### 1.4 TOWNSCAPE AND PRINCIPAL BUILDINGS

#### 1.4.1 TOWNSCAPE

The urban landscape of Halton Village is dominated and defined by Castle Hill, and the linear arrangement of Main Street around its base. Buildings within the village are predominantly two storeyed, with a small number of three storeyed buildings along Main Street. The taller buildings are generally of a higher historic status,

such as the churches, the Seneschal's House and some of the other grander houses. As discussed earlier in this document, most buildings within the historic core of the village, particularly along the southern end of Main Street, are positioned right along the pavement line in a largely continuous frontage, with historically the more important buildings located behind boundary walls. This clear social hierarchy established over past centuries is still evident, with the two types of historic buildings differing considerably in maintenance and repair. The other streets of Halton Village have a much less clear social hierarchy.

20th century development in the village generally provided mid-sized housing within a fairly small individual

plot, allowing for small gardens and off-road car parking. This housing (some semi-detached, some detached) is positioned around the periphery of the Conservation Area, most notably in a cluster between the castle and the Common. The 20th century housing inevitably varies in quality of materials, design and landscaping and therefore also in the degree to which it contributes to the character of the Conservation Area. Most of the housing is described (on the plan showing contribution of buildings to the character of the Conservation Area in Appendix C) as being of neutral interest and neutral impact upon the townscape of the Conservation Area, as it is set back unobtrusively from the road behind gardens but has little architectural character.

Some of the earlier 20th century (c. 1920s / 1930s) houses have some of the features associated with the older village buildings, such as stone front walls or slated roofs, and therefore, if in good condition can be seen as being of some limited interest, particularly to future generations. The inclusion of both of these categories within the Conservation Area depends on their position and grouping; this is discussed further in Part 2 of this document. Whilst architecturally, 20th century buildings are often of less interest and quality than their 17th or 18th century counterparts, they should be recognised as part of the growth pattern that has shaped Halton Village. Most of the higher quality 20th century development is part of the expansion pattern that has gradually grown up from the castle and Main Street and is critical in reflecting the complex and varied nature of the village.

Halton Brow housing has a distinctive character, differing from other mass 20th century housing in Britain in that it was not designed around roads, but groups of housing were clustered around green spaces connected by paths, with parking confined to designated separate areas. The dwellings themselves are between one and two storeys in height with houses linked together, although staggered to break up the form and to enable the buildings to sit within their landscape. The innovative approach adopted in the design of the road layout in Halton Brow was recognised in the government's Design Bulletin 32, published in 1977 and updated since then, including several companion guides. In this document, Halton Brow is praised as bringing a "breakthrough in thinking about the relationship between housing and roads". It seminal design influenced new development at that time.

Although the townscape of Halton Village is largely defined by the arrangement of different residential buildings, its urban landscape is also defined by a small number of community buildings. The most dominant of these are the two churches, with St Mary's forming a



*Figure 19: Housing at Halton Brow*



landmark on the hill and Trinity Methodist Church being highly visible along Main Street and from Town Park. The Royal British Legion Club complex is partially formed by the grade II listed 17th century farmhouse on Main Street together with a significant 1970s extension onto The Underway. This large flat roofed building, although providing useful community facilities, is an awkward interruption in the historic grain and character of the village. Other community buildings, including the scout hall and church hall, are more discreet, being set back from the road and therefore have less of an impact on the streetscape. The small village hall positioned towards the north end of Main Street is a simple brick building that is comfortable with the scale of the surrounding terraced houses.

Halton Village also has a small number of shops and other services, such as hairdressers, that have historically utilised the ground floor of a number of the terraced buildings along Main Street. The appearance and function of these shop frontages are of importance to the character of the street and the viability of the area. Policy TC9 in the Halton Unitary Development Plan provides protection of the function of existing convenience stores within Halton Village from conversion to other uses. A number of these shop fronts have historic timber constructions with attractive (albeit simple) timber mouldings.

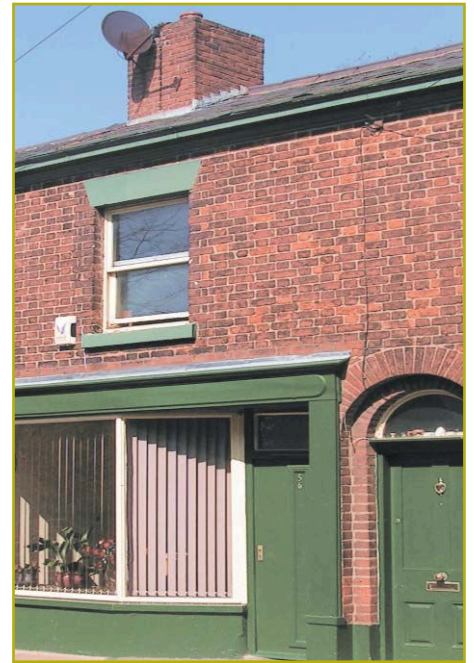


Figure 20: Examples of existing shop fronts on Main Street

#### 1.4.2 PRINCIPAL BUILDINGS AND FEATURES

The plan in Appendix C indicates the buildings that are critical to the character of the Conservation Area. These include buildings that are central

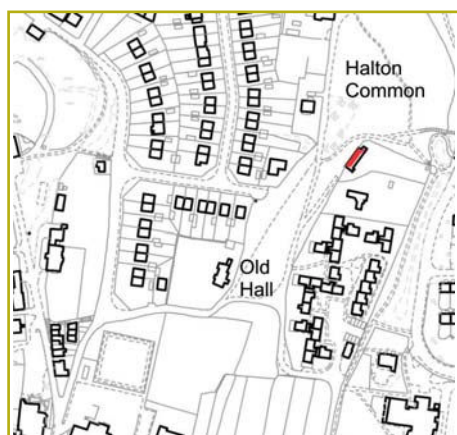
to history of the village, landmark buildings of a high quality or historically important buildings of a condition that is a positive example to the village. It is expected that most of these buildings are listed. The following buildings are highlighted:

- Halton Castle
- Castle Hotel, Castle Road
- St Mary's Church, Castle Road
- St Mary's Church Rectory, Castle Road
- The Parish Library, Castle Road
- Numbers 6, 8, 10, 12, 14, and 16 Castle Road

- Hill House, Castle Road
- The Norton Arms Public House, Main Street
- Rock Farm House (part of the Royal British Legion building), Main Street
- The Seneschal's House, Main Street
- Numbers 31, 45, 59-63(odd), 88-94 (even), 120, 125-127(odd) Main Street
- Halton House, Main Street
- Holly Bank House, Main Street
- The Old Hall, Halton Common
- The Gate, Halton Common

The listed buildings are well described and mapped in the listing descriptions attached as to this document as Appendix B. They are therefore not further documented here. There are two non-listed buildings considered within this appraisal as being critical to the character of the Conservation Area, which are described in the following sections.

### The Gate, Halton Common:



This is a simple stone building, which appears on the 1st Edition OS plan and is likely to date from the early 19th century, if not earlier. There is evidence of some historical changes to the building's form on its north-east facing elevation, with signs of either an

older building attached to it or that the first floor was added subsequently to the building's original construction. The building's fenestration is equally interesting, with a combination of timber casements and stone mullioned windows on the front façade. These different types of windows could either be due to different phases of construction (not evidenced in the stonework) or because of different uses of parts of the building were used for different purposes (e.g. living accommodation / agricultural storage). The building has a strong relationship to the Common and it is important as a historic record.

### Hill House, Castle Road:



This building on Castle Road is later in date (dating from the mid to late 19th century) but is an architecturally interesting building and is particularly notable for its good, original condition. It is possible that this building was built as part of the school complex that existed across the road (e.g. as a headmaster's house). Although it is not of a style that is typical of Halton Village, its appearance is very much as it would have been a century ago, with its original windows, doors and other features still present, and the only evident change being the lowering of the chimneys. It is an attractive building that plays an

important part of the views up and down Castle Road.

Due to the strong contribution made by these two buildings, it would be beneficial to protect them from potentially detrimental development. The only protection currently afforded to them is by virtue of their location within the existing boundary of the Halton Village Conservation Area. It may therefore be appropriate for these buildings to be further safeguarded either by an application for their listing, or by the application of Article 4 directions, both of which would remove currently permitted development rights. These potential actions are further discussed in sections 2.2.5 and 2.3.2 of the Management Plan.

Figure 21a: The Gate, Halton Common







Figure 21b: Hill House, Castle Road

### 1.4.3 BOUNDARIES, SURFACES AND STREET FURNITURE

The boundary walls and character of the roads are a critical component of the special character of the Conservation Area. The importance of these features is heightened by the abruptness of the change upon approach from outside the village, as very few traditional materials such as stone are seen within the New Town and roads are specifically designed for modern vehicles.

Red sandstone walls are evident throughout a large proportion of the village and feature as boundaries to some of the older buildings in the village, as well as to some of the more modern properties. These walls are significant as they provide a continuous frontage and enclosure to the roads within the much of the village. As discussed earlier, it is possible that the importance of these walls is not purely aesthetic: it may be the case that stone from the castle was used to

construct them and many are likely to be the last remnants of earlier developments. Many of these walls also maintain historic property boundaries in the village.

Apart from Main Street, most of the other historic streets are characterised by their narrowness and lack of footways. In most instances the walls rise out of the ground at the edges of roads; sometimes these walls are partly used to retain the steeply rising ground behind and often the roads have been cut into the bedrock, forming the bases of the walls. In a few cases, sections of walls have been

Figure 22: Paths on Castle Hill



removed for driveways or due to poor condition.

Very little remains of historic road surfaces or paving. Most roads are surfaced in modern tarmac with either tarmac or concrete paving slabs used for footways. There is an area of block paving at the southern end of Main Street, which reflects the most recent approach to pavement treatment within the Conservation Area. Main Street, the Underway and Castle Road have all been subject to traffic calming schemes. All existing street surfaces make no particular positive contribution to the character of the village, but rather have a neutral effect on the Conservation Area.

Paths through the green spaces and wooded areas on Castle Hill are of varying type, and are quite steep in places due to the topography of the area. The surfacing materials used vary from sandstone blocks and paving, partial gravel and mud tracks. Around the castle itself, the gradient of the slopes lessen, although the ability for safe use of the routes overlooking steep rocky slopes is variable in places. Figure 22 shows some of the paths on Castle Hill, demonstrating their varying types.



Figure 23: (left) The impact of block paving on the visual character of the Conservation Area; (middle) Small granite setts used to define corners in Halton Brow; (right) Stone walls edging a road within the Conservation Area

In Halton Brow, which directly adjoins Halton Village, there has been a use of distinct surfaces and small granite setts in places to edge roads and define corners, which is of particular interest. The successful use of these materials affords the opportunity to observe the effects of consistent and appropriate boundary treatments. The use of these materials is directly linked to the innovative approach adopted on the Brow in establishing relationships between pedestrian and traffic-dominated environments.

the standard approach throughout the Borough, although this does not dramatically affect the character of the village. There are relatively few bollards, bins and railings within the Conservation Area while existing signage, indicating arrival into the Conservation Area is largely confined to existing road signs. A notable marker of entrance to the village is found on Holt Lane, directly adjacent to Halton Lea.



Figure 24: Existing street furniture and signage in Halton Village: Sign on Holt Lane; bench on Millennium Green; lamppost on Main Street; and road sign for Castle Road

There have been few visible efforts made to use a uniform approach to street furniture, including seating, lighting, bollards, bins and signage throughout the Village. Existing street furniture in Halton Village is minimal, with benches and seating focussed on the green spaces of Millennium Green and Town Park. There exist some interesting opportunities for the use of benches and seating throughout the village, particularly where locations have attractive views, or overlook green spaces. Street lighting used is of



## ARCHITECTURE, MATERIALS AND DETAILS

### 1.5 ARCHITECTURE, MATERIALS AND DETAILS

#### 1.5.1 PROMINENT STYLES

Halton Village is characterised by the richness in building types and styles. However, it is possible to identify a small number of styles that unite buildings within the village:

- **Elizabethan / Jacobean** – Examples are the Old Hall and the Seneschal's House. These buildings are characterised by a complex plan form and silhouette, with projecting bays and gables;
- **Georgian** – These are buildings with carefully considered proportions, derived from classical routes. Buildings are predominantly symmetrical (or at least ordered), with fine, elegant detailing. Sash windows are used. There are many buildings with these characteristics, including the Castle Hotel, Halton House, Holly Bank House and the Vicarage;
- **Gothick** – This architectural style was influenced by the picturesque movement and based very loosely on medieval gothic forms. The former stables to Halton House are an example of this gothick style, while the eye-catching alterations to Halton Castle can be considered directly influenced by the picturesque movement;
- **Gothic Revival** – This later architectural style revived the medieval gothic form with a greater factual accuracy between the late

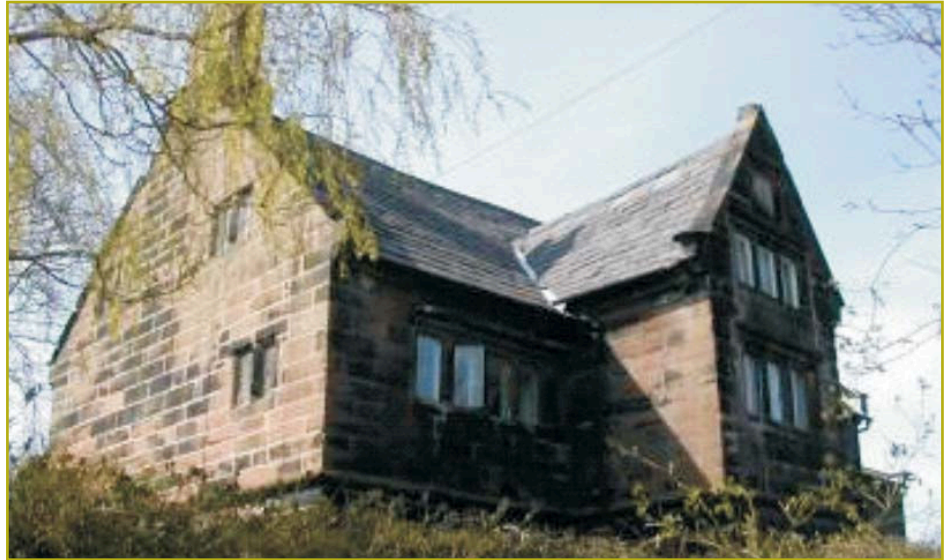


Figure 25: Examples of architectural styles present within Halton Village: (clockwise from top Elizabethan; Georgian; Victorian terraces and a Victorian house.

18th and late 19th centuries. St Mary's Church is the most notable example in the village; and

- **Cheshire Vernacular / Arts and Crafts** – Many of the individually designed buildings built around the turn of the 20th century followed these styles. Buildings of this type in Halton Village include Tudor House and Bracken Lodge.

### 1.5.2 LEADING ARCHITECTS

Despite the fact that Halton Village has many significant historic buildings of architectural note, very little information is readily available about their designers. The most influential of the architects that are known to have designed buildings in Halton Village is Sir George Gilbert Scott, who was responsible for St Mary's Church. Scott, who was particularly inspired by the work of Pugin, designed a wide variety of buildings across the country, most notably St. Pancras Station in London and the Chapel of St John's College, Cambridge. He also worked on the restoration of many of Britain's cathedrals.

### 1.5.3 MATERIALS

Cheshire sandstone is the predominant building material within the historic parts of the village. It is likely that this raw material was quarried very locally and some of the stone for the village buildings even 'salvaged' from the castle during its dismantling in the 17th century. Almost all buildings built before around 1900 appear to have (or to have had) slate roofs. Stone slates or

thatching were likely to have been used for roofing prior to the arrival of the canals in Runcorn during the late 18th century, at which point the transportation of building and roofing materials became considerably easier. It is likely that since this time existing buildings gradually had their roof coverings replaced with, and new buildings were built with, Welsh slate roofs.

It is possible that the construction of the canals through Runcorn also induced the shift away from sandstone walling to brick. Most of the buildings after this time are built of brick, albeit with stone plinths and dressings. Timber framing seems to have been less used as a construction method in Halton Village than in other parts of Cheshire, although one notable example is 125 and 127 Main Street, which have been recently successfully restored. This could indicate that stone was more available than high quality timber such as oak within the area.

Below is a list of typical materials evident in the built environment of the Conservation Area:

- Red natural sandstone dressed and coursed to match the existing building
- Red brick, with a natural subtle variation in colour. Variation also exists to the sizes of the bricks (using imperial where appropriate), the types of joints, bond and coursing used. Sand faced, heavily textured or very smooth bricks are not typical
- Render painted white or light cream
- Natural British slate
- Plain clay tiles

- Timber sash / casement windows and doors
- Cast iron or aluminium rainwater guttering, down spouts, etc.

### 1.5.4 TYPICAL FEATURES AND DETAILS

Buildings within Halton Village have a wide range of historic detailing, contributing to the character of the Conservation Area, due to the wide-ranging ages of the buildings and the reasons for which they were built. As the characteristics that unite the buildings within the village are more likely to include materials than architectural details, it is this complexity that is perhaps one of the most special features of the area.

It is possible, however, to draw parallels with different buildings of the same typologies:

- Larger buildings: Many of these have a strong classical influence, with symmetrical, well-proportioned elevations and details such as deep cornices, parapets and window or door surrounds. These buildings are generally set back from the road.
- Terraced housing: These are generally much simpler, with aligned windows dividing the facades into bays, but have considerably less ornamentation, with only perhaps a projecting keystone to the lintels or a very simple cornice. These houses often have sash windows, some of which may have originally been of the "six over six" design. These buildings generally front directly onto the pavement.

It is also possible to group together

buildings based on common features, including windows and doors. Examples of these include:

*Figure 26: Illustration of some of the different window treatments within Halton Village: Timber casement with stone hoodmould; simple sash widow; leaded lights within stone subframe; small timber casements within timber framed building*



- Casement windows: Buildings dating from before around 1720 and after 1900 have casement rather than to sash windows. Earlier buildings are often characterised by casement windows with leaded windowpanes.
- Plank doors: These are generally to be found in buildings of an older origin, which used to have an agricultural use. Timber panelled doors are used in most other buildings, with a level of detailing and moulding depending on the social position of the building.

**1.6 CHARACTER ASSESSMENT**

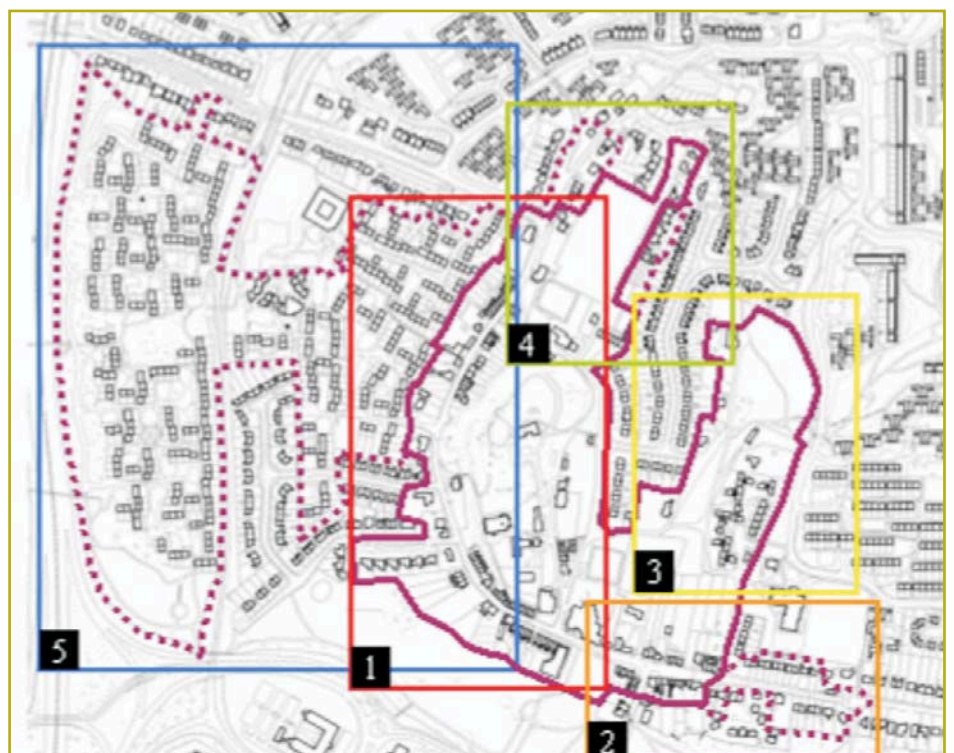
As discussed above, the character of the Halton Village Conservation Area is diverse and mixed, which creates difficulty in attempting to define clear

character areas. However, five approximate character zones have been identified, with some overlapping, as displayed in Appendix A and in Figure 27. These have been identified with reference to the preceding sections of this document, through consideration of a variety of factors, including the historic development of the village and the differing building styles, townscapes and open spaces found within it.

**1 – Area around Main Street (west / north) and Castle Road.**

This character zone covers the stretch of Main Street running from the edge of Town Park to the Seneschal’s House, and the entirety of Castle Road. As this area includes a number of buildings that are historically interesting and critical to the character of the village, it can be considered to be the historic core of Halton Village.

*Figure 27: Character zones in Halton Village and the wider locality*



This zone is characterised by proximity to Castle Hill, with views of the castle and St. Mary's church common for many properties. The stretch of Main Street included in this zone is typically a narrow road with terraced houses fronting directly onto the pavement and with larger detached properties situated behind boundary walls which also front directly onto the pavement. Another common feature of this zone are the stone outcrops of Castle Hill, which protrude between and behind properties on Main Street. The other main road through this character zone, Castle Road, has many of the village's most important listed buildings, including Halton Castle, characterised by their sandstone construction. The Underway marks the eastern border of this character zone, following the perimeter of Castle Hill.

**2 – Area around Main Street (east).** This character zone covers the entrance to Halton Village from the east, including from Holt Lane. The zone encompasses a section of Main Street that includes a mix of older properties and newer properties, fronting onto a wider stretch of road. Of particular interest in this zone are the lodge house on Main Street, and a number of older terraced houses. As zone includes the routes from Halton Lea and Castlefields to the centre of the village, it is therefore important in establishing the transition from Runcorn New Town to the heart of the historic Halton Village.

**3 – Area around Halton Common.** This character zone is characterised proximity to the open space of the Common, and includes much of School Lane and Pump Lane. The area includes a number of older

sandstone properties, some of which are listed, dispersed around the edge of the Common. The zone also includes a cluster 20th century housing, situated between the edge of Castlefields, Main Street and the Common.

**4 – Area around Millennium Green.** Like zone 3, this character zone has the common characteristic of being in close proximity to open space, here in the form of Millennium Green. A number of properties within the zone are directly adjacent to Millennium Green, including the rows of terraces Fletcher's Row and Fletcher's Buildings, off Spark Lane. Also within this zone is the northernmost access route to the village, along Summer Lane and the northern part of Main Street, including properties that are not of critical value to the character of the area but do not detract from it, and mark the transition from Castlefields to the Conservation Area. The Seneschal's House on Main Street marks the transition from zone 4 to zone 1, the historic core of the village. Although this zone does not contain a great number of listed buildings, or buildings that are critical to the character of the Conservation Area, it makes a significant contribution to the function of the village through its open space.

**5 – Halton Brow.** The Halton Brow Character Zone solely covers the area of modern housing designed and constructed as a complete development with no features such as buildings or trees known to exist from before the development. The layout and design of Halton Brow is distinctively differently from the historic core of Halton Village,

## NEGATIVE FACTORS

although the landscape, geographical location and views unite the two zones. Unlike other areas of the New Town, Halton Brow appears to integrate into the older village without significantly changing its historic character. It is not completely independent, still depending on Halton Village for some facilities.

### 1.7 NEGATIVE FACTORS

#### 1.7.1 OVERVIEW

A study of this nature cannot attempt to highlight every part of the built environment that has a detrimental impact on the character or setting of the Conservation Area; instead this report summarises the most apparent examples and key problems within the Conservation Area as a way of encouraging an understanding and awareness of these issues.

As mentioned earlier, appended to this document is a plan showing the contribution of buildings to the character of the Conservation Area (Appendix C). The plan was produced as a tool to gain an understanding of the significance of different parts of the village and to inform as to the appropriateness of the boundary. This plan categorises each building, or group of buildings into the following groupings:

A: (Red) – Buildings of particular interest or value to the area, e.g. landmark or historically important buildings, which are therefore critical to character of the Conservation Area.

- B: (Orange) – Buildings that contribute strongly to the character of the area
- C: (Yellow) – Buildings of some limited interest – typically older buildings where their character has been eroded by modern alterations.
- D: (Green) – Either modern buildings of little interest or buildings where character has been lost beyond economic redemption, which therefore make a neutral contribution to the character of the Conservation Area.
- E: (Blue) – Buildings that detract from the significance or character of the area, which therefore can be considered to have a detrimental to the character of the Conservation Area

Appendix J of this document contains a table that corresponds with the contribution of buildings to the conservation area. It provides a description and character assessment of each building within the scope of this appraisal.

It should be noted that each category (A to E, in Appendix C and J) inevitably encompasses a wide range of building types and qualities. Categories B and C, for instance, include historically interesting buildings that have been altered, as well as less important, more modern buildings in good condition.

Each building is judged individually or within their immediate 'group' context. Whilst category D buildings are generally considered to be of 'neutral'

interest, (indicating they have neither an overriding positive or negative influence on the conservation area) if there are too many, the interest of the area could be diluted, therefore they would have a detrimental effect.

There should be a general presumption in favour of retaining all category A, B and C buildings. Policies should be put in place to encourage the enhancement of, in particular, category C buildings. Category E buildings are considered of negative value therefore opportunities should be sought to achieve their replacement or (at least) their improvement.

### 1.7.2 RECENT DEVELOPMENT



Figure 28: 20th Century housing at The Common, off Pump Lane

Modern development within Halton Village has generally only occurred in a

low-key manner in small pockets. Only one group of houses, at Cannonbury Close, off the southern end of Main Street on the southeast corner of the Conservation Area, has been constructed within the last 10 years. The current largest area of housing built within the existing Conservation Area boundary during the second half of the 20th century is the housing off Pump Lane at The Common. There are a number of further individual houses built within this period, and also some community buildings such as the church hall and part of the Royal British Legion Club. Not all new development is of a quality that should be expected of a Conservation Area as it makes no reference to detailing and materials, or even massing and roof lines, of the earlier buildings. Whilst the housing off Pump Lane is inoffensive as it is hidden by trees, the extension to the Royal British Legion Club is crudely designed and positioned in a highly prominent site. It is fortunate that much of the 20th century development in Halton retained the older stone boundary walls that have been identified to be a crucial part of the character of the area.

The buildings located in Halton Brow, which is not within the existing Conservation Area boundary, certainly paid no reference to the older buildings in Halton when they were designed in the 1960 and are constructed from brown brick with mono-pitched concrete-tiled roofs. Whilst the houses are not what would be designed today, they were considered a strong innovative design in their time, as discussed earlier. This design-led approach can be considered of greater benefit to the built

environment than the more standard housing built by mass-developers seen repeatedly (with only token gesture applied local detail) found nationally. More radical and innovative design concepts, such as Halton Brow, are more likely to be successful if positioned at a distance from existing buildings or in a separated area (without effect on the existing streetscape).

### 1.7.3 UNSYMPATHETIC EXTENSIONS

As needs of a building's occupier change it is inevitable that extensions and alterations will be needed. The sensitivity of a building to change will depend on its position, form and level of historical interest. Changes that affect not just the character of a building but the overall streetscape are the most problematic. Most buildings within the Halton Village Conservation Area affect the character of the streetscape, and as few are set within large grounds or at a distance from the road, this is particularly important along the prominent Main Street. Poor quality extensions would therefore not only adversely affect the character of the building in question, but would also have a much wider impact. Extensions to a terraced house, for instance, would alter the simple repeated form in such a way that the new part detracts from the significance of the architectural form of the whole block. The sides of most buildings are generally prominent in Halton Village, particularly along the more narrow roads and therefore a side extension could have a greater effect on the street scene than in many suburban locations. Also worthy of consideration is the visual effect from the Castle Hill

as aspects of the rear elevations of buildings are more prominent than would normally be expected.

The form of buildings will influence whether or not an extension is appropriate. Some types of buildings have a higher reliance on symmetry and rhythm to define their character, while others have more emphasis on details and materials. This might mean that it is likely to be inappropriate to put a front or side porch onto a Georgian building, whereas a gothic-inspired building with a more complex plan form may visually accept an extension of the right design and position. Some additions can completely overwhelm the original character and form of the building, in many cases leaving the building to appear (at least at first glance) to be modern.

There are relatively few existing extensions to buildings within Halton Village that can be seen from the road or other publicly accessible areas. Most extensions and additions to buildings

have been to accommodate cars, including the addition of garages or carports. Generally these have little effect on the Conservation Area, provided that they are positioned further away from the road than the main building line.

A few detrimental examples do exist; particularly where the houses are higher than the roads therefore garages have been positioned on the street line (see Figure 29).

*Figure 29: Examples of extensions and additions to older buildings that have changed their character or setting*





In addition, a few unsympathetically constructed porches can be found within the village, although most of these are onto the sides of buildings. Roof extensions to provide attic space can have a detrimental effect in unbalancing an otherwise rhythmic group of houses or causing an interruption to the roofscape within a street scene. The degree to which this will be detrimental depends of the materials and design chosen. Flat roofed dormers are more likely to have a higher impact than a series or smaller dormers designed to match the style of the original building or conservation rooflights.

The quality and appropriateness of any material chosen as part of an extension, is clearly a key factor in the chances of the building retaining its original character and contribution. Section 1.5.3 of this document sets out typical building materials within the Conservation Area, and materials should also be chosen with regard to those of the existing building. There should be a strong presumption towards matching materials for an extension like-for-like with those existing, unless the use other materials can be fully and satisfactorily justified and are of a quality that is (at least) comparable. Materials should not be artificially weathered or made to look older than they are.

#### 1.7.4 UNSYMPATHETIC ALTERATIONS

Unsympathetic alterations are arguably the largest threat to the character of Halton Village Conservation Area as they are the most widespread of all the negative factors and unchallenged they will gradually erode its character.

The village has already seen significant loss of historic features, most notably amongst the terraced houses along Main Street. In the 1960s and 1970s the losses to historic buildings within the Conservation Area were of a more dramatic nature as fashions dictated a simpler, unornamented building style. Losses over the past few decades appear to be more gradual erosions caused by a combination of well-intentioned 'improvements' and 'repairs'. The continuation of these could ultimately lead to the loss of the Conservation Area's special character.

**Windows:** Replacement of original windows is a particular problem. Virtually none of the terraced housing along Main Street has their original sash windows and most have been replaced with UPVC or poor quality timber substitutes. In these dwellings little effort has been made to choose window types that match the original configuration of glazing bars – many are simply large picture windows with a small opening casement at the top. Changing the windows to UPVC presents visual problems, as the frames are considerably thicker than their timber counterparts and therefore

change the overall character of the window. Although there are a number of timber replacements, most of these are casements which also have a different appearance and many of these are stained, which although is potentially attractive on some modern buildings, is out of character and historically incorrect for a Victorian or Georgian building. Also, many replaced windows are positioned flush with the façade of the building (instead of a half brick back as was generally the custom) for ease of installation; this again changes the character of the building, particularly when viewed from the side, and therefore has a detrimental effect on the streetscape.

*Figure 30: The effects of replacement UPVC windows on the character of buildings in the Conservation Area*



**Doors:** The replacement of doors is a similar issue to that of windows, as they are a critical part of the character of a building and they contribute to the rhythm and unity of a group of buildings. Mass produced 'off the shelf' doors are unlikely to reflect the character of the building, particularly when they are of UPVC as the availability of traditional colours is very limited.

*Figure 31: The effects of replacement doors on the character of buildings in Halton Village*



*Figure 32: The effects of replacement roofs on the character of the village's roofscape*

**Roof coverings:** Roof coverings have been noted earlier in this document as being particularly important to the character of this Conservation Area because of their heightened impact when viewed from Castle Hill. There are many buildings that have had their original slate (or in a few cases plain clay tile) coverings replaced in concrete tiles. This causes both visual discontinuity and also a weak point for water penetration in the abutment to neighbouring houses. Pantiles have a particularly adverse effect on the original character of the building, as

they are alien to historic buildings in this area. The choice of replacement slate will inevitably have an impact on the cost of repair work. Imported slates are becoming increasingly popular, but can have a different texture, colour and level of durability to Welsh slates. Whilst a near matching imported slate may have little consequences visually on some less important buildings, to many others it will be more detrimental.

**Rooflights:** Where rooflights are detrimental to the character of the conservation area it is often because they are raised up from the level of the slates or positioned on an obtrusive roof slope. If specialist conservation rooflights are fitted flush with the slates or tiles, the visual effect can be minimal. Rooflights can be particularly detrimental to the character of the area when they are located to the front of the building and can be viewed from the street level, or where they are located towards the rear of the building, and can be overlooked from the higher vantage point of Castle Hill. Further measures to reduce the detrimental effects of the fitting of rooflights are discussed further in the Management Plan.

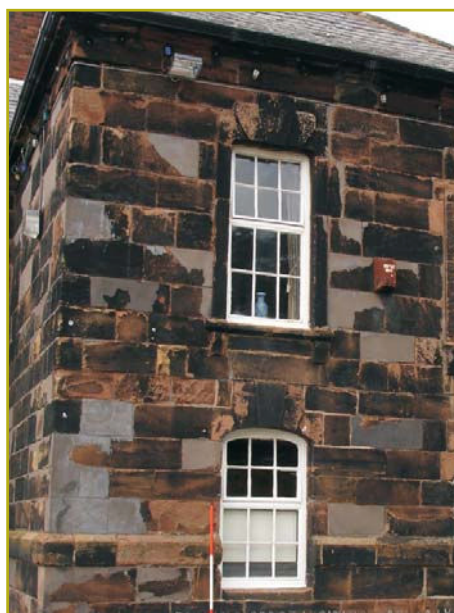


Figure 33: The effect of rooflights on the roofscape of a row of terraced housing



Figure 34: Examples of hard cement mortar damaging stonework: (above) Hard cementitious mortar joints damaging a stone boundary wall and (right) Damaging and unattractive cementitious render repairs

**Poor repairs:** There are a number of examples in the village where well-intentioned repairs are visually detrimental to the character of the building and are damaging the historic fabric. Most notable is the use of cementitious pointing and render on stone and soft brickwork. Local sandstone and brick older than 100 – 150 years of age are likely to be considerably softer than cementitious mortar. When rainwater inevitably



enters the surface of the building fabric it will find its easiest way out, via the softest material. In the case of a building pointed with a cement mortar, the water will find its way out through the brick, not the joints, which will over time, cause damage to the surface. There are also instances where stone walls are pointed with strap or ribbon pointing which is where the mortar extends over the face of the stonework. This both disguises the original appearance of the masonry and also will intensify the rate of erosion to the face of the stone. Another instance relates to the reconstruction and repair of gable end walls, where unsympathetic materials have been used in the process. This has resulted in a number of prominent poor quality facing walls within the Conservation Area, due to the layout of Halton Village.

Figure 35: Examples of inappropriate pointing: Repointing of a sandstone wall where mortar joints appear over-dominant and strap or ribbon pointing



### Re-rendering / changes to openings:

There are some instances of historic buildings having had a modern 'makeover', which has led to the complete loss of the historic building character. Works include pebble dashing, artificial stone cladding and alteration to openings, for instance making sash windows into horizontal picture windows. Although this trend was popular largely in the 1970s and 80s, it is important to note the highly damaging and potentially irreversible effects it had on the character of the Conservation Area.

*Figure 36: The effects of stone cladding and pebbledashing on individual housing and the overall street scene*



### 1.7.5 DEVELOPMENT PRESSURES

The effect of development pressures within Halton Village is currently relatively low. This is generally due to the small, restricted plot sizes and the current lack of pressure for new build properties within the locality. There is little evidence of the larger properties being subdivided into flats, which can lead to problems with large car parking areas and bin storage problems. Whilst this lack of development pressure has prevented many infill developments that would generally have an adverse effect on the 'grain' of the village, the lack of economic incentive has meant that new building work has generally been of a low, or at best mediocre, standard. It should be expected that development within Conservation Areas will aspire to be of a much higher quality than that in other areas and respond positively to the special character of the area.

### 1.7.6 LOSS

Considering the dramatic changes that have happened around Halton Village within the last 40 years, there has been comparatively few historic buildings lost. Appendix H shows the 1st Edition OS map with buildings that have been subsequently lost highlighted. This indicates that there have been no large areas of buildings lost; any buildings that are now missing were probably demolished as they fell into disrepair or an alternative use was found for the site. This loss has been gradual and unplanned.

## CONCLUSION

Buildings lost since that time include the following:

- The Primitive Methodist Chapel, on the site of current Village Hall, which was built in 1901
- The National School, on Castle Road
- A thatched cottage and agricultural building near to the Norton Arms (see figure 37), Main Street
- Four buildings on Main Street, to the west of the Castle
- Buildings on the southern side of Main Street around the junction with The Underway, some of which were replaced with the Methodist Church and the terraced housing adjacent.

Further detail of the loss of buildings since the first edition OS map is given in Appendix H.

### 1.8 CONCLUSION

This Conservation Area Appraisal has reviewed the existing condition of the area designated as Halton Village Conservation Area. It has taken account of the location of the village in relation to its surrounding context, and its historic development, in order to establish the special character that makes the village worthy of protection. It has evaluated the key aspects of the built and natural environment that make the village historically interesting, including its views and vistas, its landscape and townscape and its green spaces.

The document has also appraised the value of the contribution made by individual buildings to the character of the area, including a consideration of



Figure 37: Images showing changes to the village: (top) View from outside the Norton Arms showing a thatched cottage and an agricultural building that no longer exist and (bottom) Looking down Main Street from the current Methodist Church, the building on the right is now replaced with open land as part of Town Park

their architectural form and composite materials. Importantly, the appraisal has also assessed those aspects of the built and natural environments that have negative impacts on the Conservation Area, whether through loss of buildings, inappropriate development or unsympathetic alterations to buildings of value.

Through this appraisal, the special character of Halton Village has been established at a variety of spatial levels, from confirming the strategic importance of Halton Castle to the area, to the smaller scale considerations of window fittings on individual buildings. While aspects of the environment of Halton Village as they exist presently should be subject to protective measures, it is also apparent that there is room for improvement throughout the village, whether through strengthening existing controls on development, or through addressing particular issues that have been previously neglected.

Part 1 of this document has identified the need for a management structure to be introduced to the village. Part 2 sets out this structure in the Halton Village Conservation Area Management Plan.

## PART 2 CONSERVATION AREA MANAGEMENT PLAN

### 2.1 INTRODUCTION

This Conservation Area Management Plan leads on from the Conservation Area Appraisal as given in Part 1 of this document, which provides the basis for the following Management Plan proposals. The proposals take the form of a mid- to long-term strategy, setting objectives for addressing the issues and recommendations for action arising from the Appraisal and identifying any further work required for their implementation. While the proposals in the Management Plan are aspirational, efforts have also been made to keep them realistic and achievable.

This Management Plan is structured into three distinct sections. Section 2.2 details the general management proposals for the Conservation Area, addressing general opportunities for the sustainable enhancement of the area through ongoing maintenance and improvement processes. Section 2.3 summarises more specific proposals, relating to direction actions requiring statutory confirmation from the Council, and projects, related to sites and buildings, whose completion will aid in the efficient management of some of the area's valuable assets. Finally, section 2.4 reviews the proposals made in the previous two sections and assigns priority to these according to need and resources available, forming a schedule for the management of the Conservation Area.

### 2.2 GENERAL MANAGEMENT PROPOSALS

This section of the Management Plan details proposals for the general

management of the development of the Halton Village Conservation Area. The aim of this section is to address general opportunities for the sustainable enhancement of the Conservation Area through the design of new and replacement buildings, and the use of appropriate materials in these developments. This section also addresses the reinstatement of lost features and the repair of features that have been identified in the Conservation Area Appraisal as being of value to Halton Village. Further, this section proposes measures to maintain and improve the landscaping and streetscape of the Conservation Area, including brief proposals for the enhancement of planting, surfaces and street furniture in Halton Village. Also summarised are the opportunities presented by community involvement in the management of the Conservation Area, and the value of grants in helping to maintain the special character of the Village. Finally, this section summarises the role of repairs and other notices issued by the Council in maintaining the condition of the buildings in the Conservation Area.

#### 2.2.1 OPPORTUNITIES FOR ENHANCEMENT

##### **New Development and Gap Sites**

Paragraph 4.16 of PPG15 acknowledges that if a conservation area falls within the commercial centre of a town or city it is difficult and unlikely to be desirable to prevent all new development. The guidance however encourages 'controlled and positive management of change' so that the area remains prosperous but retains its special character. The text

goes on to encourage imaginative, high quality design in opportunity gap sites that make no positive contribution to the area; advising that buildings should not imitate earlier styles but be designed to respect their context. It is of the utmost importance that any new development respects and enhances the existing character of the Conservation Area (in the case of Halton Village, as identified in Part 1 of this document).

Currently, the village of Halton poses few opportunities for development within gap sites. Most of the undeveloped land constitutes part of the designated green space, which includes small areas off Main Street, that link through to Town Park. There may be some very limited possibility of infill development of single houses adjacent to existing buildings (e.g. on existing parking areas or adjacent gardens) on Main Street. Any new buildings along many parts of Main Street should have the same eaves line as their neighbours, whether this is directly fronting onto the pavement or set behind a stone wall. The land located behind existing buildings, often hidden from street-level view, is known as "backland". Plots for new development can sometimes be assembled on one property's backland, or using smaller portions of numerous properties' backland. Similarly to infill developments on plots adjacent to existing buildings, backland development poses a very limited possibility of viable development in Halton Village.

The subdivision of existing land or replacement of existing properties is unlikely to be financially workable option in most instances and therefore

(at present) poses little threat or opportunity on a large scale. Where new development proposals do come forward within the village they should primarily be assessed in the context of Part I of this document, with particular attention paid to the contribution of any building being replaced to the Conservation Area and its particular character zone.

Due to the historical importance of Castle Road and its existing buildings, it would not be desirable to locate new development along this road. If the opportunity did arise for redevelopment of an existing building, or the location of a new building in a currently vacant plot, it would be a matter of great sensitivity. Full regard would have to be given to the importance of the road as an historical route to the castle, and extremely sensitive settings of its existing buildings, including Halton Castle, the Castle Hotel, the Parish Library and the Vicarage, all of which are grade I or II\* listed.

The areas around the Common and Millennium Green are more spacious which may allow for very limited development in particular locations (most of it is designated green space), however the historical and community importance of this area is high and any new building would need to be of the highest quality to justify it being of benefit to the village. Existing buildings around the Common are spaced well apart and set some distance back from the road; therefore new buildings would need to follow this characteristic. In this instance, a tightly grouped development of new buildings would be wholly inappropriate.

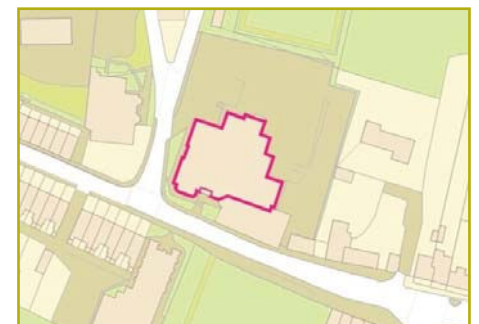
### Detrimental Buildings

Whilst there are few opportunities for the construction of new buildings on gap sites with the village, there are a small number of buildings identified within this report (see Appendix C) as being detrimental to the character of the village (labelled as Category E). Wherever possible, redevelopment should involve the replacement of these buildings with new buildings of a quality and character that is more appropriate for the Conservation Area.



Figure 38: The existing British Legion Club on Main Street

The British Legion Club has many facilities that are of high benefit to the community but its more modern extension (on the junction between Main Street and Castle Road) and rear landscaping is identified within Part I of this report as being one of the most detrimental architectural elements within the village (see Appendix C). Should the opening arise, the opportunity should be taken to redevelop this part of the area with a British Legion building that adds to rather than detracts from the character of the Conservation Area. The extension to the British Legion



In order for buildings identified as being detrimental to the character of the Conservation Area to be replaced with more appropriate development, it may be in the Council's interest to draw up development briefs for

particular sites. Depending on the site and its location, this may include identifying the type of development required, and some of the specifics ideally included with that development, including massing, proportions, materials and landscaping.

As a priority the British Legion Club (as shown on Figure 38) would be the first site subject to a development brief. This brief should provide a framework for the sympathetic redevelopment of the site, to address detrimental buildings, through enabling development, whilst protecting and making provision for a valuable community facility in this location. This proactive approach would ensure that redevelopment (if it was forthcoming) would make a positive contribution to the character of the Conservation Area.

### Materials

In any new development within Halton Village Conservation Area, there should be presumption in favour of using traditional materials such as red brick, sandstone and slate together with any distinctive local details (see section 1.5.3 for more information). However, buildings constructed of more modern materials may contribute to the character of the Conservation Area if the design is of the highest quality and their massing, form and proportions are carefully considered to respect their context. It is important not only to consider the existing character of the Conservation Area when designing a new building within its boundary, but also understand its more immediate context and how it will relate to neighbouring buildings. The existing quality of new buildings should not be

seen as a precedent for further development within the village, and new development should aspire to a higher level of design and quality to enhance the Conservation Area.

Ensuring that new development in the Conservation Area utilises the materials identified in section 1.5.3 should be implemented using the development control process, on a gradual basis as applications for planning permission, listed building consent and/or conservation area consent are made, and as an integral part of development briefs for specific sites.

### 2.2.2 REINSTATEMENT OF LOST FEATURES AND REPAIRS

Management of the Conservation Area should include a programme that encourages (but does not force) the reinstatement of the lost features

identified in Part I of this document. These include sash windows, doors, boundary walls, chimneys and roofing materials, many of which have been identified as examples of 'unsympathetic alterations' to buildings in the village (section 1.7.4). It is inevitable that this will take many years, if not decades, but it is important to reverse the current trend of decline. Often it is the case that homeowners, if encouraged and educated as to the benefits of such works, will undertake them independently. This is more likely with the larger historic houses where the perception of the building as being historically 'accurate' is more likely to add monetary value. In the smaller buildings, for example the terraced housing, there might need to be a financial incentive to undertake this work. Figure 39 shows the positive effects of removing cladding from a terraced house on Main Street.

Figure 39: Effect of removing cladding from a terraced house on Main Street





Part I of this report identified a number of instances where poor quality repairs are detrimental to the condition and/or appearance of the historic fabric of a building or structure. One notable example of this problem is hard pointing to sandstone walls. Building owners should be encouraged to remove these poor quality repairs and repair with materials and methods that are appropriate to a historic building, and in consultation with a conservation professional.

One method of ensuring that home and landowners within the historic village are fully informed of the processes associated with the reinstatement of lost features and repairs is through the production of a homeowner guide. Such a document would provide information about appropriate materials and methods as well as detailed explanations of the building control and enforcement processes associated with living in a conservation area. This is expanded upon in section 2.2.7.

### 2.2.3 LANDSCAPING AND STREETScape

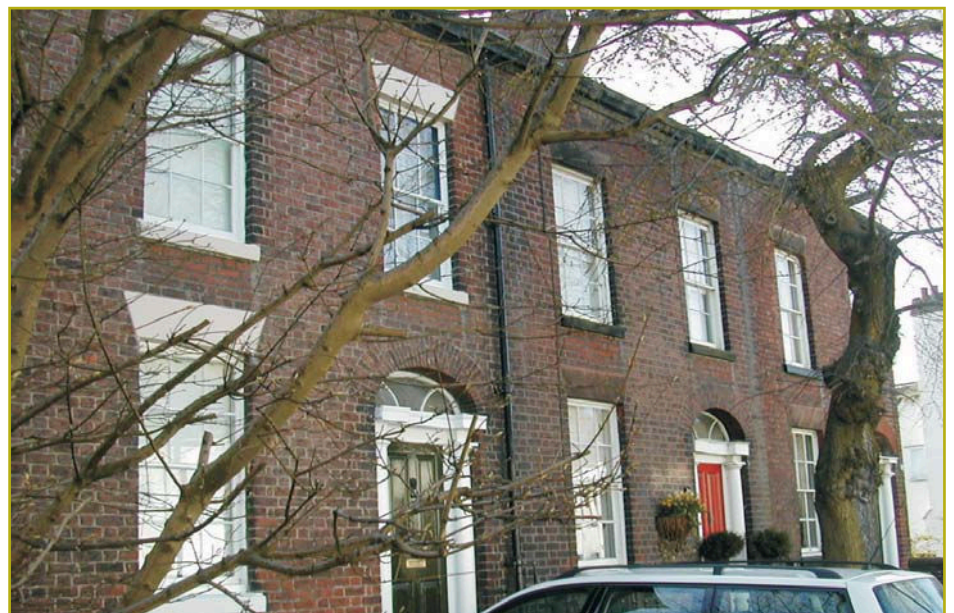
#### **Trees and Planting**

The most prominent landscape feature in the area is Castle Hill. This has strong ecological and geological value to the community, but at present is only experienced by a relatively few number of people as the paths are fairly inaccessible. The ecology report by Ecology First written as part of the Halton Castle CMP identifies the issues and significance of the planting, species and geological features found on the mound. The landscaping

around the castle is undergoing a very gradual change, and if it continues unmanaged it will eventually become woodland, which is in conflict with its historical importance as a defensible mound. Although change is inevitable it is important that it is managed and considered. It is proposed that, in

consultation with local stakeholders and landscape, ecology and historic environment specialists (including English Heritage), a plan is put into place to manage this process. This may involve the gradual reintroduction of native species and those that attract wildlife, such as gorse. Decisions will

*Figure 40: The importance of trees to the setting of many of Halton's historic buildings*



also need to be taken for the future of the land in and immediately around the castle that is currently largely overgrown with ivy and self seeded plants. It would be helpful if these actions were taken in conjunction with or with reference to, those proposed for Castle Hill in the Halton Castle CMP.

Although Halton Village appears relatively green when viewed from above, there are comparatively few individual trees that are critical to the character of the Conservation Area. Such trees might be those that help to define the spaces within the village and frame individual buildings.

Whilst it is necessary to give notice for any works to trees within the Conservation Area and therefore they are to an extent protected, it is still important to have an overall strategy for the protection of the most important trees. It is recommended that a survey is carried out by an experienced arboricultural consultant to identify the key trees (or groups of trees) which contribute to spaces or that are mature, are in good condition and are indigenous species. Some of these trees may be located on Castle Hill, and therefore it would be useful for a survey to be undertaken with reference to, or working with, proposals contained in the Halton Castle CMP. It should be noted that some of the trees likely to be identified will also be protected by Tree Preservation Orders (TPOs). Whilst the overall 'greenness' of the area is an important asset to be retained there is considerable scope for improvement, particularly to less managed areas of greenery, where the trees and plants are largely self-sown.

In these areas it will be possible to increase the quality of landscaping by replanting with indigenous species, suited to the specific location, which could promote ecological bio-diversity. Whilst native species should always be preferred in these instances it should be noted that non-indigenous species that are often unpopular, such as sycamores, can also be critical to the character of a space, if well positioned and kept in good condition.

On a smaller scale, hedges and areas of planting between and adjacent to buildings are also critical to the character of the Conservation Area. Whilst policies do not exist to protect these areas of greenery, their value to the Conservation Area should be promoted.

### **Paths and Surfaces**

Section 1.4.3 of Part 1 set out the different types of surfaces and boundary treatments currently found in Halton Village. Of particular interest are the pathways leading up to the castle. If made completely safe the existing character of the pathways may be lost, but steps are steep and quite arduous in places, limiting the people who can use them. Of great importance are improvements to the circular pathway around the castle, which will add to the public appreciation of the Scheduled Monument and its panoramic views, but will also help the security of the castle as if the path was used to a greater extent it would encourage natural surveillance.

In the Village in general, the paving and road surfaces at present are average standard and have not all been chosen to suit the character and significance of

the Conservation Area. The treatment of manholes and patched areas that have been reapplied following access to underground services is also an issue. The replacement of these surfaces is a costly exercise, but should be considered as a long-term improvement to the Conservation Area, within ongoing maintenance schedules coordinated by the Council. Any possible investment in the village's hard surfacing should be focused primarily on the pavements along Main Street, by replacing the concrete slabs, kerbs and tarmac with more traditional stone material. Replacement should be of a quality and character that reflects the stone buildings and walls of the Conservation Area. Materials should be selected and coordinated with reference to a Halton Village Streetscape Design Palette, produced and implemented in conjunction with various Council departments.

### **Street Furniture and Signage**

Consideration should be given to improving signage and light fittings, replacing existing standard installations with well-designed, traditional models, where possible making reference to historic photos. This process may also involve removing "clutter" from the streetscape, in the form of excessive lampposts or signposts, and combining these where appropriate. A well chosen, distinctive and coordinated 'set' of street furniture, including lighting, seating, bins, bollards and signage would help give the village a distinct identity. This should be established through the creation of a Halton Village Streetscape Design Palette. It may be possible to undertake this exercise of improvements over a period of many years, if large grants are not available.

Part I of this document identified that the vehicular entrances into the Conservation Area do not currently reflect the importance or quality of the village. The opportunity should therefore be taken to enhance these 'gateways', particularly from Halton Lea, along Holt Road, possibly using sympathetic signage. The location of this signage will obviously depend on the outcome of the proposed extensions to the Conservation Area boundaries, but potential locations are shown in Figure 40. To coordinate any long-term scheme for signage and street furniture, a separate management plan and timetable

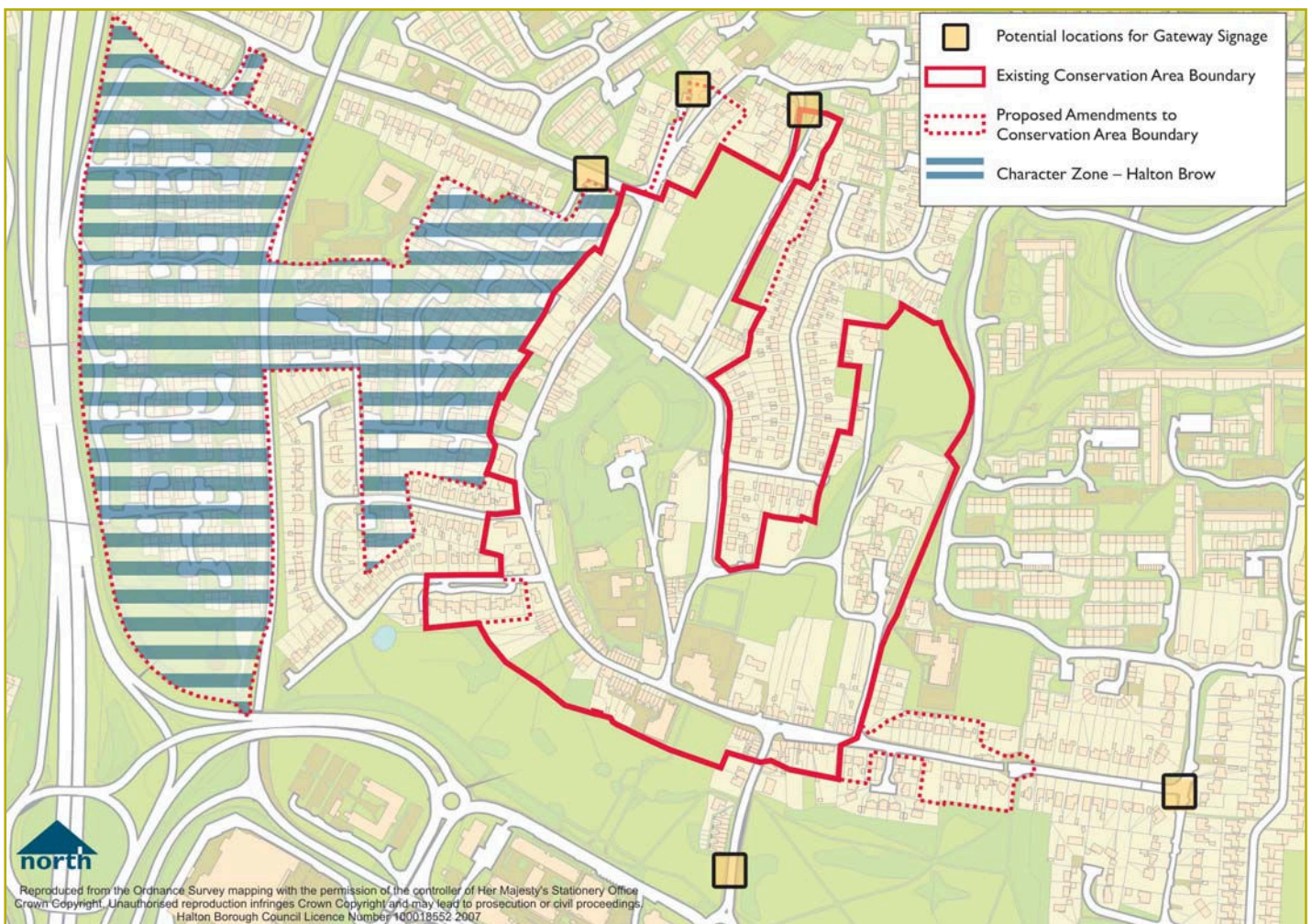
should be put in place, with emphasis on the need to ensure that any new introductions of street furniture and signage do not detract from the Conservation Area, and particularly the setting of its listing buildings. English Heritage's guidance, "Streets for All: North West Manual", (2005) provides some useful pointers for replacement and additional street furniture. The Halton CMP also recommends that a new holistic approach to the design of lighting, signage and seating be adopted in Halton Village.

## 2.2.4 COMMUNITY INVOLVEMENT

Some of the most beneficial improvements to conservation areas often come about by gradual processes led by local residents. This could be brought about by an existing or newly set up group with assistance and advice provided by the Council and other partners. This is particularly possible when considering ways to improve the communal areas such as the green spaces (indeed, this has already proved successful in the creation of Millennium Green).

Works to individual properties can be

Figure 41: Map showing potential locations for gateway signage in Halton Village



instigated by local residents, who could be well placed to encourage others to follow suit. Advisory leaflets and open days could be used to promote understanding of what is important and is valued in the village and the simplest means of achieving these objectives, for instance redecoration schemes and reinstatement of sash windows. This guidance could be produced with reference to, or as part of, the homeowner's guide to the Conservation Area, suggested for production in section 2.2.2 (see section 2.2.7). A more informal introduction to the Conservation Area could be produced by Halton BC in partnership with a local community and interested parties such as the Runcorn Historical Society (again see section 2.2.7).

Set up and agreed jointly by the Council and a group of local residents, there could be a community-led mechanism for monitoring change, including recording the condition of buildings and features within the Conservation Area. Photographic surveys should be kept by the Council and updated ever 5 years. A comprehensive baseline for the photographic survey was established in April 2006 as part of the preparatory works for this Appraisal and Management Plan. Appendix J of this document complements this, with its description and character assessment of each building within the scope of the appraisal. This will need to be updated as incremental or project-led change results in the improvement of the quality of buildings within the Conservation Area, or similarly, as buildings suffer detrimental change.

### 2.2.5 GRANTS AND LISTINGS

The social and economic prosperity around Halton Village is incredibly mixed. Whilst the larger houses with more spacious plots are desirable, the smaller terraced houses positioned directly onto the pavement are less so, particularly where they have no designated car parking. The prominence of such terraces, particularly along Main Street, means that they are critical to defining the overall impression of the village and therefore will to an extent influence other property values and likelihood of businesses wishing to set up in the area.

Part I of this document has identified such 19th century terraced housing as being important to the character of the village, yet some have been identified as having undergone inappropriate alterations, or as being in poor condition. It is buildings such as these that are most likely to benefit from grants, as a relatively simple programme of works would greatly enhance the appearance of the street and have a positive knock-on effect in the village. Often a few repair or reinstatement projects within a town or village can inspire other building owners to do the same, leading to increased investment in the built environment.

Works may be at least part funded by, for instance, PSICA (Partnership Schemes in Conservation Areas, set up in April 2005 to replace Heritage Economic Regeneration Scheme grants) grants as these are intended for fairly standard improvement works within a conservation area. Some small

grants may be available for projects of a very specific benefit, for example environmental or access improvements. Some of the other proposed works relate less to the conservation of buildings and more to the landscaping and setting of the area. Other government or lottery grants are often available for these works, particularly when associated with an active community group. Responsibility for taking forward grant or project funding applications does not have to rest with Halton Borough Council. Although the Council would be an important partner, community groups involving local residents, as identified in section 2.2.4 above, could be a successful way of taking forward enhancement projects within the village. It should also be noted that while Halton Borough Council does not currently have funds for heritage-based grants, these cannot be ruled out in the future.

Where new development proposals are put forward, attention should be given (in appropriate circumstances) to securing 'planning gain' Section 106 contributions to facilitate the continued enhancement of the Conservation Area.

There are a small number of unlisted buildings within the village that are of a high level of architectural or historical interest. Hill House on Castle Road and The Gate on Halton Common are noted within Part I of this report as being of this level of importance. It is recommended that these two buildings are put forward to be considered for listing or are protected via Article 4 direction as set out in section 2.3.2.

## SPECIFIC MANAGEMENT PROJECTS

### 2.2.6 REPAIRS AND NOTICES

It is recommended that Halton Borough Council should use urgent works or repairs notices to ensure that vulnerable buildings within Halton Village are repaired, and where possible, kept in use. Under section 54 of the Planning (Listed Buildings and Conservation Areas) Act 1990, urgent works notices can be used to secure emergency or immediate repairs on any unoccupied building (or part of a building) within a conservation area. It is a statement of their intent to carry out the work itself (if the owner does not) and reclaim the associated costs. This is often enough of an incentive for building owners to carry out the works themselves or to put the building up for sale.

Under section 48 of the Planning (Listed Buildings and Conservation Areas) Act 1990, repairs notices are used to order works necessary for the proper preservation of a listed building to be undertaken. A repairs notice is often used as the first step towards a Compulsory Purchase Order. Works ordered under a repairs notice can only be to put the building back to the condition it was in at the time it was listed, not to make further improvements.

Whilst there are many buildings within Halton Village that are in need of repair, it is unlikely that the statutory notices would be used at the present time to facilitate the necessary works. Generally, it is preferable to encourage the repair of historic buildings through an understanding of the benefits that will ensue (for instance improved value) following negotiation with the

building owner. Notices are only likely to be given when the future of the building is at risk from a serious failure of the building fabric or, in the case of more important (listed) buildings, where a defect or previous repairs are causing acceleration in the natural weathering or decay process.

Halton Borough Council can also serve Section 215 notices on owners of buildings or land whose condition adversely affects the amenity of the area (not solely Conservation Areas), ordering them to clean it up or face the necessary costs for the local authority to do so.

### 2.2.7 CONSERVATION AREA HOMEOWNERS GUIDE AND CONSERVATION TRAIL

As mentioned in sections 2.2.2 and 2.2.4, it is recommended that a summary of the Conservation Area Appraisal (Part I of this document) be produced for homeowners, landowners and other interested parties, known as "Living in Halton Village Conservation Area". It would provide a summary of the distinctive materials and architectural details common in the village, to inform those considering an application to make an alteration to a building in the Conservation Area. The document would summarise the statutory processes involved in living in a designated Conservation Area, such as when an application for listing building consent or conservation area consent is required, or what action is needed when a building has been subject to an Article 4 direction, removing some permitted development rights.

In addition to this document, it would be beneficial to produce a Halton Village Conservation Trail leaflet. This would give an informal introduction to the historic environment of the village through the format of a short and accessible walking tour, identifying key buildings and spaces that make a significant contribution to the Conservation Area. Such a document would provide residents with a brief summary of the environment surrounding their own homes, and would offer visitors an opportunity to acquaint themselves with the historic village. It is envisaged that the local community as well as interest groups including The Runcorn Historical Society could have an input into the production of the Conservation Trail leaflet.

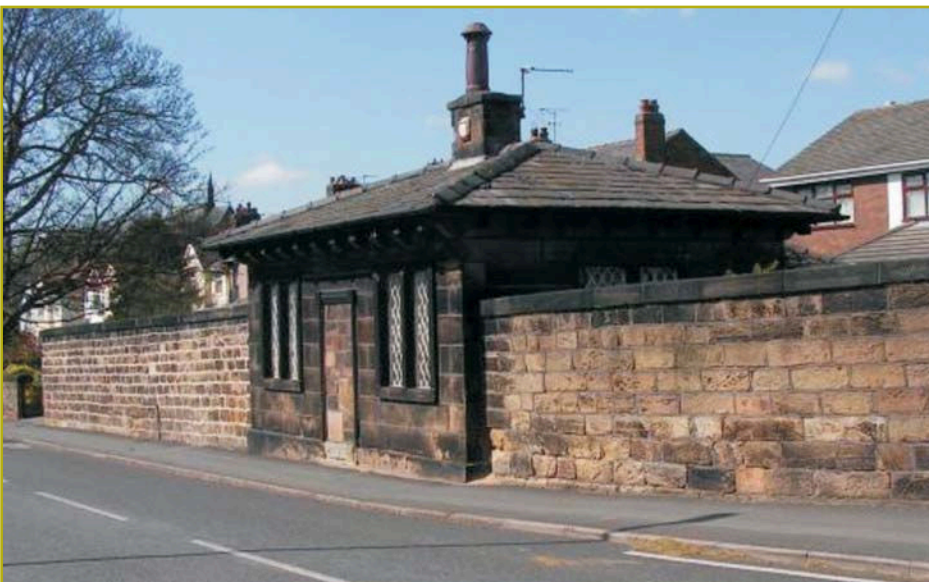
### 2.3 SPECIFIC MANAGEMENT PROJECTS

This section of the Management Plan proposes specific projects whose completion will help to maintain and enhance the special character of Halton Village. These actions include proposed amendments of the boundary of the Conservation Area, as well as proposals for the removal of permitted development rights for buildings in some parts of the Village. Specific project areas have also been identified (in addition to those identified in section 2.2), where further work, including surveys and maintenance schemes, could help address identified problems.

### 2.3.1 BOUNDARY AMENDMENTS

The area around Halton Castle is critical to the history of the town of Runcorn and the wider area of Halton Borough. Whilst the previous area included within the designated Conservation Area included just the historic centre of the village, upon re-evaluation it is proposed that the boundary be widened to include some of the surrounding historic roads that still have some recognisable original character or features. These proposals for boundary amendments are set out in the following sections, and illustrated in a map in Appendix E:

*Figure 42: The Lodge on Main Street and Fletcher's Row*



- a) The part of the eastern end of Main Street is now included as it is particularly important in marking the transition between the old and new areas of the wider Runcorn area. Whilst many of the buildings along this road are only of marginal architectural character and quality it is vital to protect them against inappropriate development along these routes to preserve the setting of the village. The Main Street boundary is to extend as far as the Lodge and stone gate piers that represent the last remnants of important historic links to Norton Priory and Hallwood.
- b) Part of Summer Lane is also included for similar reasons to those outlined above, as it represents an important approach to the village. Along Summer Lane are a number of stone walls that very much characterise the Conservation Area. Most of the houses along the road are at least around 100 years of age and have some architectural character.
- c) The boundary is also widened slightly to include a small additional area to the east of the Millennium Green. Within this area is Fletcher's Row, which although is fairly altered, represents an example of early workers housing and has highly important views from the castle. The neighbouring semi-detached bungalows are also included to preserve the setting of the open space and their stone wall boundaries.
- d) A proposal for deletion from the Conservation Area is part of Lodge Lane, whose contribution to the character of the area is assessed as being minimal. The removal of these 20th century properties from the Conservation Area allows a greater focus to be placed upon the historic evolution of the village, and its buildings of particular architectural interest.
- e) Part I identified that part of the special character of Halton Village is the way that it has grown up over time and its diversity of built form. It also recognised the emerging historical value of Halton Brow as a relatively complete example of successful 20th century development. Although Halton Brow can be considered as part of the continued historical expansion of Halton Village, it can also be considered within its own right as a distinct area of special character and worthy of collective preservation, as a model of influential New Town planning and architecture of its time. It is therefore recommended that two options be explored to recognise

and preserve the special character of Halton Brow. These are firstly the extension of the Halton Village Conservation Area to incorporate Halton Brow or secondly the creation of a new separate Halton Brow Conservation Area.

The boundary amendments proposed above are subject to consultation with local residents, stakeholders and interested parties. Following on from this consultation, the proposed amendments will be amended as appropriate.

### 2.3.2 ARTICLE 4 DIRECTIONS

The Town and Country Planning (General Permitted Development) Order 1995 (GPDO) allows building owners to carry out a range of minor developments without planning consent subject to limits and conditions. These 'permitted development' rights are automatically limited within conservation areas: restrictions include those over the addition of dormer windows, various types of cladding, the erection of satellite dishes fronting a highway and the reduction in the size of extensions permitted.

Article 4 of the GPDO enables local authorities to withdraw some specified permitted development rights on buildings or land, such as removal of a chimney, changes around the front boundary of a building, construction of porches, painting of houses or removal of architectural features such as windows and doors. Article 4 directions are not just automatic consequence of conservation area designation, but should be borne out

of a careful assessment of what is of special interest within an area and should be preserved. Permitted development rights should only be withdrawn where there is evidence to prove that such development would damage the character of a conservation area and is currently taking place.

Local authorities must notify local people and take account of their opinions before confirming an Article 4 direction. It is also worth noting that there are two distinct types of Article 4 directions, type 4(1) and type 4(2). The former of these requires permission from the Secretary of State, while the latter can be implemented solely by the relevant local authority, but are limited in the extent to which they can remove development rights for the entirety of a building. It is highly likely that for Halton Village, any Article 4 directions pursued will be Article 4(2) directions, although this will be finalised when proposals are drawn up.

Taking account of the appraisal made in Part 1 of this document, certain aspects of the Halton Village Conservation Area have been identified as being worthy of consideration for Article 4 directions. These are set out in sections a), b) and c). It should be noted that these cannot be confirmed until detailed consultation with residents potentially affected has taken place, and any action taken will require either full Council consent, or consent from the Secretary of State. This will take place during a separate process initiated as a result of the adoption of the Halton Village Management Plan. These processes will be fully explained to

residents affected at the appropriate juncture.

a) **Stone Walls:** It has been identified that a critical aspect of the character of Halton Village are the stone walls that define the edges of many of the roads. These are employed as boundaries to many of the historic and listed buildings but also to some of the modern, less architecturally interesting buildings, that would not otherwise be of note. It could often be the case that these modern buildings are built within the site of an earlier building and the stone wall boundary its only existing remainder. These walls are particularly under threat as car ownership continues to increase and there is pressure for people to have off-road parking. It would therefore be beneficial to protect these walls from demolition. Before exact Article 4 directions are drawn up, it will be necessary to conduct a stone wall survey in the Conservation Area, recording the dimensions and conditions of all walls in the village which front a relevant location. This study should result in a combination of marked up plans and dated photographs, as well as recorded details of the walls materials, dimensions and condition. It is possible that much of this work could be undertaken by a group of enthusiastic volunteers, if the Council gives the necessary support.

b) **Category A and B buildings:** Buildings assigned as Category A and B in Appendix C are identified as being critical to, or making a strong contribution to the

## PROJECT AREAS

character of the Conservation Area. Some of these buildings are not listed, and are therefore vulnerable to development whose completion would be detrimental to the village. In particular, this development could include those described in section 1.7.4 of this report as 'unsympathetic alterations', including changing windows, doors, chimneys or roofing materials. The application of Article 4 directions may therefore be necessary to halt the decline of character many of the village's important buildings, either as an alternative to an application for listed status, or as an interim measure while listing applications are being made. Buildings identified as Category A that would benefit from these measures include the Gate on Halton Common and Hill House on Castle Road (as identified in section 1.4.2). It should be noted that if improvements are made to the Category C terraced houses along Main Street, their overall contribution to the conservation area may rise to a higher category, at which time it may also be appropriate that they are subject to these Article 4 directions.

- c) **Roofs:** In contrast with the views of the village afforded from the street level, from higher or more open ground, a different visual relationship with the townscape of the village is revealed. The importance of these views has been established in section 1.3.1. The quality of roofscape of nearby buildings is clearly an important factor, with inappropriate details and materials potentially damaging

the quality of the views. It is therefore proposed that Article 4 directions are imposed on all buildings within the area shown on the plan within Appendix F concerning changes to their roofscape. This would involve a restriction in the type of materials used in repairing and re-roofing existing buildings, as well as restrictions on development such as the alteration of chimneys, and the addition of rooflights.

### 2.3 PROJECT AREAS

#### Halton Castle and Castle Hill

Halton Castle and Castle Hill are of immense importance to the borough of Halton as a historic site, and also play a critical role as a green space and visual feature within the more immediate context of the village. However, with some investment, the castle could be an important educational tool and attraction, which would benefit a wide percentage of the population.

The Norton Priory Museum Trust, owners and managers of nearby Norton Priory Museum and Gardens, currently manage Halton Castle on behalf of Halton Borough Council. The issues surrounding improvements to the castle and its grounds are discussed at length within the Halton Castle Conservation Management and Access Plans, prepared by consultants for the Norton Priory Museum Trust. In particular, these include measures required to improve the condition of the fabric of Halton Castle, and promote it as a visitor attraction. The Halton Castle CMP recognises the importance of the need for the castle

and Halton Village to maintain a complementary and harmonious relationship. It will be extremely important for the content of this document to be taken into account in any proposals affecting Halton Castle, Castle Hill and the immediate surrounding area and buildings.

Of immediate relevance to the residents of the Conservation Area is the area outside of the castle walls. There are a number of public footpaths on this land and the trees, shrubs and geological formations form a backdrop to many of the buildings within the village. Despite the public rights to access this land, it is little used due to the condition of the pathways. As discussed in Part 1, the ecological study undertaken as part of the Halton Castle CMP identified that the Castle Hill had some level of ecological interest, but with some further management could become a valuable area for biodiversity.

It is proposed that the Castle Hill should be highlighted as a project area with the aim of improving public accessibility and improving the variety of indigenous flora and fauna present. It will be necessary to undertake further studies of the site including surveys of the existing pathways (noting for instance particularly uneven steps or other unsafe areas) and species over the period of a year. Much of this information could be collated by a team of enthusiastic volunteers and used by the Council (or employed consultants) to make the necessary recommendations for improvements. Whilst much of the necessary work is likely to be of a relatively simple nature (e.g. planting) it should be noted that as the castle is a



Scheduled Monument, consent will be required for any works involving ground disturbance, as well as archaeological mitigation. Some of this work should be undertaken in conjunction with the general management proposals for the improvement in landscaping and streetscape in section 2.2.3, and much of it would benefit from working in conjunction with proposals and recommendations of the Halton Castle CMP. It is possible that with a change in management, Castle Hill could warrant designation as a Local Wildlife Site, which would complement the status of Halton Village as a Conservation Area, and the status of the castle as a Scheduled Monument.

### Castle Hotel

The Castle Hotel is an important building to both the character of the Conservation Area and the future viability of the castle as an attraction. Its current condition is detrimental to both of these. Cementitious repairs to the face of the stonework not only adversely affects the aesthetic appreciation of the grade II\* listed building but are causing the rapid decay of the stonework. It is therefore essential that repair works are carried out by the owner of the building, possibly in conjunction with a specialist conservation contractor. A maintenance regime should also be put in place to ensure that its condition is regularly monitored and necessary action is taken at the appropriate time. The Council may have to consider serving an urgent works notice should the condition of the Hotel continue to deteriorate. However, this action should not be taken without efforts to negotiate with the building owners have been made.



*Figure 43: The effect of gradual changes to buildings along Main Street*

### Main Street

The necessity to make improvements to many of the buildings along Main Street through the reinstatement of lost features has been discussed above. Works undertaken should improve the visual unity along a terrace and restore lost features that characterise the buildings, such as sash windows, panelled doors and slate roof coverings (the latter is particularly important where the buildings are visible from the castle, as identified in section 2.3.2 above). In addition some buildings may require repair work to remove damaging cementitious render or pointing, or artificial stone cladding. To ensure the long-term success of such projects, it is imperative that it is carried out with the co-operation and support of local residents who must understand what is to be achieved. Further statutory restrictions (e.g. Article 4 directions, see section 2.3.2) may be necessary upon completion of the works to ensure the future of any reinstated features.

### The Common

The Common has a number of similar issues to the Castle Hill, in that it is a currently underused public green space, of high historical importance. The ecological value of the trees, shrubs and any animal species present on the Common, and the need for their management, is not thoroughly documented and therefore an ecological study is suggested. The nature of the space has changed considerably over the past century or so, with the once open area now essentially wooded. It is unlikely that it would be desirable to return this land to its original status, although it could become a more used and appreciated public recreational space of higher aesthetic and ecological value. In addition, this could involve the removal of any waste or abandoned vehicles. Consultation with both the immediate homeowners and the wider residents would be necessary to establish what people would like to see happen to this area.

## **SUMMARY AND SCHEDULE OF MANAGEMENT PROPOSALS**

### **Archaeological Research**

Further archaeological research within the Conservation Area could be undertaken, particularly in the vicinity of the castle and its grounds, including the historic stone walls in the village. Priorities for archaeological work are detailed in the Halton Castle CMP, and work should be undertaken in partnership with Norton Priory Museum Trust as the castle's management body. This work should help to improve the current understanding of the historical significance of the village and help inform future proposals. In addition, all development proposals will be assessed by the Council's historic environment advisors to ensure that where development impacts on areas of archaeological potential and/or historic buildings or structures, appropriate mitigation strategies will be produced in line with national legislation and planning guidance.

proposes the future assessment of the effectiveness and relevance of this Conservation Area Appraisal and Management Plan.

## **2.4 SUMMARY AND SCHEDULE OF MANAGEMENT PROPOSALS**

The following table summarises the management proposals described in Section 2.2 and 2.3, and assigns priority to these according to need and resources available. Some of the actions described require immediate action, while others are part of ongoing planning and conservation mechanisms deployed by Halton Borough Council. Importantly, this table also includes a section on 'surveys and monitoring', which describes intentions for the completion of studies, and monitoring not only of change within the Halton Village Conservation Area, but also

PROPOSALS	SECTION	SUMMARY	PRIORITY AND RESOURCE CONSIDERATIONS
<b>General Management Proposals</b>			
New Development and Gap Sites	2.2.1	High quality development that respects and enhances the character of the Conservation Area should be sought.	Gradual implementation as and when sites become available for new development and/or redevelopment. Priority dependent on location of site and likely contribution to the character of the Conservation Area.
Detrimental Buildings	2.2.1	Buildings identified as detrimental to the character of the Village should be replaced where possible.	Gradual implementation as and when sites become available for redevelopment. Homeowner and landowner responsibility to submit planning applications, advised by Halton Borough Council. Medium priority for the production of a development brief for the Royal British Legion site, Main Street.
Materials	2.2.1	Any new development should use traditional materials where possible, and should respect its architectural context.	Gradual implementation as and when sites become available or buildings are altered. Advice provided by Halton Borough Council, conditioned through the development control process.
Reinstatement of Lost Features and Repairs	2.2.2	Proposed programme to replace lost features, including informing homeowners of the benefits of restoring historically accurate features and correcting detrimental repairs.	Homeowner impetus, with advice and possible grants coordinated by Halton Borough Council and English Heritage. Possible implementation input from the Council's development control process.
Trees and Planting	2.2.3	Proposed landscape management programme for Castle Hill, proposed survey of important trees and subsequent replanting and maintenance measures.	Medium priority for the preparation of survey materials, coordinated by Halton Borough Council Landscape Services.
Paths and Surfaces	2.2.3	Improvements to Castle Hill footpaths and road/pavement surfaces generally, replacement with traditional materials.	Medium priority for the replacement/reinstatement of paths, coordination by Halton Borough Council with input from landowners and the Norton Priory Museum Trust and/or English Heritage where appropriate. Advice on appropriate materials given in the Halton Village Design Palette, to be produced.
Street Furniture and Signage	2.2.3	Proposed improvements to (and introduction of new) standard street furniture and signage.	Medium priority for the additional and/or replacement of furniture/signage, including the production of a Design Palette for these. Initiation by Halton Borough Council in conjunction with local residents and conservation signage specialists.
Community Involvement	2.2.4/7	Increased involvement for local people in management and monitoring of the condition of the village, including measures to inform residents and of benefits of reinstatements/repairs.	High priority for the establishment of community involvement and monitoring. Coordination by local residents groups, interested local organisation such as Runcorn Historical Society and/or Halton Borough Council. Community involvement also dependent on other actions within the Management Plan, including the preparation of a Conservation Trail.
Grants and Listings	2.2.5	Identification of areas appropriate for grant applications, suggested sources of funding and recommendations for listings.	High priority for the application for grants by residents. Community/interest group initiation, with help and advice from Halton Borough Council.
Repairs and Notices	2.2.6	Summary of the possible urgent works / repair notices available to the Council as and when appropriate.	Incremental measures taken as and when needed, according to condition of buildings. Some reliance on local residents to report buildings in need of urgent works or repairs to the Council. Actions then initiated by Halton Borough Council.
Conservation Area Homeowners Guide	2.2.7	Production of a homeowners guide to the Conservation Area, known as "Living in Halton Village Conservation Area" and a leaflet describing a Conservation Trail around the village.	Medium to high priority for the production of this document which would inform local residents of the issues involved in living the Conservation Area. Halton Borough Council will initiate this document in conjunction with the local community and interest groups, after the adoption of the final Halton Village Conservation Area Appraisal and Management Plan.

PROPOSALS	SECTION	SUMMARY	PRIORITY AND RESOURCE CONSIDERATIONS
<b>Specific Management Projects</b>			
Boundary Amendments	2.3.1	Three proposed extensions (Main Street, Fletchers Row and Summer Lane), one proposed deletion (Lodge Lane) and consideration of options for Halton Brow.	High priority to amend the boundaries on Main Street, Fletchers Row, Summer Lane and Lodge Lane. High priority to consider options for Halton Brow, subject to representations received from local residents.
Article 4 Directions	2.3.2	Proposals for the removal of permitted development rights on demolition of stone walls, work on category A and B buildings, and on roofscapes visible from Castle Hill.	High priority for the completion of the stone wall survey and compilation of detailed proposals for Article 4 directions, including a record of all relevant properties. Survey work coordinated by Halton Borough Council. This work will take place after the adoption of the Halton Village Management Plan and its outcome will be dependent on public support for the measures, and Council or Secretary of State support for the direction.
Project Area: Castle/Castle Hill	2.3.4	Improvements to paths, planting, public access, including proposed survey work.	Medium priority for the preparation of survey materials and detailed management programme for planting/resurfacing. Work conducted or coordinated by Halton Borough Council, in conjunction with Norton Priory Museum Trust and the measures prescribed in the Halton Castle CMP. Possible future designation as a Local Wildlife Site.
Project Area: Castle Hotel	2.3.4	Improvements to current condition, especially pointing and materials.	High priority for property owners to improve the current condition of the grade II* listed building. Dependent on action, possible priority for Halton Borough Council to explore issuing a repairs notice on owners.
Project Area: Main Street	2.3.4	Proposed works to improve visual unity and to reinstate lost features.	Gradual implementation as and when buildings are altered. Advice provided by Halton Borough Council, though homeowners bear responsibility. Action dependent on the proposed imposition of Article 4 directions, particularly on roofing materials near to Castle Hill.
Project Area: The Common	2.3.4	Proposals to increase public use of the Common, including an ecological study to assess landscape value.	Low priority for completion of the ecology study / management plan and consultation about future use of the Common, coordinated by Halton Borough Council Landscape Services.
Project Area: Archaeological Research	2.3.4	Further research required, particularly within vicinity of the Castle.	Low priority for further research, coordinated by Halton Borough Council with services from Cheshire County Council and/or consultants or Norton Priory Museum Trust. Detail on projects given in Halton Castle CMP. Opportunities for archaeological investigations sought through planning regime.

PROPOSALS	SECTION	SUMMARY	PRIORITY AND RESOURCE CONSIDERATIONS
<b>Specific Management Projects</b>			
Surveys and Monitoring	N/A	<p>Identification of need for surveys and studies throughout above sections.</p> <p>The effects of specific management projects, including the introduction of statutory measures, will need to be monitored to ensure that they are having a positive impact on the special character of the village.</p> <p>The general condition of the Conservation Area, and in particular the project areas identified above, will need to be monitored.</p> <p>It may be necessary to monitor the condition of the most 'at-risk' of buildings to ensure that the necessary enforcement action can be taken before the condition deteriorates irreparably.</p>	<p>Variable priority for the monitoring of specific projects depending on timescales and severity of the potential impact of the project. Impacts will be necessarily assessed when the conservation area appraisal and management plan are updated.</p> <p>Variable priority for the recording of the completion of survey work by Halton Borough Council. Dependent on the nature of the work, baseline surveys will also need to be updated as appropriate, including the photographic baseline survey.</p> <p>High priority for community involvement in the monitoring of the success of management proposals, coordinated by Halton Borough Council, with the management plan being updated as appropriate.</p> <p>High priority for the monitoring of at risk buildings, particularly where they are in danger of undergoing rapid detrimental change. While Halton Borough Council are responsible for enforcement action, the local community can play an important role in reporting dramatic change to nearby buildings.</p>
Conservation Area Appraisal and Management Plan updates	N/A	<p>There should be an agreed framework for updating the Conservation Area Management Plan and the Appraisal, depending on factors such as physical changes within the village (e.g. development) and factors that have a knock-on effect on the functioning of the village such as traffic and the economy</p>	<p>Recommended 5 year period for the update of management plans and 10 year period for the update of area appraisals, although it is envisaged that this document will remain relevant for a longer period, due to its detailed content and wide scope.</p> <p>Halton Borough Council will update the Conservation Area Appraisal and Management Plan as required, with particular regard given to change to the special character of Village. Such an update will also be undertaken in the context of the need to safeguard and enhance other conservation areas within Halton.</p>

## BIBLIOGRAPHY

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## English Heritage

- "Streets for All: North West Manual" (EH, 2005)
- "Guidance on Conservation Area Appraisals" (EH, 2006)
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- Planning Policy Guidance 16: Archaeology and Planning (HMSO, 1990)
- Design Bulletin 32: Residential Roads and Footpaths (Department for the Environment / Department of Transport, 1977, updated 1992)
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- Places, Streets and Movement: A Companion Guide to Design Bulletin 32 - Residential Roads and Footpaths (Office of the Deputy Prime Minister, 1998)

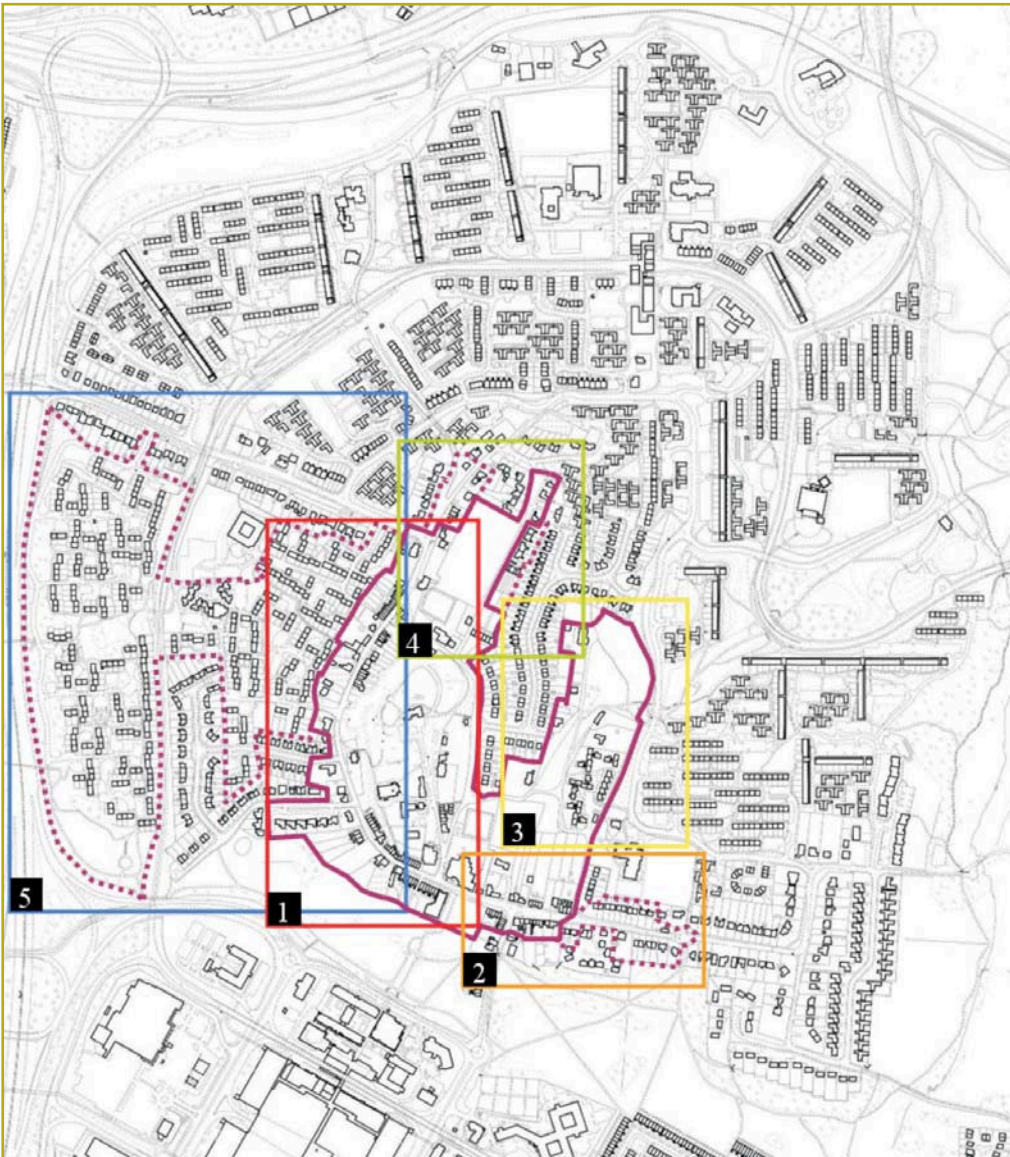
## Other

- Runcorn New Town Master Plan (Runcorn Development Corporation, 1967)
- Cheshire Historic Towns Survey: Halton Borough (Cheshire County Council / English Heritage, 2003)
- Halton Castle Conservation Management Plan (Graham Barrow Research and Consulting Ltd. / Gifford Consulting / Donald Insall Associates Ltd., 2006)

## APPENDICES

### APPENDIX A

#### KEY FEATURES PLANS

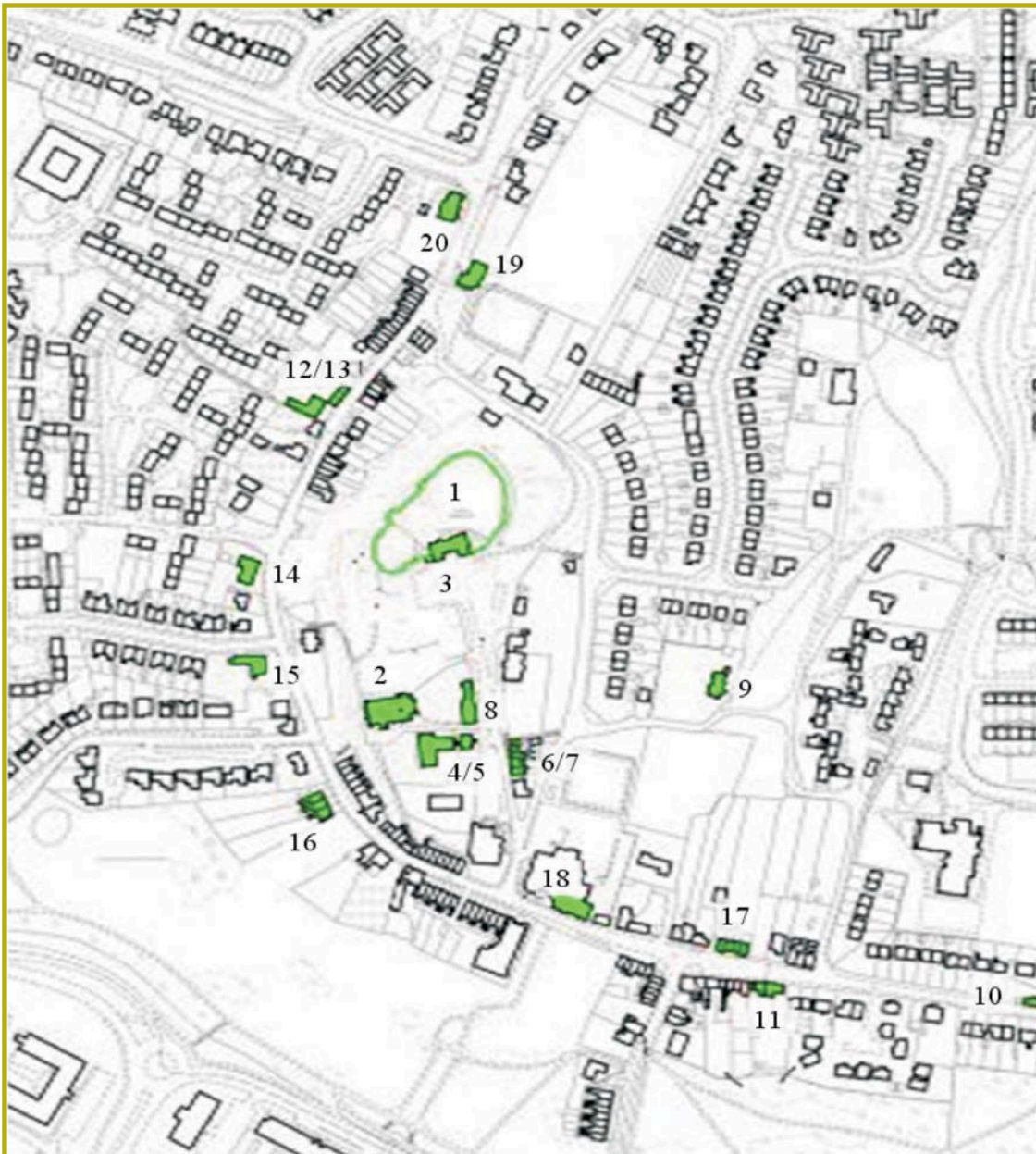


Key:

- 1 – Area around Main Street (west / north) and Castle Road
- 2 – Area around Main Street (east)
- 3 – Area around Halton Common
- 4 – Area around Millennium Green
- 5 – Halton Brow

APPENDIX B

GAZETTEER OF LISTED BUILDINGS







## 1 HALTON CASTLE GRADE I

### Listing Description:

SJ 58 SW HALTON CASTLE ROAD  
5/28 Halton Castle 23.4.70 | Ruinous  
Castle circa 1070 for Nigel first  
Norman Baron of Halton. Red  
sandstone almost elliptical on plan  
sitting on top of high sandstone and  
earth mound and dominating the  
surrounding plain. Roughly squared  
sandstone inner and outer faces with  
corework infilling. A few high standing  
sections of the walls contain the  
remains of windows with tracery  
which suggests a late medieval  
alteration. High standing remains  
within the walls South East were built  
c1800 to make the Castle an  
eyecatcher from Norton Priory.  
Scheduled Ancient Monument.



## 2 ST. MARYS CHURCH

### Listing Description:

SJ 58 SW HALTON CASTLE ROAD  
(West Side) 5/26 Church of St.Mary  
23.4.70 | Parish Church 1851 by Sir  
G.G.Scott. Red sandstone with slate  
roof. Lofty 4 bay naves with side aisle  
and chancel roof at lower level. Bell-  
turret to nave east gable. Squared  
snecked rubble walls with angle  
buttresses to chancel and corner  
buttresses to nave. Main Gothic  
entrance in south aisle. Windows  
curvilinear to chancel and nave, trefoil  
to clerestorey have drip moulds with  
stops carved as faces. All have stained  
glass. The octagonal bell-turret has  
trefoil openings surmounted by gablets  
and there are gablet kneelers to the  
gables. Interior Gothic aisle arcades  
supported on clusters of four shafts.  
Organ chamber and Memorial Chapel  
flank the chancel north and south.  
Good alabaster reredos and oak  
chapel screens. Boarded waggon roof  
to \_ chancel and similar roof with  
exposed rafters to nave, trusses  
carried on corbels carved as faces.  
Oak benches with simple poppyheads.



## 3 CASTLE HOTEL PUBLIC HOUSE GRADE II\*

### Listing Description:

SJ 58 SW HALTON CASTLE ROAD  
5/29 The Castle Hotel Public House  
(formerly listed as Castle Inn) 20.10.52  
II\* Former Duchy of Lancaster Court  
House now a Public House. 1737 with  
later alterations, Henry Sephton,  
Undertaker. Red sandstone with slate  
roof. 2 storeys 7 bays with 2 bay  
projections each side. First floor  
entrance to Court Room, approached  
up stone staircase, consists of double  
door with six raised panels in stone  
doorcase surmounted by Royal Arms.  
Outer bays have projecting weathered  
plinth midway up ground floor  
windows. Upper windows have  
moulded stone bracketed sills,  
architraves, and heads marked with  
triple keystones. Moulded eaves  
cornice and hipped roof with  
sandstone hip and ridge tiles. Interior:  
Courtroom now adapted for catering  
but still contains tablet with inscription  
and date.



**4**  
**GATE PIERS AND SURROUNDING WALL TO LIBRARY**  
**GRADE II**

**Listing Description:**

SJ 58 SW HALTON CASTLE ROAD (West Side) 5/25 Gate Piers and surrounding wall to Library. GV II Gate piers in wall forming entrance to Library circa 1730, red sandstone squared blocks on projecting moulded plinth with moulded caps and ball finials on truncated cone support. The finials have round projecting discs to four faces and top. The piers are set in ashlar wall with slightly overhanging half round coping.



**5**  
**THE PARISH LIBRARY**  
**GRADE II\***

**Listing Description:**

SJ 58 SW HALTON CASTLE ROAD (West Side) 5/24 The Parish Library (formerly listed as Chesshyre Library) 20.10.52 II\* Library now Committee Room for the new linked Church Hall.

1730 for Sir John Chesshyre, stone with slate roof 1 storey 2 bays. Entrance door with 4 fielded panels in stone doorcase with Ionic columns and triangular pediment with raised segmental apex. Arched windows with glazing bars. Cornice and solid parapet, stone gables and chimney. Interior of no interest following alterations and repairs in 1975.



**6**  
**6, 8 AND 10 CASTLE ROAD**  
**GRADE II**

**Listing Description:**

SJ 58 SW HALTON CASTLE ROAD (East side) 5/22 Nos 6, 8 and 10 GV II Row of 3 cottages early C18 with alterations, sandstone with slate roof, 2 storey 1 bay in squared coursed stone with dressed heads, sills and broad surrounds to doors. Three light horizontal sliding sashes with glazing bars Old slate roof with diminished courses, one chimneystack of stone. Listed for group value.



**7**  
**12, 14 AND 16 CASTLE ROAD**  
**GRADE II**

**Listing Description:**

SJ 58 SW HALTON CASTLE ROAD (East Side) 5/23 Nos. 12, 14 & 16 GV II Row of 3 cottages early C19 with alterations, brown brick with slate roof 2 storeys 1 bay, stone plinth, quoins, and first floor level sill band. Ground floor windows are three light horizontal sliding sashes with turning pieces and arches; those at first floor level are two light casements also with shallow arches. Roof of small slates with plain brick stacks. Listed for group value.



**8**  
**THE VICARAGE CASTLE ROAD**  
**GRADE II\***

**Listing Description:**

SJ 58 SW HALTON CASTLE ROAD (West Side) 5/27 The Vicarage 20.10.52 II\* Vicarage 1739 (on parapet tablet). Sandstone with slate roof 2 storeys 5 bays Rusticated quoins. Centre entrance bay flanked by giant pilasters. Six-panel door with four fielded and two glazed panels in Doric porch. Rusticated surrounds to ground floor windows including heads with keystone, sash windows with glazing bars. Eaves cornice with solid parapet, pedimented over centre bay. Interior: South ground floor room has panelling with fluted pilasters; those, which flank

the mantel, have Corinthian caps. Staircase with cut and bracketed string and turned newels.



**9**  
**THE OLD HALL, HALTON COMMON**  
**GRADE II\***

**Listing Description:**  
SJ 58 SW HALTON HALTON COMMON 5/30 The Old Hall 4.3.69 II\* House 1693 with alterations. Sandstone with slate roof 2 storeys and attic 3 bays, with 2 storeys 1 bay wing added to north. Centre bay of three bay sections set forward. Moulded string at first floor and matching drip moulds to first floor and attic window heads. Mullion windows, studded entrance door. Gables have corbels and copings. Brick stacks with double reeded feature on all faces. Interior: Ovolo moulded beams, Jacobean style staircase with flat shaped balusters and 8 panel C17 doors.



**10**  
**THE LODGE, 120 MAIN STREET**  
**GRADE II**

**Listing Description:**  
SJ 58 SW HALTON MAIN STREET (East Side) 5/34 No.120 (The Lodge) II A former lodge to Norton Priory now a private dwelling early to mid C19 with alterations and additions. Red sandstone with slate roof, single storey 2 bay. 2 light mullion windows flank door opening, now built-up, with pulvinated stone architrave. Cast iron lattice casements, stone bracketed eaves cornice, hipped roof of large slates with lead rolls. Stone chimneystack.



**11**  
**125 AND 127 MAIN STREET**  
**GRADE II**

**Listing Description:**  
SJ 58 SW HALTON MAIN STREET (West side) 5/41 Nos 125 and 127 23.4.70 II Cottages early C17 sandstone and brick nogged timber framing with machine tile roof. 2

storeys 3 bays with added wing east. Sandstone up to first floor moulded stringcourse, exposed timber in small framing above. Boarded doors and altered casement windows. Interior: Moulded beams.



**12**  
**31 MAIN STREET**  
**GRADE II**

**Listing Description:**  
SJ 58 SW HALTON MAIN STREET (West Side) 5/36 No. 31 GV II Former stables to Halton House, now a dwelling, late C18, red sandstone with slate roof 2 storeys 5 bays. Squared rubble walls, three Gothic windows to ground floor with rendered surrounds, stone sills and cast iron lattice casements. Six-panel door with narrow rendered surround. Square pitch hole at first floor level blocked internally and filled with unglazed pair of lattice casements. Sandstone copings to gables.



**13**  
**HALTON HOUSE, 33 MAIN STREET**  
**GRADE II**

**Listing Description:**

SJ 58 SW HALTON MAIN STREET (West Side) 5/37 No. 33 (Halton House) 23.4.70 II House 1779, brown brick with sandstone slate roof. 2 storeys three bays. Rusticated stone quoins. Stone doorcase with eared architraves, keystone cutting pulvinated frieze and pediment with inscribed tympanum, six-panel door. Windows have screwback-rusticated heads with keystones, stone sills and recessed sashes. Gable chimneys. Wooden eaves cornice altered to accept an eaves gutter.



**14**  
**VILLAGE FARMHOUSE 45 MAIN STREET**  
**GRADE II**

**Listing Description:**

SJ 58 SW HALTON MAIN STREET (West Side) 5/38 No.45 (Village Farm House) II Farm house now cottage

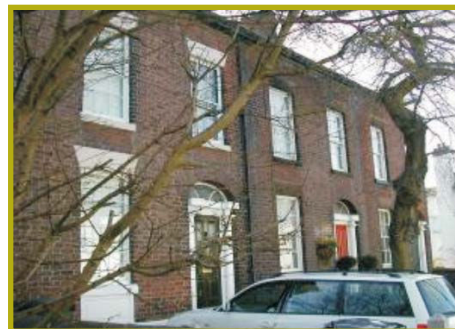
early C17 with alterations and additions, sandstone with slate roof. 2 storeys 1 bay, coursed rubble walls, mullion windows with leaded lights. String courses at first floor level and above first floor window. Later section north, in random rubble with casement windows, of no interest.



**15**  
**HOLLY BANK HOUSE, 51 MAIN STREET**  
**GRADE II**

**Listing Description:**

SJ 8 SW HALTON MAIN STREET (West Side) 5/39 No.51 (Holly Bank House) 23.4.70 II House early C18 rendered brick with slate roof 2 storeys and attic 5 bays, including blank bay over entrance. Moulded stone plinth and rusticated quoins. Stone doorcase with Ionic pilasters, pulvinated frieze and swan-neck pediment with cartouche in the tympanum. A roundel with festoon formerly occupied the blank space over the entrance. Recessed sash windows with glazing bars.



**16**  
**59, 61 AND 63 MAIN STREET**  
**GRADE II**

**Listing Description:**

SJ 58 SW HALTON MAIN STREET (West Side) 5/40 Nos.59, 61, and 63 II Row of three houses, early C19. Red brick with slate roof, 2 storeys and attic 7 bays. Tuscan column doorcases with elliptical fanlights and rubbed arches, four panel doors with raised panels approached up three stone steps. Stone plinth, rectangular apron with wide margin sinking below ground floor windows. Recessed sash windows with stone sills and skewback lintels. Ground floor and first floor windows missing from south end bay but first floor lintel remains. Stone eaves cornice, roof of small slates, south end and party wall stacks. The stack at the north end has been removed and the gable set back to the inner face.



**17**  
**88, 90, 92 AND 94 MAIN STREET**  
**GRADE II**

**Listing Description:**

SJ 58 SW HALTON MAIN STREET (East Side) 5/33 Nos. 88, 90, 92 and 94 || Row of four cottages 1827 (in tablet at first floor level). Red brick with slate roof 2 storeys 4 bays with gable projections both ends. Sandstone plinth and sills and heads with stepped labels. Side entrances to both end cottages have stone bracketed canopies whereas the canopies to the centre cottages are supported on wide projecting edge moulded stone cheeks. Three light casement windows, one original boarded door. Gable apex feature of three projecting courses with. Middle course set point forward. This feature is repeated in the caps of the diagonally set clustered chimneys. Lead ridge, old slates and very narrow Gable bargeboards.



**18**  
**STILL ROCK FARM HOUSE, MAIN STREET GRADE II**

**Listing Description:**

SJ 58 SW HALTON MAIN STREET (East Side) 5/32 Still Rock Farm House (formerly listed as Rock Farm House and Barn) 27.2.73 || Former farm house now social club offices. Late C17 with C19 alterations. Sandstone and red brick with slate roof. 2 storeys 6 bays including two gabled projections. Original portion west of sandstone with mullion windows. East the red brick section "U" shaped on

plan, is built off old sandstone walls averaging 5 courses above ground level. Arched porch entrance in west gabled projections with modern door, windows east of this are two light casements with arch turning pieces and glazing bars. Plain gable barge boards and lead valleys. Interior: Bevelled beams.



**19**  
**NORTON ARMS PUBLIC HOUSE, MAIN STREET GRADE II**

**Listing Description:**

SJ 8 SW HALTON MAIN STREET (East Side) 5/31 The Norton Arms Public House 23.4.70 || Public House 1758 (above entrance). Rough cast brickwork with slate roof, 2 storeys and attic 3 bays with 2 bay 2 storey wing with basement to north. Stone moulded plinth and rusticated quoins. Stone doorcase with plain pilasters, moulded caps and archivolt with key. Entrance approached up old stone steps. An arched tablet at first floor fills the blank space over the entrance. Facade windows are casements with keystones to arches but the north wing has sashes with glazing bars. Gable end chimneystacks.



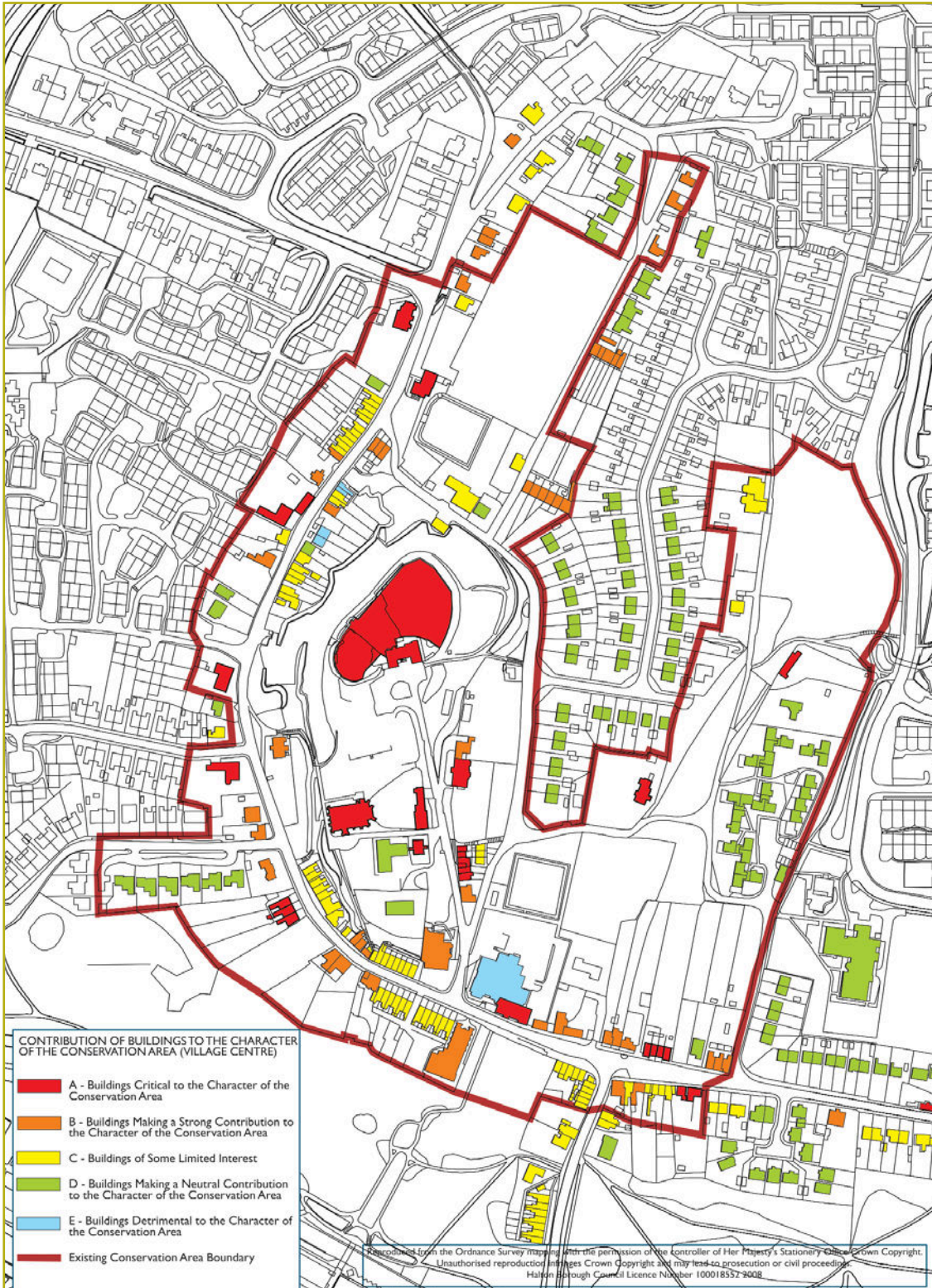
**20**  
**THE SENESCHAL'S HOUSE, MAIN STREET GRADE II\***

**Listing Description:**

SJ 58 SW HALTON MAIN STREET (West Side) 5/35 The Seneschal's House 20.10.52 ||\* House 1598 sandstone with stone slate roof. 2 storeys and attic 5 bays including three gabled projections. Mullion windows, moulded bands at first floor level and above first floor windows. Replacement oak boarded entrance door. Gables with corbels and moulded copings, sandstone ridge. Interior: Ovolo moulded beams.

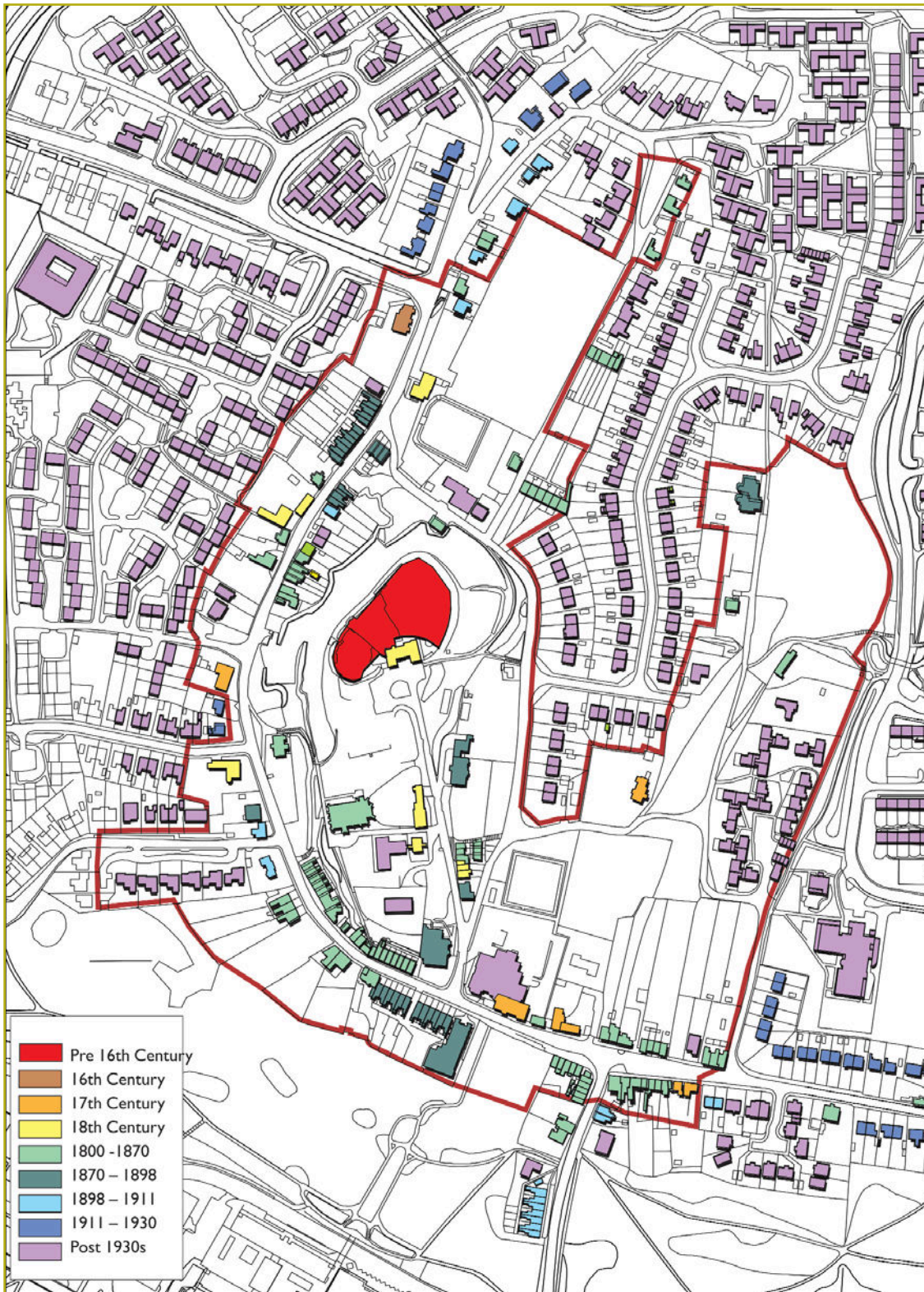
APPENDIX C

PLAN SHOWING CONTRIBUTION OF BUILDINGS TO THE CHARACTER OF THE CONSERVATION AREA (VILLAGE CENTRE)



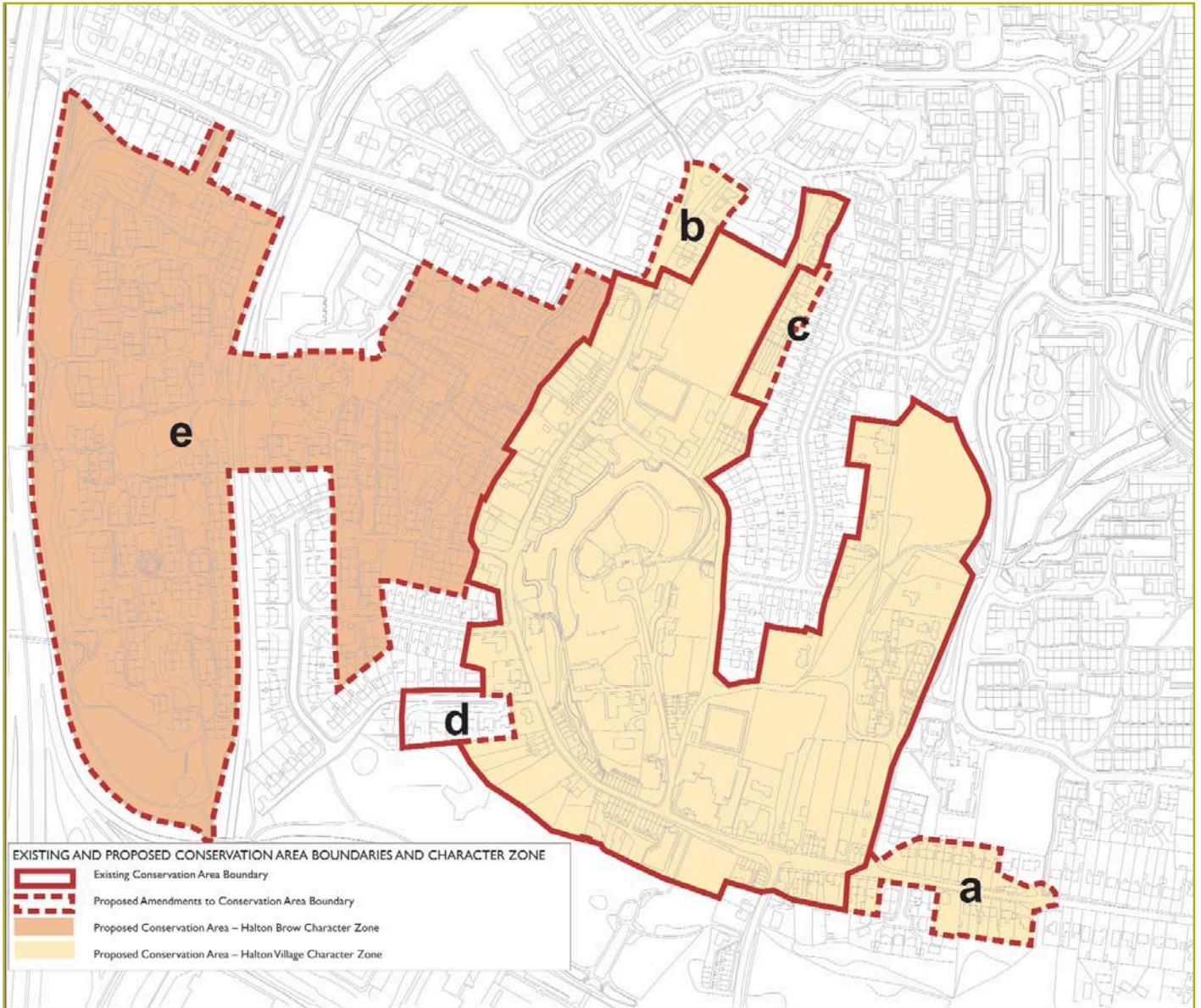
APPENDIX D

PLAN SHOWING RELATIVE AGES OF BUILDINGS  
(Please note these have been estimated in places)



APPENDIX E

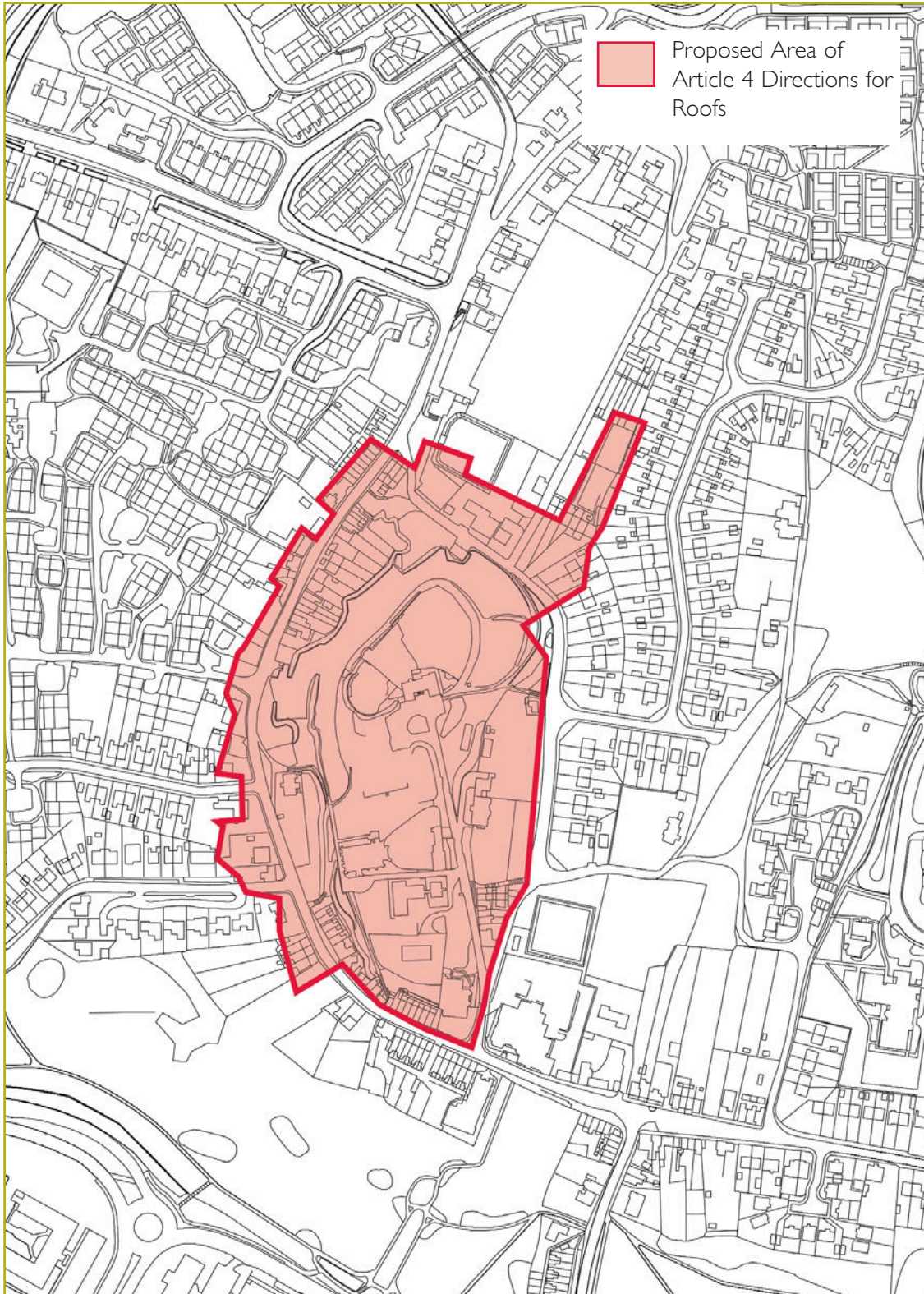
PLAN SHOWING EXISTING AND PROPOSED CONSERVATION AREA BOUNDARIES





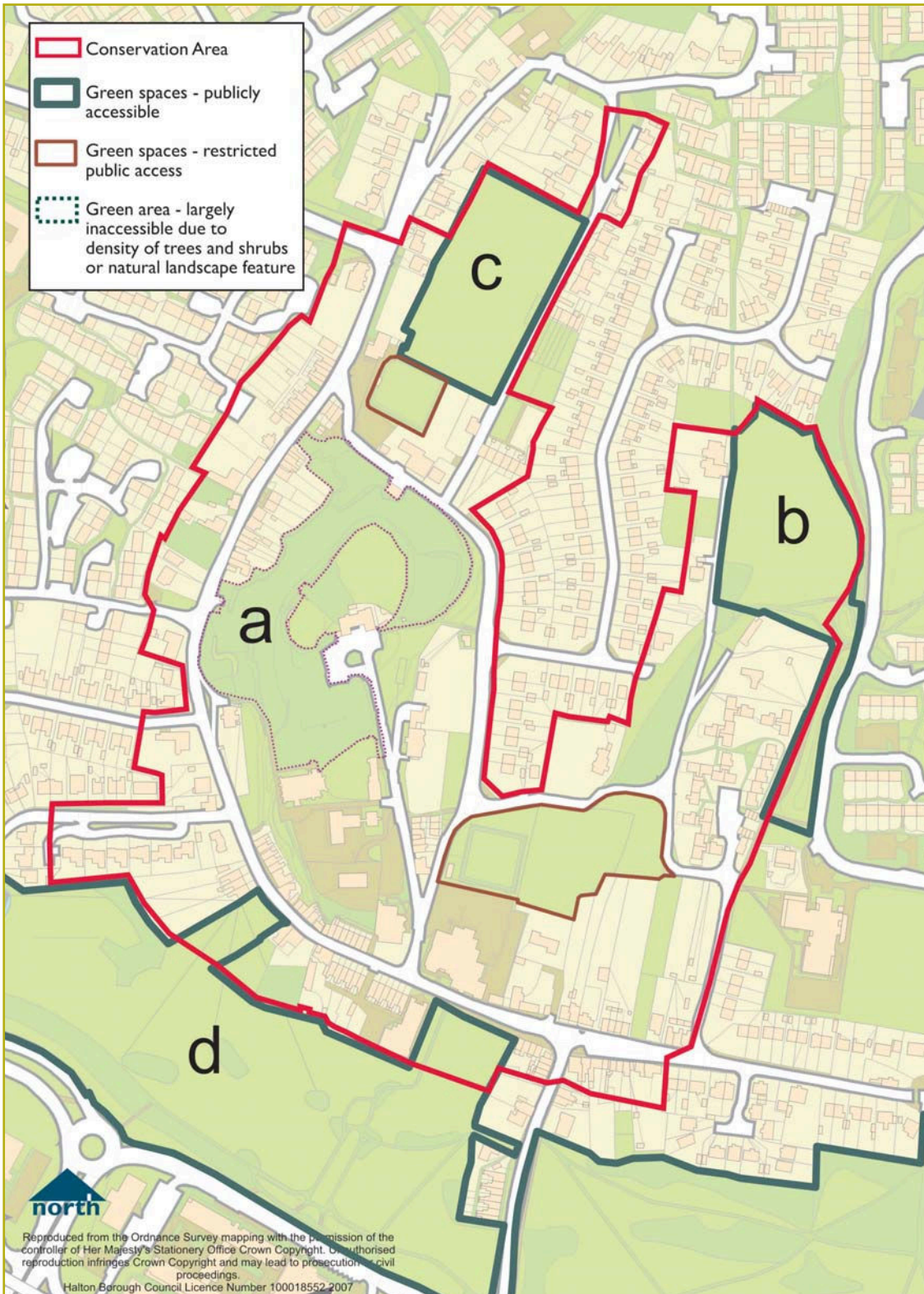
**APPENDIX F**

**PLAN SHOWING AREA FOR PROPOSED ARTICLE 4 DIRECTIONS FOR ROOFS & AREA OF PARTICULAR SENSITIVITY FOR THE SETTING OF CASTLE HILL**



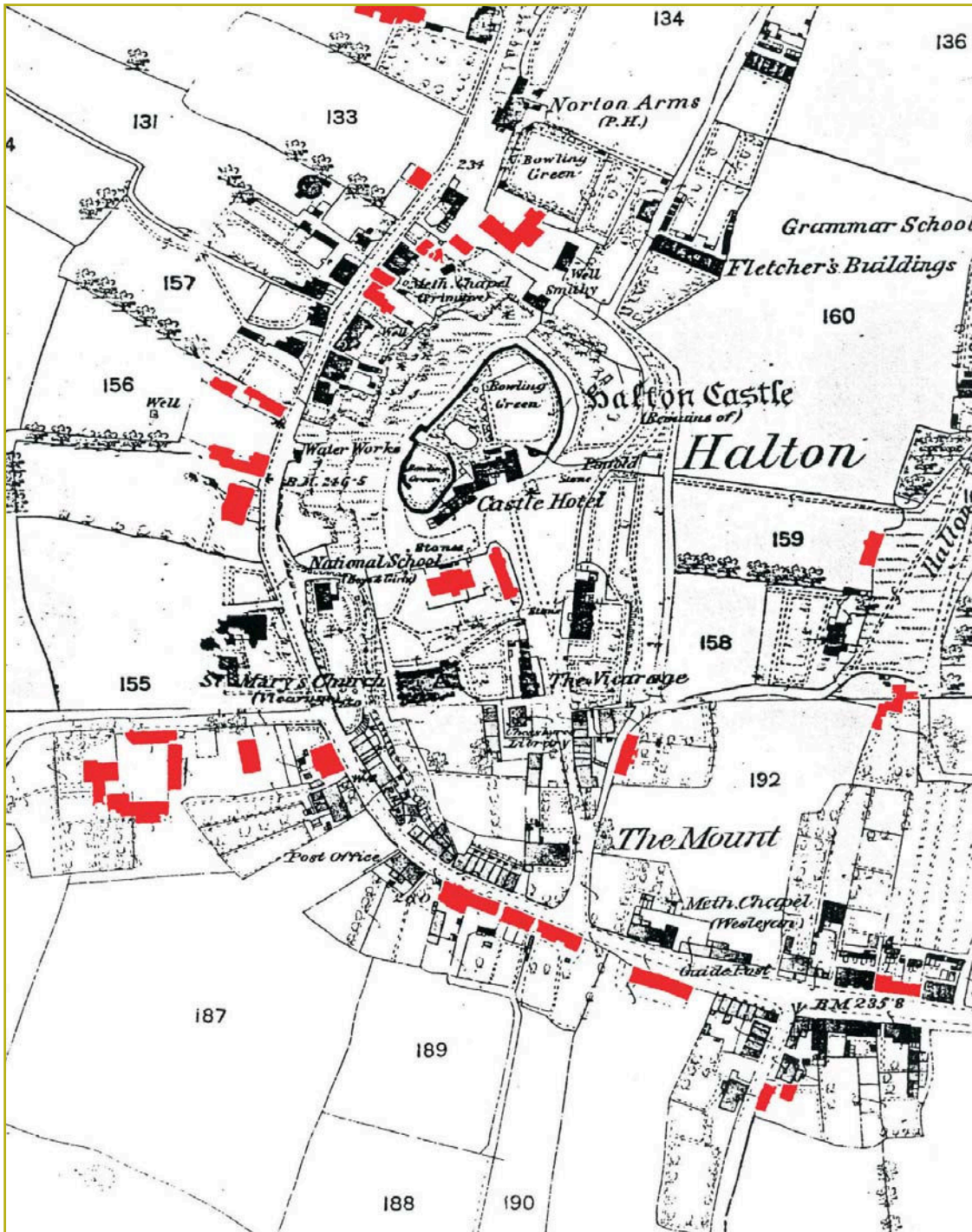
APPENDIX G

PLAN SHOWING LANDSCAPE FEATURES, PUBLIC OPEN SPACES AND VIEWS



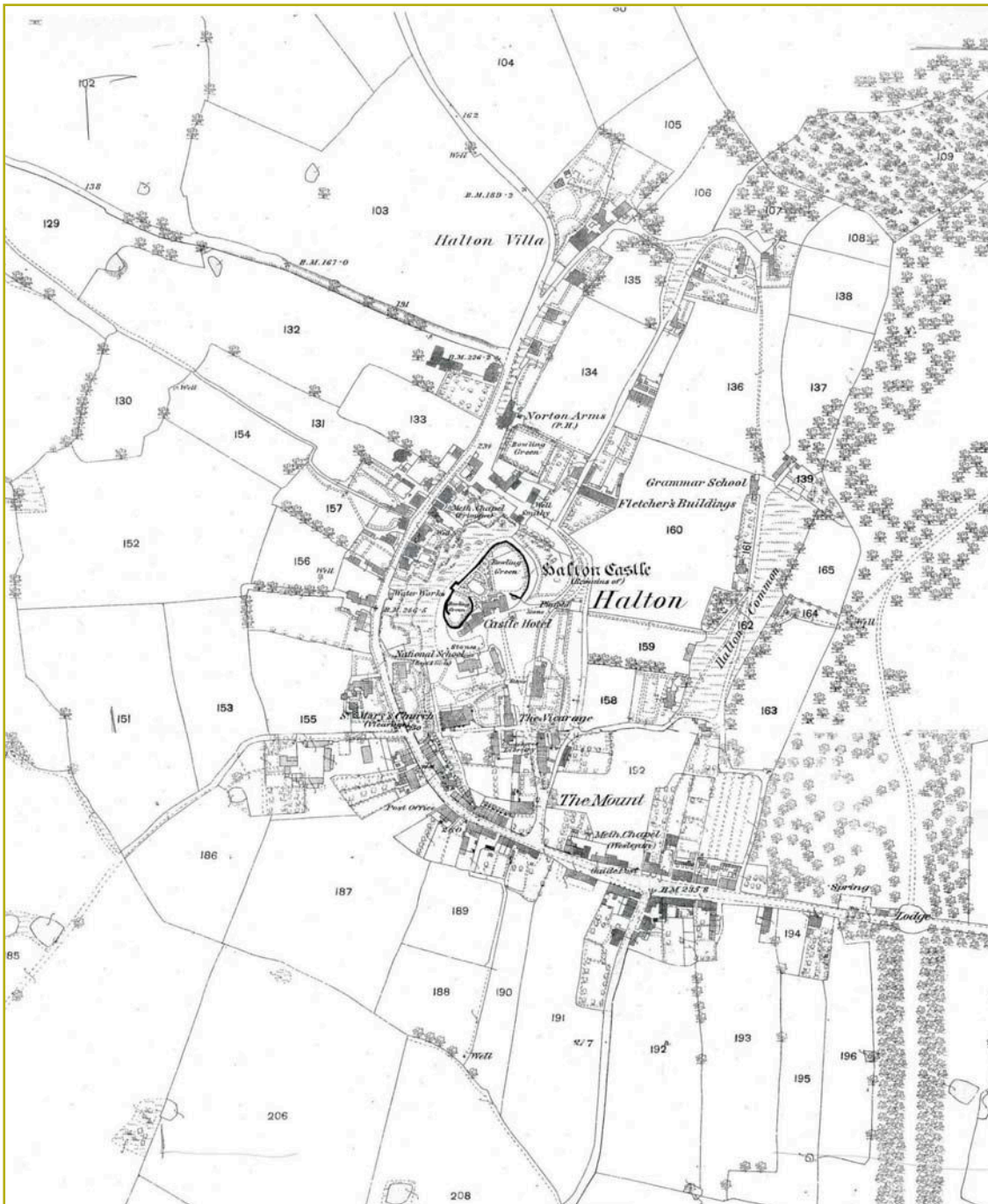
APPENDIX H

PLAN SHOWING VILLAGE CENTRE BUILDINGS LOST SINCE 1ST EDITION OS PLAN (1870S)



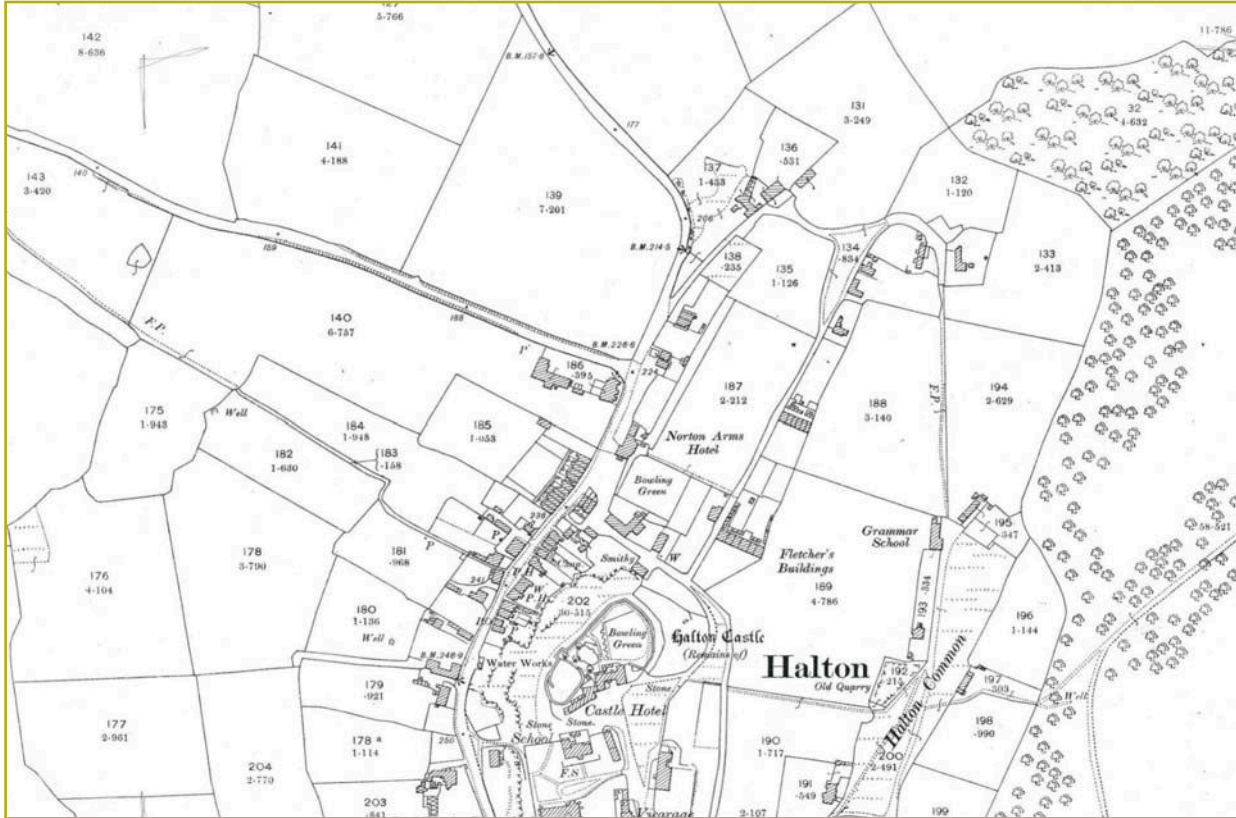
APPENDIX I(I)

HISTORIC PLANS – 1ST EDITION OS



APPENDIX I(2)

HISTORIC PLANS - 2ND EDITION OS



BOTTOM HALF MISSING

## APPENDIX j

### TABLE SHOWING BUILDING DESCRIPTIONS AND PHOTO REFERENCES

- A: (Red) – Buildings of particular interest or value to the area, e.g. landmark or historically important buildings.
- B: (Orange) – Buildings that contribute strongly to the area
- C: (Yellow) – Buildings of some limited interest – typically older buildings where their character has been eroded by modern alterations.
- D: (Green) – Either modern buildings of little interest or buildings where character has been lost beyond economic redemption.
- E: (Blue) – Buildings that detract from the significance or character of the area.

It should be noted that each category inevitably encompasses a wide range of building types and qualities. Category B, for instance includes historically interesting buildings that have been altered as well as less important / more modern buildings in good condition.

Each building is judged individually or within their immediate 'group' context. Whilst category D buildings are generally considered of 'neutral' interest, (indicating they have neither an overriding positive or negative influence on the conservation area) if there are too many, the interest of the area could be diluted, therefore they

would have a detrimental effect.

There should be a general presumption in favour of retaining all Category A, B and C buildings. Policies should be put in place to encourage the enhancement of, in particular, category C buildings. Category E buildings are considered of negative value therefore opportunities should be sought to achieve their replacements or at least improvement.

Buildings not within the existing Conservation Area but included within the study are shown in blue text. The Halton Brow estate was included within the study but not considered on a road-by-road basis, therefore buildings are not discussed within the tables below. The "Internal Photo Survey Reference Number" column is included for Council Officer use.

NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Main Street (Even numbers - North / East Side)</b>				
2	N/A	Red brick single storey dwelling on the junction of Halton Brow and Summer Lane.	Architecturally not interesting, but set within a landscaped garden.	C
Norton Arms	4808	Grade II listed public house dated 1758. Roughcast render with painted stone plinth. Slate roof. Stone steps to entrance.	In need of some minor repair and redecoration. Large tarmaced car park adversely affects its setting.	A
6	4797	End terrace. Rendered with UPVC windows. Artificial stone cladding to the ground floor and randomly to the gable wall. Horizontally positioned windows.	Appears to be newly built along overall form and continuity of slate roof and cornice detail suggest that an older building may have been extensively altered. Character inappropriate with that of the conservation area.	D
8 - 10	4797	Two storey brick terraced house, mid to later 19th century. Slate roof.	Character obscured by modern changes. No. 10 has been rendered and has aluminium windows. No. 8 has stained timber casements to replicate sashes. Both houses have aluminium doors.	C
Village Hall	4796	Simple brick building dated 1901. Slate roof. Timber windows and doors. Built on the site of the old Primitive Methodist Chapel.	Appears to be in original condition although is in need of repair and visual improvements.	B
14 - 16	4795	Modern semi-detached houses of an orange coloured brick. Concrete tiled roof. Stained timber windows.	Whilst the building is in fair condition, it is completely out of character with its context.	E
16A	4971, 4795	Probably 19th century terraced house. Now rendered. Slate roof.	Colour of render not complimentary to the character of the conservation area. UPVC windows and changes to opening shapes have further eroded the character of the building.	D
18	4971, 4795	Probably 19th century terraced house. Now rendered. Slate roof.	Colour of render not complimentary to the character of the conservation area. UPVC windows have further eroded the character of the building.	C
20 - 24	4791	White rendered 19th century terraced housing.	All windows changed to UPVC. Bay window added to l/h house, changing its character.	C
26 / 28	4790	White rendered building, split into two dwellings. Probably 19th century. Two bays with central entrance door with portico.	UPVC windows. Obtrusive carport to r/h unit.	C
30	4782	White rendered detached house set into densely planted landscape, behind sandstone wall. Slate roof. Probably early 19th century.	In good condition. Sash windows with margin lights painted black. Porch probably later, although in character. Rooflights projecting above slates detrimental to character of roof.	B
38-46	543	2 storey 19th century brick terraced house, now rendered. Mostly slated roofs	All windows replaced in UPVC, with some openings altered. Little character remains.	C

NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
Main Street (Even numbers - North / East Side)				
48	542	2 storey 19th century brick terraced house, now rendered. Stone quoins and plinth painted. Concrete pantiles to the roof. L/h part of the building built separately, now has garage.	Oddly rendered chimney. Replacement UPVC windows very damaging the character of this building.	C
50	541	2 storey 19th century brick terraced house, now painted. Concrete pantiles to the roof. Stone string course at first floor level and small cornice at the eaves (both painted).	Attractive (painted) carved stone decoration to the keystones to the window lintels and the doors surrounds. However the replacement of the windows in UPVC lessens the character of this building. Satellite dish.	C
52	538	2 storey 19th century brick terraced house, now pebbledashed.	Poor quality and inappropriately designed timber windows	C
54	538	2 storey 19th century brick terraced house, now painted.	UPVC windows. Much less original character than 56-60	C
56 - 60	537, 538	2 storey 19th century brick terraces. No. 56 with timber shop front. Doors painted timber within arched openings.	In good, fairly original, condition. Sash windows and shop front worth preserving as contributes to character of conservation area.	B
62	535	2 storey end terrace house. Slightly lower in height than neighbours. Rendered walls.	Poor quality replacement timber windows. GF window to no. 76 has been enlarged.	C
64 - 76	534	2 storey terrace. Dressed coursed stone walls with a slate roof. Carved stone cornice.	All windows and doors replaced. Very little visual continuity along the terrace. All stone cills and lintels painted.	C
British Legion Club	488, 489	Modern, flat roofed building, built in the 1960s / 70s. Brick with deep eaves boards. UPVC windows in horizontal openings.	Unattractive building made worse by more recent additions and its poor setting of a wide expanse of tarmaced car park. Inappropriate landscape elements such as metal crash barriers.	E
Rock Farm House	521, 522	Grade II listed late 17th century farmhouse with 19th century alterations, now used as part of the British Legion building. Brick on a sandstone plinth. L/h section has a stone front wall. Slate roof.	Evidence of alterations to upper-most brick courses. Poor quality pointing detrimentally affects appearance of building. Slate roof is in need of repair. Choice of decoration incongruous to building's character.	A
Rock Court Farm	519, 520	Brick buildings of an early origin (possibly late 17th century elements), but recently altered and rebuilt in part. Slate roof. Built onto bed-rock. L/h section has windows boarded over.	Alterations and conversion possibly eroded much of character and lead to loss of historic fabric. Windows not in same positions as historic photographs c. 1900.	B
84A - 84	506	2 storey brick building with painted stone quoins. Slate roof. Dated c. early to mid 19th century.	Visual character partially lost due to the poor replacement windows and doors.	B
86	505	Single storey dwelling. Textured render to walls. Slate roof. Artificial stone wall.	UPVC replacement door. Porch probably more recent. Little character.	C
86A	505	2 storey detached house dated c. 1818. Possibly former Wesleyan Methodist Chapel. Pebbledashed.	Little character remains due to the detrimental effect of the modern pebbledashing and the insertion of the 'timber effect' UPVC windows.	C



NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Main Street (Even numbers - North / East Side)</b>				
88 - 94	503	Grade II listed 2 storey houses c. 1827. Brick with slate roof. Stone hood moulds to window openings and canopied surrounds to doors. Chimney stacks grouped together in fours diagonally in a cross form. Dog toothed eaves detail.	All windows replacements but are of varying quality and condition. Windows lack consistency, particularly as one is painted green. Also non-match doors.	A
96A	502	Modern detached house, but with old stone wall.	Little architectural character.	D
96 - 98A	501	2 storey houses c. 1827 likely to have been built in conjunction with no.s 88-94. Brick with stone hood-moulds over window and door openings. Chimney stacks grouped together in fours diagonally in a cross form. Dog toothed eaves detail. Slated roof.	Lack of continuity between the 3 houses. All windows replacements, but of differing types. Stone capping on r/h chimney group. Door inserted into l/h side wall and a door converted into a window on the front elevation, leaving an oddly proportioned opening. Painted stonework on l/h house.	B
100 - 114	454, 455	Semi-detached houses c. 1920-30. A variety of finishes - render brick etc.	Some of the plain clay-tiled roofs replaced with pantiles. Differing window types and designs. Gardens generally attractive although most original front boundary walls replaced or missing	D
116 - 118	453	Early 20th century detached houses	Brick with render. Replaced windows. Slated roof. Attractive gardens. Stone boundary walls.	D
120	448, 449, 451	Grade II listed. Early 19th century lodge to Norton Priory. Stone gate piers on both sides of the road denote former path to the priory and tree-lined drive to Hallwood. High stone wall either side of lodge.	Ashlar with stone window and door surrounds, chimney and bracketed eaves. Cast iron lattice casement windows. Doorway crudely infilled with stone. Poor pointing. Heavily stained stonework.	A
122A / 122	N/A	Modern - c. 1960s / 70s	Built within setting of Lodge	D
NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Main Street (Odd numbers - South / West Side)</b>				
The Seneschal's House	4724, 4725, 4726, 4727	Grade II* listed building dating from 1598. Stone with a stone slate roof. Stone boundary wall. Stone mullioned windows with leaded lights.	Generally in fair condition. Some stone repairs needed, in particular to the window mullions. More recent window inserted into the ground floor of the front elevation.	A
1A	N/A	Modern, single storey building. Brick with a slate roof.	Set back from road; generally unobtrusive	D
3 - 11	4802	Two storey terraces dated 1889. Originally brick. No. 11 has a drive-through passage with accommodation over.	All windows replaced with various casements. All replacement doors. No. 3 pebbledashed. R/h chimney reduced. Unity of terrace lost.	C
13 - 15	4801	Pair of brick terraces. Slightly lower in height than the adjacent buildings. Arched door surrounds.	No. 15 rendered and its appearance is further changed by the addition of UPVC windows, shutters and ventilation grilles. No. 13 has aluminium doors and windows and a concrete tiled roof.	C

NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Main Street (Odd numbers - South / West Side)</b>				
17 - 25	4799, 4800	Brick terrace dating from 1888. Very little detailing – square cut stone lintels and cills to openings.	Appearance and condition varies considerably. No. 25 has retained some of its architectural character, although has beaded casement windows. Nos. 21 and 23 have less appropriate timber casement windows and door. The windows have been replaced in numbers 17 and 19 with UPVC. No. 17 has been clad in artificial stone, breaking the unity of the terrace.	B/C
29 – Lime Tree Cottage	4798	19th century detached house. Stone with a slate roof. Timber casement windows.	Modern brick extension, otherwise in good, fairly original condition.	B
31	4706, 4710	Grade II listed building. Former stables to Halton House built in around the late 18th century, now a house. Stone with later additions. Gothic windows to front elevation with cast iron lattice casements. Slate roof.	Some changes to the building to meet the needs of a dwelling, including windows in the end elevation. Aerial on roadside elevation detracts from the appearance of the building.	A
33 – Halton House	4794	Grade II listed, 3 bay house c. 1779. Brick with stone quoins, doorcase and window lintels. Stone slate roof.	Modern railings to boundary. Windows not original, otherwise appears in good condition.	A
35	4793	Older agricultural building converted for domestic use. Front wall rendered, side wall stone.	All modern openings. UPVC and glass blocks used for windows.	C
37	4792	Two storey stone detached house. Probably dating from the early half of the 19th century. Diminishing slate roof. Stone front wall.	Stained timber windows out of character with building.	B
41	N / A	A framed house c. 1970s	Of little architectural interest, but set well back from road.	D
43	N / A	Bungalow c. 1970s	Of no architectural interest, but set well back from road.	D
45	4786	Early 17th century farmhouse with later extensions and alterations. Coursed stone with a stone slate roof. Grade II listed.	Attractive building set picturesquely in planted garden.	A
47	4785	Early to mid 20th century detached house. Red brick with rendered first floor. Clay tiled roof.	UPVC windows. Little character.	D
49	4784	Early 20th century detached house. Red brick with rendered first floor. Clay tiled roof. Stone front wall.	UPVC windows. Little character.	C
51 – Holly Bank House	4783	Grade II listed house dating from the early 18th century. Four bays with central doorway with classical doorcase. Rendered with painted quoins and slated roof.	Fairly good condition. Sash windows and timber door. Strap pointing to front wall.	A

NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Main Street (Odd numbers - South / West Side)</b>				
53	4781	Late Victorian red brick detached house with original grey stone pebbledashing to first floor. Original brick front wall with painted stone gate posts.	Good original conditioning particular the coloured leaded glass windows and the front door.	B
55	4781	Late Victorian red brick detached house. Stone wall with hedge.	Good windows and doors. Pretentious modern gates. Rendered l/h wall, otherwise appears in original condition.	B
57 – Bracken Lodge	4776	Arts and crafts style detached house built c. 1900. Rendered walls with a clay-tiled roof that curves up over the first floor window openings.	Timber windows in need of repair and redecoration, otherwise in good, original condition. Set back slightly from road picturesquely in gardens.	B
59 - 63	544	Grade II listed, early 19th century 2 storey terrace. Set back from the road with small front gardens behind a boundary wall. Brick walls with sash windows and a slated roof.	Elegantly proportioned. Generally in good, original condition. L/h boundary wall gone to make driveway. Rooflights projecting from surface of roof break continuity of roof line. Mostly attractive gardens with some trees.	A
65 - 67	539	19th century 4 bay 2 storey building. Brick with dog toothed eaves detail. Sash windows. R/h end rendered. Shop fronts to both ends. Stone door surround to 3rd bay. Slate roof.	Many original or early features remain such as such windows, the l/h shop front (although boarded over) and the stone door surround. These features contribute to the character of the conservation area. The render and painted r/h end detracts from the building's appearance.	B
71	536	Attached to no. 71. Rendered walls. Small timber shop front. Currently used as hairdressing salon. Brick wall on land adjacent.	Stained timber casement windows of an inappropriate character.	B
73	536	3 bay 2 storey building dated 1836. Render walls on a sandstone plinth.	Stained timber casement windows of an inappropriate character.	B
71 - 97	531, 532, 533	Late 19th century 2 storey brick terraces. Brick boundary walls of various ages.	Once attractive terraces, now greatly altered. Pebbledashing, artificial stone cladding, painting of brick and stonework, rendering, replacement of sash windows and roof coverings all have eroded the character of these terraces. Untidy aerials. Sash windows remain to no. 87 only.	C
Trinity Methodist Church	526, 527, 528	Late 19th century church. Random stone walls with carved stone dressings to door surrounds, windows and entrance porch gables. Slate roof with fishscale slate bands. Bellcote to gable of roadside elevation. Stone boundary walls and gateposts.	Generally in good, original, condition. Clear plastic sheeting over the stained glass windows. One large pane missing.	B
101 - 109	517	Two storey, 19th century terrace, rendered on a painted stone plinth. Concrete pantiled roof.	Almost complete replacement of windows in UPVC	C

NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Main Street (Odd numbers - South / West Side)</b>				
111	500	Early to mid 19th century 2 storey building. Rendered with concrete pantile roof. Dog-toothed eaves detail. Attractive timber shop front (established 1891).	Shop front in need of repair and maintenance. UPVC windows to first floor.	B
113 (?)	500	Early to mid 19th century 2 storey building. Rendered with concrete pantile roof. Dog-toothed eaves detail.	Little evidence of original materials or building character. Windows replaced with slim top hung casements. Paint colours of both the render and the windows distract from the character of the building.	C
113 - 115 (?)	499	A pair of 2 storey nineteenth century houses. Brick with painted stone window and door surrounds. The door surrounds are of a semi-circular arch with simple (matching) boarded doors. The windows to the ground floor have a shallow arched head. Slate roof.	Buildings appear to be in good condition. Relatively few alterations therefore the character of the buildings is very apparent and therefore they contribute strongly to the conservation area. Windows unlikely to be original, although are timber in good condition.	B
117 - 123	497, 498	Simple 2 storey houses dating from the mid nineteenth century. Brick on sandstone plinth. Roofs originally with large slates.	Very little detail. Windows replacements. No.s 117 and 123 painted. No. 121 concrete pantiled roof. No. 117 has slightly different proportions indicating it was built separately.	B
125 - 127	496	Grade II listed early 17th century cottages. Rendered with timber framing to the first floor. Small timber casement windows. Plain clay tile roof.	Attractive building, which appears in good condition. Split ownership has lead to windows of different colours on the first floor. Insertion of detrimental UPVC door on r/h side.	A
129 - 131	459, 460	Semi-detached houses, c. 1910. Brick. Stone front walls.	Later additions and changes (e.g. to roof materials and windows) give each half a different character.	C
133	459, 460	Detached, single storey house, 20th century. Red brick, plain clay-tiled roof.	Plain in character.	C
137 - 141	458	Recently built housing. Small cul-de-sac behind.	Little architectural character. Old stone wall retained to no. 141.	D
149 - The Rookery	457	Mid-nineteenth century detached house. Ashlar walls with slated roof. Stone boundary walls.	Fair condition. Sash windows.	B
151 - 157	456, 452	Semi-detached early 20th century houses. Red brick. Stone boundary walls.	Windows generally replaced. 1 original door.	C
159	450	Detached, single storey house, early 20th century. Red brick, plain clay-tiled roof. Stone boundary wall.	Plain in character.	C
161	N/A	Detached house, early 20th century	N/A	C

NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Pump Lane (East Side)</b>				
2-12	N/A	Semi-detached houses c. 1920s / 30s.	Quite altered, often untidy and in need of repair.	D
St Mary's C of E Primary School	N/A	Modern (c. 1970s) school building. Flat roof.	N/A	D
Pump Lane (West Side)				
'The Common'	N/A	Housing c. 1960s / 70s. Brown brick. Low pitched concrete pantiled roofs. Some bungalows, others 2 storeys.	Relatively concealed from views by trees. Little architectural merit.	D
Halton Common				
The Old Hall	479	Grade II* listed hall c. 1693. Ashlar with a steeply pitched slate roof. High stone wall with some very large stones.	Poor quality timber windows to north extension. Cementitious patch repairs to stonework.	A
The Gate	468	Simple 2 storey stone cottage. Slated roof. 19th century or earlier.	Hard ribbon pointing detrimental to condition and appearance. Otherwise condition fair.	A
The Bungalow		1 story modern bungalow building, pitched tiled roof.	Majority of building hidden behind stone wall boundaries.	D
The Nook	471, 472	Rendered detached house. 19th century or earlier. Stone boundary wall and gate piers.	More recent porch and alterations obscure much of its character. Crude timber windows. Stone boundary wall repaired with brick in places. Vehicles and other objects outside on lane are detrimental to the building's setting.	B
Tudor House	473, 474, 475	Detached stone building with small timber framed elements c. 1880. Slate roof. Possibly built as the Grammar School.	Many recent alterations, which are very detrimental to the buildings character, including extensions, addition of rooflights and replacement 'timber effect' UPVC windows. A pile of carved stone adjacent to the building indicates possible loss of historic fabric.	B

NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Holt Lane (East Side – odd numbers)</b>				
1 - 3	508	2 storey cottages with a modern textured render finish.	Additional window inserted into l/h house. All windows replaced in UPVC. Little character left. R/h chimney reduced in height.	C
5	N/A	Modern bungalow	N/A	D

NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Holt Lane (West Side – even numbers)</b>				
2 - 10	N/A	2 storey brick terrace.	Overall form of the original group still remains although details such as windows and doors are lost. Roof and chimneys in fair condition and in original materials.	C
12 - 14	513, 515	2 storey 19th century building. Rendered. Stone details such as quoins and door surround appear to be later 'make-over', although further, more recent, alterations are also evident.	Timber sash windows to l/h, UPVC replacements to r/h. Concrete tiles to roofs of both dwellings. Numerous alterations have largely eroded this building's character.	C
16	512	20th century detached house. Very plain. Brick and render. Pantile roof.	Little architectural character	C
18 - 32	510, 511	Plain terraced housing. Red brick with slate roof. Dated c. 1900. Stone boundary wall.	Little architectural detail or historic interest.	C
NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Castle Road</b>				
2	492	Probably late nineteenth century. Pebbledashed. Brick boundary wall.	Poor quality timber barge boards. UPVC windows and door. Relatively little visual interest.	B
6, 8, 10	4845	Grade II listed stone cottages dated early 18th century. Broad stone surrounds to doors together with window cills and lintels now painted. Stained timber windows and doors.	Cementitious strap pointing adversely affecting the condition of the stone. Rendered gable wall and un-dressed stone at corner evidence that a further unit (no. 4) has been removed. Gables fixed to façade.	A
12, 14, 16	4843, 4844	Grade II listed early 19th century cottages. Red / brown brick with a slate roof. Timber casement windows and doors. Painted stone quoins and string course at first floor level,	Lack of unity along terrace caused by uncoordinated paint colours. Untidy cables on front façade.	A
Hill House	4824	Brick building with timber framed elements. Slate roof. Casement windows with an unusual and characteristic arrangement of glazing panes. Stone boundary wall.	Strong architectural character and generally in good original condition. Chimneys reduced in height. Central chimney missing.	A
Hill House North	4826	Single storey annex to Hill House. Very much of the same character and likely to be contemporary. Same materials.	Also generally in good original condition, although has less architectural presence.	B
The Castle Hotel	4848, 727	Grade II* listed former court house, now a public house, c. 1837. Stone with a slated roof.	Many poor quality cementitious repairs to stonework affecting the appearance and condition. Generally dirty and unkempt appearance. Windows casement sash replicas.	A
The Vicarage	4846, 4847	Grade II* listed stone building, c. 1739. Two storeyed with 5 bays. Rusticated quoins and central projecting bay with central doorway with Doric columns to porch. Heavy cornice below high parapet wall at eaves level. Perimeter wall constructed from vertical stone slabs.	Well proportioned historic building in relatively good condition.	A

NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Castle Road</b>				
St Mary's Church	4827, 4839	Grade II listed church by Sir G. G. Scott, c. 1851. Red sandstone with slate roof. Gothic form and detailing with a bell-turret on the nave east gable.	In need of some repair in particular to the windows.	A
The Parish Library	4841, 4842	Grade II* listed stone building built in 1730 for Sir John Chesshyre. Now used as part of the new church hall. Simple, robust but well proportioned form. Iconic pilasters and triangular pediment to entrance. Slate roof behind deep parapet with cornice.	Condition appears fair with some natural weathering.	A
Church Hall	4940	Single storey building linked to the library, built c. 1970. Monolithic, unapologetically modern form. Brown brick with concealed flat roof.	Very much at odds with the general character of buildings within the conservation area, although its form is clearly influenced by the adjacent library building. Setting and relationship with church could be improved.	D
Scout Hall	N / A	Low-key building, set back from the road.	Limited quality and character, but barely visible therefore not detrimental.	D
Panorama Hotel	490, 491	Probably mid to late 19th century rendered building. Three storeys with painted quoins and a number of gables forming a varied roofscape...	Windows not original, but building still has a strong form and presence.	B
NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>The Underway</b>				
1-3 Gorse Cottages	482	Terrace of 3 two -storey brick houses. Houses are high above the road, behind a large (probably much older) sandstone wall.	L/h house rendered. All windows replaced, with no continuity along the terrace. Visual interest largely lost as a result of these changes.	C
52	4818	Modern two-storey brick building with a concrete tiled roof.	Little architectural character.	D
Building opposite no. 54	4822	Single storey painted brick building.	Corrugated metal roof and boarded windows detract from this old building that features on the 1845 tithe map.	C
54	4821	Modern single storey house built using elements of an earlier building. Brick and render with a concrete tiled roof	Character of a modern building.	C

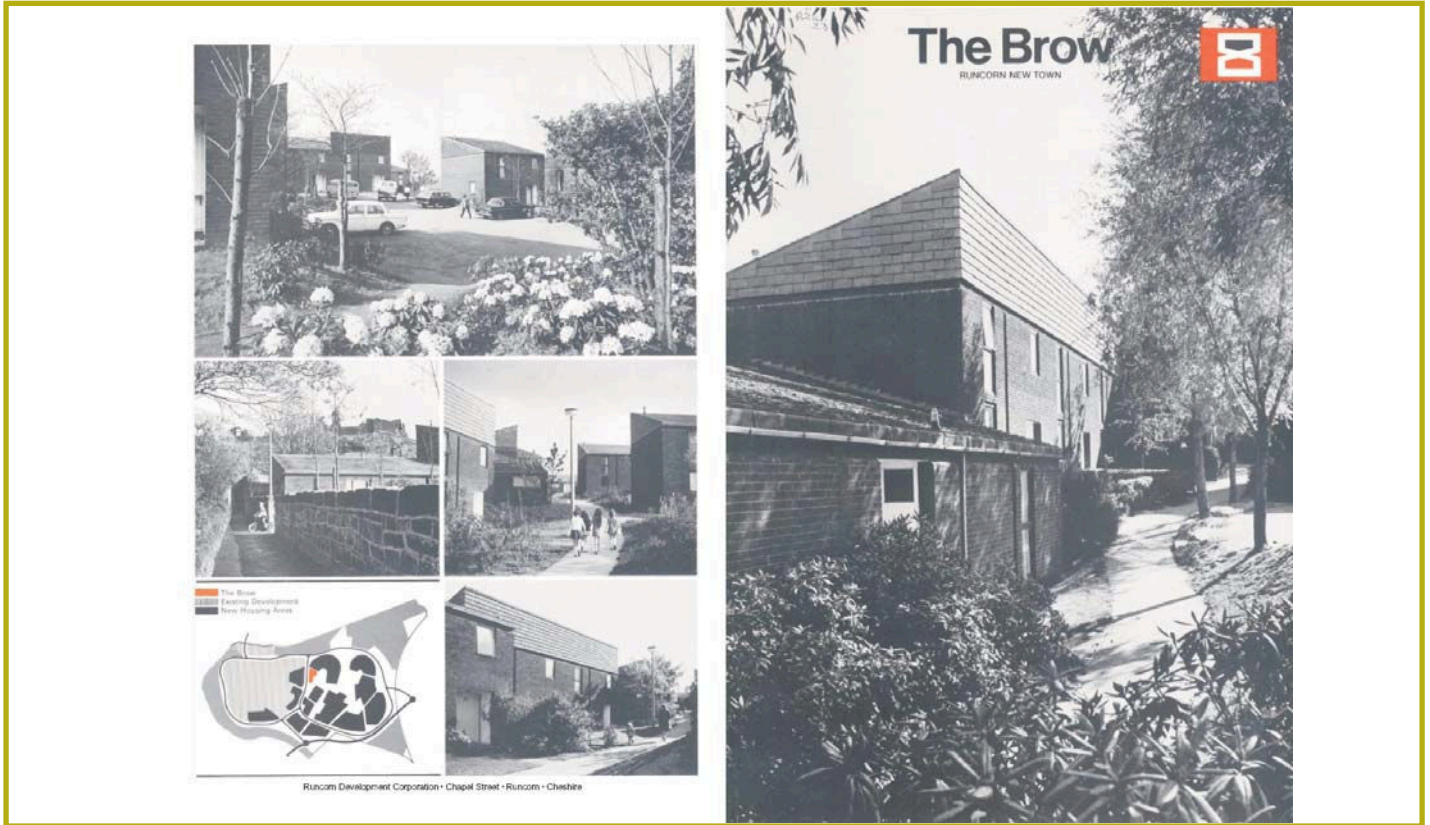
NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>The Green</b>				
I - 3	4804	Terrace of 3 two-storey houses. Stone walls with a slate roof. Large sections of stone used for door surrounds. Brick boundary wall with stone steps. Prominent position.	L/h gable wall bulging badly. Strap pointing to r/h house. Sash windows replaced with timber casements. Alterations to brick chimneys.	B
NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
<b>Spark Lane</b>				
No. 75	4817	Two storey rendered detached house. Stained timber windows. 19th century.	Little architectural character.	C
Fletcher's Buildings	4816	Two-storey brick terrace. Slate roof. Dual aspect, with gardens to front or to the rear.	No sash windows remain. Some additional window openings. Some rooflights inserted into the roof, protruding above the level of the slates – visual continuity of roofscape broken.	B
Fletcher's Row (7-12)	4814, 4815	Two-storey terrace, originally brick, now with some parts painted or rendered. Concrete pantiled roof. Unusual arrangement of long, thin gardens across communal pathway.	East chimney lowered. All windows replaced.	B
Haywood / Pen-y-Bryn / Camdon / High Hopes	N / A	Modern bungalows behind older stone wall.	No architectural character, but generally well kept.	D
No. 74	4813	Two storeyed stone cottage. Clay tiles to roof. Old brick outbuilding to north, apparently modern stone extension to east.	Timber windows. Strap pointing to walls.	B
Spark Cottage / Hurwyn	N / A	Brick semi-detached houses	Little architectural character. Set back from road.	D
No 72(?)	4812	Single storey stone building, converted later into a dwelling. Slate roof.	Cementitious strap pointing to walls. Modern chimney. UPVC windows into more recent openings.	B
No. 70 - Windy Cottage	4811	Two storey stone cottage with a slate roof. Stone boundary wall.	UPVC replacement windows.	B
Long Hope / Hillcot /Iona / Jesmond Cottage / High Beach	N / A	Modern bungalows and low-level houses.	No architectural character, although the buildings generally have well kept gardens.	D



NO. / NAME	INTERNAL PHOTO SURVEY REFERENCE NUMBER (2006)	DESCRIPTION	CONDITION / COMMENT	CONTRIBUTION
Summer Lane				
2	4807	Stone two-storey cottage. Positioned high above the road, with the garden built up behind a stone retaining wall.	A modern brick garage built into the hill is prominent in the foreground. Attractive greenery to garden.	B
4	4806	Large two-storey red brick house. Late Victorian. Stone garden wall.	Sash windows generally remain, but with some replaced with picture windows.	B
6 / 8	4806	Probably 19th century, two-storeyed semi-detached house. Textured render to walls. Stone garden wall.	UPVC windows. Rendering and other changes conceal character.	B
10	4909	White rendered bungalow. Stone boundary wall.	Original brick detailed painted black together with UPVC windows. Character changed.	C
12 / 14	4810	Brick / render detached houses c. 1900.	Changes to windows and chimneys.	C
16 / 18	N / A	Semi detached houses c. 1960s	Architectural character not consistent with that of the conservation area.	D
1 - 11	4805	Detached houses from early 20th century	Many are fairly attractive, although do not have a character that is consistent with the conservation area.	C
13	4810	Red brick detached house c. 1900. Slate roof. Stone wall around garden.	Attractively positioned. Building generally in good condition and is important to the overall appearance of the road.	B
15	N / A	Bungalow	Extensively altered	C

APPENDIX K

THE BROW, RUNCORN NEW TOWN PROMOTION PAMPHLET



The Brow estate is situated on the steep westerly slope of Halton Hill dominated by the Castle ruins on its summit, and has extensive views to the west over the Mersey Estuary. The dwellings are designed and the material chosen, to integrate with the existing village of Halton and the out-cropping sandstone of Halton Rock. The site covers 26.5 acres (10.6 hectares) and contains 370 dwellings at an average density of 31 persons per acre (122 persons per hectare). Parker Morris standards are maintained in the houses and the construction is of load bearing brickwork with monopitched roofs clad in concrete slates.

A degree of traffic segregation is achieved by the use of culs-de-sac serving courtyards around which the houses are grouped. Traffic speeds and the character of the culs-de-sac are controlled by using minimum width roads - 10' 3" (3 m.) wide with laybys for passing, and by introducing curves using granite sets for road edges. Landscaping, earth banking and planting play a large part in producing a desirable residential environment.

The Busway runs through the site and all the dwellings are within a five minutes' walking distance of the bus stop, which is located adjacent to the Local Centre with its Primary School, Public House and shop, and to the pedestrian underpass which links the footpath system on either side of the Busway.

Plan of the Estate

5 person, 3 bedroom house

**REPORT TO:** Executive Board Sub Committee

**DATE:** 25<sup>th</sup> July 2008

**REPORTING OFFICER:** Strategic Director, Health & Community

**SUBJECT:** Review of Direct Payments Policy & Procedure

**WARDS:** Borough-wide

#### 1.0 PURPOSE OF REPORT

1.1 To seek the Board's approval to the proposed changes to the Direct Payments (DP) Policy & Procedure.

#### 2.0 RECOMMENDED: That

**(1) The Board approves the changes outlined in sections 4.1- 4.2 of this report and the appended Policy & Procedure.**

#### 3.0 SUPPORTING INFORMATION

##### 3.1 Background

3.1.1 In 2007/8 Halton Borough Council's DP rates were reviewed for new and existing service users and benchmarked against neighbouring Local Authorities.

3.1.2 Options were considered and recommendations proposed to Executive Board Sub Committee on 20<sup>th</sup> March 2008, to consolidate and simplify the DP rates paid by the Council to an agency or a personal assistant, for new and existing service users.

3.1.3 The 2008/9 DP approved rates are as follows:-

	<b>AGENCY</b>	<b>PA</b>
<b>2008/9 RATES (uplifted by 2.5%) from 7.4.2008</b>	£10.70	£9.35
	£11.36 (exceptional circumstances)	£11.36 (exceptional circumstances)

3.1.6 DP rates will be kept under review, for further amendments in line with changes to tendering arrangements for domiciliary care agencies. New contracts are to be in place from 1<sup>st</sup> April 2009.

#### 4.0 PROPOSED AMENDMENTS TO THE POLICY & PROCEDURE

4.1 It is proposed that the DP Policy & Procedure be amended in the following areas to:-

- introduce eligibility criteria to determine the rate at which DPs will be set, based on current good practice (see pp 6-7 of Policy);
- reflect the changes introduced by the Mental Capacity Act 2005, with additional detail on capacity – Appendix 1 to the Policy;
- reflect the growth in PAs and, if required, include payroll charges in the set-up costs, and annually thereafter as a supplement to be paid to the service user if required, when employing a PAs from 01.04.2008.

4.2 Healthy Halton PPB on 10<sup>th</sup> June 2008 supported the revised policy changes.

#### 5.0 **POLICY IMPLICATIONS**

5.1 See 4.1 and 4.2 above.

#### 6.0 **OTHER IMPLICATIONS**

6.1 Not applicable.

#### 7.0 **IMPLICATIONS FOR THE COUNCIL'S PRIORITIES**

##### 7.1 **Children & Young People in Halton**

The proposal covers Adult and Children & Young People's Social Care Services. The DP Team currently provides services to 16 Children via a SLA with Children and Young People's Directorate.

##### 7.2 **Employment, Learning & Skills in Halton**

The proposal would ensure DP hourly rates reflect the cost of service and that local services to meet local need can be developed with care staff employed by the service users either via an agency or as PAs.

##### 7.3 **A Healthy Halton**

The proposal clearly demonstrates the Council's commitment to promoting the service user's independence, health, wellbeing and, as well as ensuring value for money.

##### 7.4 **A Safer Halton**

None.

##### 7.5 **Halton's Urban Renewal**

None.

#### 8.0 **RISK ANALYSIS**

8.1 By including payroll costs in start up costs and, if required, thereafter for Direct Payment recipients who employ PA's directly, potential difficulties and debt, in relation to tax and national insurance payments could be avoided. DP recipients, and in the future, Individualised Budgets recipients, could thereby employ a PA directly to meet their support needs, which is consistent with the Government's directive to promote the uptake of Direct Payments and Individualised Budgets.

## 9.0 **EQUALITY & DIVERSITY ISSUES**

9.1 All service users who choose to have their support needs met via DPs will have sufficient funds to access the services that they have been assessed as needing. It would also introduce consistency across all community-based services. The continued presence of the complex rate of £11.36 would allow for exceptions, with the introduction of DP criteria providing consistency.

9.2 If a Payroll Service is not funded for DP recipients who employ PAs directly, inequality would be created with service users from other neighbouring and nationwide Local Authorities.

## 10.0 **LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

10.1 There are no background papers under the meaning of the Act.



# Health & Community Directorate

## **Direct Payments Policy, Procedure and Practice**

8th version  
Updated: APRIL 2008

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<b>INFORMATION SHEET</b>
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<b>Service area</b>	Health & Partnerships
<b>Date effective from</b>	1 <sup>st</sup> April 2008
<b>Responsible officer(s)</b>	Hazel Coen - Divisional Manager (Finance & Support) Audrey Fearn- Principal Manager (Client Finance)
<b>Date of review(s)</b>	April 2009
<b>Status:</b> <ul style="list-style-type: none"> <li>• <b>Mandatory (all named staff must adhere to guidance)</b></li> <li>• <b>Optional (procedures and practice can vary between teams)</b></li> </ul>	Mandatory
<b>Target audience</b>	Adults and Older People's Social Care Services staff
<b>Date of committee/SMT decision</b>	<ul style="list-style-type: none"> <li>• Executive Board Sub Committee 20.3.2008</li> <li>• Healthy Halton Policy &amp; Performance Board 10.6.08</li> <li>• Executive Board Sub Committee 25.7.2008</li> </ul>
<b>Related document(s)</b>	Direct Payments Guidance, Community Care Services for Carers and Children's Services (Direct Payments) Guidance England 2003.
<b>Superseded document(s)</b>	1 <sup>st</sup> version dated 6 <sup>th</sup> December 2000 2 <sup>nd</sup> version dated 25 <sup>th</sup> July 2002 3 <sup>rd</sup> version dated December 2003 4 <sup>th</sup> version dated December 2004 5 <sup>th</sup> version dated September 2005 6 <sup>th</sup> version dated November 2005 7 <sup>th</sup> version dated March 2007
<b>File reference</b>	DP/DEC00/1





## ***POLICY***

- 1.1 **Purpose**  
The purpose of this Policy, Procedure and Guidance is to tell staff about their role and responsibility with regard to Direct Payments, which also encompasses the needs of people from diverse communities. A separate guide has been written for people who use our services. The documents complement each other and strive to develop the greatest degree of independence and choice for people who need services in Halton.
- 1.2 **Introduction to Direct Payments**  
The Direct Payments Guidance Community Care Services for Carers and Children's Services Guidance England 2003 requires Social Services to make direct cash payments to enable a person to obtain for themselves the services that they have been assessed as needing, subject to eligibility.
- 1.3 The following groups of people may be eligible for Direct Payments:
- Older and disabled people aged 16 or over
  - People with parental responsibility for disabled children
  - Carers aged 16 or over in respect of carer services
- 1.4 The Direct Payment is made by Social Services instead of providing or arranging for the provision of services. The person then uses the money to purchase services to meet their assessed needs. In the case of disabled children, the parent or person with parental responsibility secures services to meet the needs of the child and their family.
- 1.5 Direct Payments must be made to all individuals who are eligible to receive them and want them. Each eligible individual should be offered the choice of having their needs for a service met through Direct Payments as part of the care planning process.
- 1.6 If a Care Manager feels it is appropriate for a third party to receive the Direct Payment on behalf of the person, the third party must open a separate dedicated bank account to receive the Direct Payment and must adhere to the conditions set out in the Direct Payment Contract.
- 1.7 **Halton's Direct Payment Scheme**  
The Direct Payments Scheme was originally launched as a one-year pilot from January 2001. Since then funding has been agreed to run the scheme on a permanent basis.
- 1.8 The project was developed in partnership with people who use services, statutory, independent, voluntary sector organisations and representative groups and is linked to other local activities for example, carer services and information provision.
- 1.9 The scheme is co-ordinated and managed by a manager and an assistant (telephone number 01928 704436), who are managed by

## ***Practice***

### **Concept of Direct Payments**

"Direct Payments help people who want to manage their own support to improve their quality of life. They promote independence, choice and inclusion by enabling people to purchase the assistance or services that the council would otherwise provide in order to live in their own homes, be fully involved in family and community life and to engage in work, education and leisure"

Department of Health Direct Payments Guidance 2003

### **The Direct Payment Guidance 2003**

Replaces the Community Care (Direct Payments) Act 1996 Policy and Practice Guidance issued in 2000, the Carers and Disabled Children Act 2000 Direct Payments for young disabled people Policy and Practice Guidance issued in 2001 and the passages on Direct Payments contained in the Carers and Disabled Children Act 2000 Carers and people with parental responsibility for disabled children issued in 2001.

### **Relevant services**

The duty to make Direct Payments applies to:

- a community care service within the meaning of section 46 of the National Health Service and Community Care Act 1990
- a service under section 2 of the Carers and Disabled Children Act 2000
- a service which local councils may provide may provide under section 17 of the 1989 Act (provision of services for children in need, their families and others)

### **Government policy guidance**

"The Government wants to see more extensive use made of Direct Payments in particular by those groups that have not made wide use of them up to now. For that reason local councils now have not just a power but a duty to make Direct Payments in certain circumstances." This has important implications for the way that local councils undertake assessment and care planning discussions with individuals and for local councils'

own commissioning procedures and planning.

Department of Health Direct  
Payments Guidance 2003

***POLICY CONTINUED***

The Health & Community Directorate and have close links with other local user groups and service providers.

**1.10 What Direct Payments can be used for**

Direct Payments can be used to buy relevant services/equipment to meet needs identified as part of a person's care plan and may be used in the following ways:

- Employing a Personal Assistant – the person arranges services in a way that suits them. If a person employs personal assistants directly, whether as a sole or secondary employer, they must make adequate arrangements to fulfil their consequent responsibilities as an employer.
- Buying services from an agency.
- For short-term care (respite) in residential care which does not exceed a four week period in any 12 months (see below).
- Purchasing equipment that would otherwise have been provided by Social Services. (A policy and procedure for a pilot scheme for Direct Payments and Equipment is in place).
- [Paying for transport.](#)
- [To fund a carers break.](#)

Any service purchased must be as cost effective or efficient as the Local Authority could arrange or buy.

**What Direct Payments cannot be used for**

- 1.11
- To relieve the Directorate of its statutory responsibilities towards a service user who is perceived as troublesome or difficult
  - To purchase local authority services.
  - For permanent residential care for adults. Direct Payments may be used to purchase short-term care (respite) in residential care. This is calculated as follows:  
*“Where two periods of residential care are less than 4 weeks apart, they should be added together to make a cumulative total which should not exceed four weeks. If the two periods are more than 4 weeks apart they are not added together.”*  
**Department of Health Direct Payments Guidance 2003.**
  - For residential accommodation for a disabled child or disabled young person for any single period in excess of four weeks and for more than 120 days in any period of 12 months.
  - Personal assistance cannot be purchased from a partner or close relative living in the same household as the Direct Payments recipient other than in exceptional circumstances, which must be agreed by the Council in writing.

**Who can qualify for a Direct Payment**

1.12 To be eligible for a Direct Payment a person user must:-

- Be ordinarily resident in the Borough of Halton
- Be assessed as eligible to receive services (This includes carer services).
- Agree to receive Direct Payments instead of services (for children under 16 consent must be obtained from a person with

***Practice***

When setting up a direct payments scheme, local councils are encouraged to actively consider how to include people with different kinds of impairment, people from different ethnic backgrounds and people of different ages. When considering whether a person's need for a service can be met by means of a direct payment, local councils should consider the provision of direct payments for both intensive packages and lower level services, long and short term provision and they are also encouraged to think about how direct payments can be assimilated into preventive and rehabilitative strategies.

"Department of Health Direct Payments Guidance 2003"

**What Direct Payments cannot be used for**

"Unless a council is satisfied that it is necessary to meet satisfactorily a person's needs, a council may not allow people to use direct payments to secure services from a spouse, from a partner or from a close relative (or their spouse or partner) who live in the same household as the direct payment recipient." The restrictions given are not intended to prevent people using their direct payments to employ a live-in personal assistant. The restriction applies where the relationship between the two people is primarily personal rather than contractual."

Department of Health Direct Payments Guidance 2003."

***POLICY CONTINUED***

parental responsibility, usually a parent).

- Be able to manage Direct Payments with or without support
- Satisfy the Council that financial controls will be adhered to.

***Practice*****The final decision**

Whether a direct payment is appropriate or not, the Client Finance Manager must take into consideration whether the person will be able to cope with the responsibilities.

**Advice on making decisions about the ability to manage**

"The council should ensure it takes into account all relevant factors before making a decision not to make a direct payment:

The person's understanding of direct payments, including the actions required on their part:  
Whether the person understands the implications of taking or not taking on direct payments  
What help is available to the person  
The nature of the services the person is assessed as needing:  
What arrangements the person would make to obtain services."  
Department of Health Direct Payments Guidance 2003.

1.13

**People who do not qualify for a Direct Payment**

The Regulations specify that Direct Payments may not be made to certain people whose liberty to arrange their care is restricted by certain mental health or criminal justice legislation as follows:-

- Patients detained under mental health legislation who are on leave of absence from hospital;
- Conditionally discharged detained patients subject to Home Office restrictions;
- Patients subject to guardianship under mental health legislation and those covered by the new power of supervised discharge introduced by the Mental Health (Patients in the Community) Act 1995;
- People who are receiving any form of aftercare or community care which constitutes part of a care programme initiated under a compulsory court order;
- Offenders serving a probation or combination order subject to an additional requirement to undergo treatment for a mental health condition or for drug or alcohol dependency;
- Offenders released on licence subject to an additional requirement to undergo treatment for a mental health condition or for drug or alcohol dependency; and
- People subject to equivalent Scottish mental health or criminal justice legislation.

**Direct Payment Rates**

1.14

For all new service users from 1<sup>st</sup> April 2008

Where a service user chooses to employ:

- An agency, a **standard rate of £10.70 per hour** (reduced pro rata for part hours e.g. ¾ hour £8.03, ½ hour £5.35, ¼ hour £2.68) will be paid based on the average agency hourly rate across Runcorn and Widnes.
- A **personal assistant (PA)**, a **standard a rate of £9.35 per hour** will be paid.

The **complex rate of £11.36 per hour** would only paid in exceptional circumstances, for both agency and personal assistants with the direct approval of the respective Operational Director, given the complexity of the service user's needs having met the eligibility criteria (see para. 1.15).

This would introduce consistency across the board in relation to all community care packages arranged by both Care Managers and those purchased via a Direct Payment.

***POLICY CONTINUED******Practice***Existing Service Users (to be implemented from 1<sup>st</sup> April 2009)

Respective Social Work teams will review existing Direct Payment packages using the criteria in para. 1.15. All service users will be informed that the new assessed rates for both agency and personal assistants as outlined above will be implemented on 1<sup>st</sup> April 2009.

Direct Payment rates will be kept under review, for further amendments in line with changes to tendering arrangements for domiciliary care agencies.

**1.15 Eligibility Criteria**

FACS criteria for eligibility must be applied to those individuals who wish to receive a Direct Payment:

Standard Support Criteria: £10.70 per hour Agency rate / £9.35 per hour PA rate

The individual has an assessed need for:

- Assistance to take medication.
- Support with incontinence.
- Physical assistance to use the toilet.
- Assistance with moving and handling.
- Assistance with washing/bathing.
- Support to eat/ drink.
- Specific support and assistance to stimulate development of communication and/or negotiation skills.
- Support to access social activities

**NB:** Supporting People funding and ILF will be used to support other social activities for the service user.

**And/or**

- Mental Health needs that meet critical/substantial FACS criteria or is demonstrably preventative and requires support.

High Level Need/ Complex Support Criteria: £11.36 per hour (Agency & PA)

In addition to some indicators for standard support:

- The individual has a high level of challenging behaviours (requiring a Level 2 risk assessment and a risk management plan to manage safety).

**And**

- The individual has complex needs which are eligible for a Social Services/PCT joint funded package.

**And/or**

- The individual's employed Carers require additional skills as certified by formal training. Certificates will need to be produced.

## ***PROCEDURE***

### 2.0 **THE 4 STAGES**

The Directorate will undertake a four-stage process in order to make Direct Payments.

#### 2.1 **Stage One: Assessment**

Assessment is a crucial process and Direct Payments can only be offered to someone who has been assessed as eligible to receive services. The Directorate's Social Workers and, where equipment is required, Occupational Therapists will work with the person to assess what their needs are.

#### 2.2 **Stage Two: Implementation**

At stage two the person has received an assessment and expressed an interest in receiving a Direct Payment. It is the responsibility of the Direct Payments Assistant to tell them about the details of managing a Direct Payment and to set up the Direct Payment for them.

#### 2.3 **Stage Three: Monitoring**

At this stage the person is receiving a Direct Payment. It is the responsibility of the Direct Payments Assistant to monitor how the Direct Payment is being used. The Direct Payments Assistant will provide support to the person for up to six weeks or until they are able to manage the monitoring process independently.

#### 2.4 **Stage Four: Reviewing**

Reviews take place to ensure that the Direct Payment is being managed satisfactorily. Adults in receipt of Direct Payments review their needs at least annually with the Social Worker and/or Occupational Therapist and Client Finance Manager/Assistant. Children are reviewed at least every six months.

## ***Practice***

### **Assessment**

Existing policy and practice guidance on assessment should be followed whether or not the person being assessed is likely to receive service provided by the local council or direct payments. Department of Health Direct Payments Guidance 2003

### **Implementation**

Councils should give the person information and support as early in the process as possible about what receiving direct payments will involve. In order to make an informed decision, people need to understand what is involved in managing direct payments. Department of Health Direct Payments Guidance 2003

### **Monitoring**

Monitoring arrangements should be consistent both with the requirement for the council to be satisfied that the person's needs for the service can and will be met and with the aim of promoting and increasing choice and independence.

Department of Health Direct Payments Guidance 2003

### **Reviewing**

Councils should follow existing guidance on carrying out reviews. The fact that the council is making direct payments rather than arranging services itself does not affect its responsibility to review an individual's care package at regular intervals.

Department of Health Direct Payments Guidance 2003

**PROCEDURE CONTINUED****Practice**3.0 **STAGE ONE: ASSESSMENT**3.1 **SOCIAL WORKER PROCEDURES**

Direct Payments can only be offered to someone who has been assessed as eligible to receive services. There is no difference in the assessment process, which must include an assessment of whether Direct Payments are appropriate and of whether the person is able to manage them. The procedure to be followed is detailed below:

1. Undertake an assessment / review. All eligible individuals should be offered the option of Direct Payments. There is a leaflet (available from the Client Finance Team) that the Social Worker should give to the person.
2. If the person is interested in receiving Direct Payments the Social Worker will need to determine their **willingness** to receive a payment, **ability** to state preferences and make choices, **capability** to manage the Direct Payment and **competence** to take legal responsibility for arranging their own care services. Appendix 1 provides the definition of willing, able, capable and competent [and of capacity under the Mental Health Act 2005](#).
3. The Social Worker will need to ask the person's permission to share a copy of their assessment, care plan and Independent Living Team report (if appropriate), with the Client Finance Team.
4. Following the assessment and funding approval, the Social Worker will complete the Request for Direct Payment Form and send to the Care Arrangers will all necessary documentation. The Care Arrangers will complete a SUISS and pass to the Client Finance Team for set up. The Client Finance Team will arrange to visit the person within 3 weeks. The Direct Payment Assistant will log the request onto the Direct Payments database. A joint visit with the Social Worker is preferred.
5. On the joint visit it is important that the following is carried out:
  - The Direct Payments Assistant will give the person a copy of "Personal Assistants - A Guide to Getting Started". This guide will be used to help the person understand what is involved in managing Direct Payments.
  - As a guide to deciding if Direct Payments is a suitable service for the person the Direct Payments Assistant and Social Worker will use the questions in Appendix 2.
6. After this initial visit the service user will be left to think about the scheme. After several days the Direct Payments Assistant

**Assessment**

"There is no difference in the assessment of a person's need for services although under the Regulations a local council must also be satisfied that the person's need for services can be met by means of a direct payment. It is important that the needs-led focus of the assessment is retained. In order to ensure that the person's assessed need for the relevant service can be met by means of a direct payment, each local council should consider the person's needs and also discuss with anyone to who it proposes to offer direct payments how he or she intends to secure the services. Councils will want to be satisfied that the person's assessed needs can and will be met and that the money is being spent appropriately in securing services to meet those needs."

Department of Health Direct Payments Guidance 2003

**Carer assessment**

The Department of Health policy and practice guidance and the Carers (Recognition and Services) Act 1995 emphasise the importance of considering carers' needs when completing a community care assessment. A carer is someone who has a personal or family relationship with the disabled person, not someone who is being paid to provide care or support to the disabled person using the Direct Payment.

If as a result of a carers' assessment the carer has needs for personal assistance in his or her own right then these needs may be met either through the provision of a service or a Direct Payment.

**Mixed packages of care**

It may be appropriate to offer a mixed package of direct payments and council arranged services. This may be particularly useful for people used to receiving direct services, such as older people, And who may need to increase their confidence.

Department of Health Direct Payments Guidance 2003



**PROCEDURE CONTINUED**

will telephone the person. If they wish to proceed the Direct Payments Assistant will arrange a second visit to start the implementation stage.

7. At the end of the implementation stage when the service user has signed a contract and the Direct Payments Assistant has set up the Direct Payment the Social Worker will be informed and sent a copy of the contract. At this stage the Social Worker will need to record information onto CareFirst. The Direct Payments Assistant will check that this has been done.

**Practice**

3.2

**OCCUPATIONAL THERAPY PROCEDURES**

As part of the assessment the need for Occupational Therapy input may be identified. In this instance the Social Worker usually refers the person to the Independent Living Team for an Occupational Therapy Assessment.

**Equipment Assessments:**

Equipment will be supplied with relevant information and/or literature. The person receiving Direct Payments should ensure all personal assistants (employed by them) are competent to use the equipment correctly. The person should also ensure that any new employees are competent to use the issued equipment.

**ILT Hoist Assessments:**

1. Following a referral from the Social Worker the Occupational Therapist will carry out a hoist assessment, and recommend the appropriate equipment where necessary (as per standard hoist procedures).
2. When the hoist assessment is completed the Social Worker and the Direct Payments Assistant will be informed of the outcome so it can be included in the care plan.
3. Equipment will be supplied with relevant information and/or literature. The person receiving Direct Payments should ensure that any personal assistant (employed by them) has the relevant skills in order to use any moving & handling equipment. This includes ensuring that any new employees are competent to use the issued equipment.
4. The provision of the equipment will be subject to standard review procedure. The outcome of these reviews will be forwarded to the Social Worker and Direct Payments Assistant.

**Independent Living**

“Independent living is the concept of empowering disabled people to control their own lives as far as possible and to have the freedom to participate fully in the community. It is not the name of a particular service or provision but should be the objective of services and provision.

Support for independent living includes personal assistance, information, housing, education, access to public goods and services, employment and training and access to the environment and the political arena.”

Social Services Inspectorate “New Directions for Independent Living.”

**Direct Payments**

“Direct Payment schemes for people aged over 65, became available on 1<sup>st</sup> February 2000, reinforcing the belief that people who have made their own choices throughout their lives should have the right to decide how people arrange their own social care. Direct Payments for older people will enable those who take this option to live for longer in their own homes in the community, in touch with family and friends. Younger people with physical disabilities have often chosen to use their Direct Payment to employ a personal assistant or occasional support, depending on the level of need.”

Social Services Inspectorate  
“Modern Social Services”

**PROCEDURE CONTINUED****Practice****4.0 STAGE TWO: IMPLEMENTATION**

4.1 In order to make an informed decision people will need to understand what is involved in managing Direct Payments and be helped through the process. The Direct Payments Assistant is responsible for this stage, but before this process begins, they need to know the following:-

**4.2 Direct Payment Rates**

Contact Direct Payments Section, Client Finance Team for current rates.

**4.3 Start-up costs**

This is a one-off payment to cover start-up costs up to a maximum of £259. For example, this payment could be used for setting up interviews, purchasing insurance, buying protective clothing for personal assistants and placing adverts. An amount is agreed between the Direct Payments Assistant and person up to the maximum of £259. At this stage the Direct Payments Assistant will inform the Team Practice Manager of the agreed amount. The set up costs are paid directly into the recipient's bank account.

The amount paid depends on individual circumstances, e.g. a person wishing to employ personal assistants for their full care needs may be entitled to the full amount of £259. A person who will receive Direct Payments to purchase support from an agency may only be entitled to a proportion of the full amount.

From 1<sup>st</sup> April 2008 start up costs will incorporate an allowance for payroll service costs incurred when a service user employs a Personal Assistant. By including payroll costs, in start up costs if incurred and if required annually thereafter, potential difficulties and debt in relation to tax and national insurance payments by the individual in receipt of the Direct Payment could be avoided.

**4.4 Contingency**

A contingency sum (for use in emergencies) is paid with the first regular Direct Payment and is equivalent to 2 weeks Direct Payment. When a sum of money is used from the contingency the person will need to complete the relevant form giving reasons and proof of expenditure. People should give notice to their Social Worker, wherever possible, prior to using any amount from this fund. If the expenditure is approved, then the contingency is 'topped up'. If the expenditure is not approved then the person should pay back the contingency from private funds.

**4.5 Example of form used to calculate Direct Payment**

See Appendix 3.

**4.6 Separate bank account**

The Local Authority requires evidence that the monies made

**Determination of payment levels**

'The guiding principle in determining the level of a Direct Payment should be to set it at a level which reflects as closely and fairly as possible the actual cost at which individual service users can purchase the services which they are assessed to need. Equally there should be equity between those users who participate in such a scheme, and those who are unable or prefer not to participate. Payments to service users under this scheme should, therefore, be made on the basis that the user is given sufficient, but no more than sufficient, funds to purchase the same quantity and same quality of care which would be arranged for a service user of the same Local Authority with the same assessed needs who remains outside the Direct Payments scheme.'

CIPFA 'Accounting and Financial Management Guidelines.'

**Start up costs**

These costs are refundable to the authority if the service user decides not to proceed with the Direct Payment scheme, although there may be exceptional circumstances when it is deemed unreasonable to request the full amount to be returned.

**Contingency fund approval**

Contingency fund needs to be approved by the relevant Practice Manager and Client Finance Manager.

**PROCEDURE CONTINUED****Practice**

available are being used to meet the identified and agreed needs as determined by the assessment. It is therefore necessary that recipients of Direct Payments to purchase care services have a separate and exclusive bank account to manage their Direct Payments.

**4.7 Insurance**

Extra insurance is incurred by the introduction of the Direct Payment scheme, i.e. employer's liability and public liability. The cost of this will be met by the authority within the start-up costs, upon proof of payment. The contingency fund can be used to pay insurance fees and a receipt must be sent to the Local Authority along with a "Request for Reimbursement of Contingency" form, to ensure repayment.

**4.8 Direct Payments and Trusts**

A Trust may administer the Direct Payment for the person, but that person must retain responsibility for receiving the payment and determining how it is to be used. The important principle, which must be addressed before making a Direct Payment, is that the Local Authority should satisfy itself that the relationship between the person and the Trust/agent/power of attorney, will honour the spirit of independent living, before a Direct Payment is agreed.

**4.9 Fairer Charging Policy**

Halton Borough Council's Fairer Charging Policy takes account of a person's ability to pay for services they receive. People receiving a service are asked to give details of income and benefits that they receive, details of any savings and investments that they have and details of any disability spending that they have. Any financial contribution the person needs to make towards the cost of their care will be taken out before the Direct Payment is paid into their bank account.

**4.10 How the money can be spent**

When signing the Direct Payment contract, the service user will be taking responsibility for arranging their services, and spending the cash payment in the way that is shown in the contract. It is essential that the contract is clear that people using Direct Payments have flexibility about how the money is spent.

**4.11 Buying services from an agency**

Any services purchased by the person must be as cost effective or efficient as the Local Authority could arrange or buy. In discussions with the person receiving the Direct Payment it is important that the Direct Payments Assistant explains that the Local Authority is not liable to pay VAT, and it is not possible for the Local Authority to make extra provision to cover the cost of VAT.

**4.12 Employing a personal assistant**

Many people will chose to employ a personal assistant. In this case the person becomes an employer and must make adequate

**Support groups**

When discussing direct payments with people, local councils will wish, wherever possible, of offer the option for them to be put in touch with a support group or local centre for independent living, or a peer support group of people who already manage direct payments.

Department of Health Direct Payments Guidance 2003.

**Rates of pay for personal assistants**

The service user will negotiate the

**PROCEDURE CONTINUED**

arrangements to fulfil their consequent responsibilities. Halton has seen a growth in the number of personal assistants employed by those in receipt of a Direct Payment since the scheme began.

**4.13 Arrangements in emergencies**

It is essential that each person receiving a Direct Payment has made arrangements to cover potential emergencies, for example if a personal assistant is sick. If these arrangements break down and it is not possible for the person to have their needs met, then ultimately the Local Authority is responsible for arranging services for them. This should be done via contacting the person's Social Worker or the Emergency Duty Team.

The Direct Payments Assistant is responsible for implementing the Direct Payment. The procedure is detailed below (taking into account the conditions outlined above):

1. Once the person has confirmed they want to use Direct Payments, the Direct Payments Assistant will arrange to visit them for a second time.
2. The Direct Payments Assistant will contact Income and Assessment for details of how much the person has been assessed to pay and will set up a service user file.
3. The Direct Payments Assistant will agree start up costs with the person and inform the Practice Manager of the relevant team.
4. The Direct Payments Assistant will send the person 2 copies of the Statement Letter, an Offer Letter and a Bank Details Form. The person accepts the offer by:-
  - setting up a bank account
  - completing the 'Bank Details' form
  - Signing both statements, returning 1 to the Direct Payments Assistant and keeping 1 for themselves.
5. The person will then start to look for a suitable provider to meet their assessed needs. This provider can be a personal assistant, an agency or self employed individual. If the person chooses to employ a personal assistant then the Direct Payments Assistant, will if required, assist them with this process.
6. On receipt of the signed statement letter and bank details form, the Direct Payments Assistant will arrange for start up costs to be paid into the person's bank account.
7. Once the person has found a suitable provider the Direct Payments Assistant will prepare a contract for signing (appendix 5). Four copies of this contract are required, one for each of the following:

**Practice**

rate of pay with their own personal assistant.

**Emergency contact numbers**

Emergency Duty Team – 01606 76611.

**Statement of Direct Payment**

In order for this statement to be produced the Social Worker will need to submit a financial assessment. If this has happened the statement can be produced within 5 days of receipt of a copy of care plan and memo from Direct Payment Manager.

**Contract with service user**

'It is important that the service user fully agrees to managing Direct Payments before the first payment is made. This will allow the user not only to recruit staff or service providers, but also give them time to set up recording and payment systems themselves.'

CIPFA 'Accounting and Financial Management Guidelines.'

If the service user is assessed as eligible for a Direct Payment then an agreement will be reached about the amount of money each recipient will receive on a weekly basis. The calculation of the weekly cost of a Direct Payment package will be the result of an agreement of the number of hours required at a specific time of the day, to meet the care needs identified in the care assessment. If the service users need change then a new contract will be drawn up.

**Criminal Records Bureau checks**

## ***PROCEDURE CONTINUED***

- The Direct Payments recipient
  - Direct Payments Team
  - Income and Assessment section
  - Social Worker
8. The 'Statement of Direct Payment' letter forms part of the contract and is copied to the above.
  9. A copy of the care plan and Independent Living Team report, if appropriate, also forms part of the contract and is copied only to the service user.
  10. To begin payments the Direct Payments Assistant will raise the first 4 weekly payment, together with the 2 weeks contingency payment. The Direct Payment Assistant will raise a payment every four weeks and will record the details on the financial database. The Direct Payments Assistant will also "flag" on Agresso to stop invoicing the service user for their financial contribution.
  11. The Direct Payments Assistant will supply the person with all the necessary records and advice for keeping quarterly financial records and records of support received and tell them about their responsibilities to retain invoices/receipts and bank statements. These will be supplied in the form of a "start up" stationery pack which will be tailored to the individual. This start-up pack will be provided by the Direct Payments Assistant approximately one week before the Direct Payment is due to start.
  12. At this stage the Direct Payment scheme user will be expected to start making their contributions towards the cost of their support to coincide with the first Direct Payment.
  13. During the initial 6-week period the Direct Payment Assistant will arrange to meet the person on a frequency appropriate to their needs.

## ***Practice***

### **of Personal Assistants**

It is the responsibility of the Client Finance Manager to raise service user awareness about the importance of ensuring CRB checks are carried out on personal assistant.

The service user will be encouraged to ask personal assistants to get a CRB check carried out. If the PA is likely to have access to children then the PA must be checked by the CRB

**PROCEDURE CONTINUED****Practice****5.0 STAGE THREE: MONITORING**

5.1 At this stage the person is receiving Direct Payments and these need to be monitored. All financial records and returns can be subject to auditing at any time.

**5.2 What if the money is not spent?**

There may be a number of reasons why a surplus has accrued in the bank account, for example, there may be outstanding tax or national insurance not yet due or paid. Alternatively, the person may be 'saving care' to cover extra costs that may be incurred when they take personal assistant with them to a special event, although this need must be agreed with their Social Worker. Also the contingency money will be kept in the bank account as a reserve. Any credit balance should be explained to the satisfaction of the Client Finance Manager. If there is a credit balance in the account without a satisfactory reason, the Local Authority will reduce the person's next payment.

**5.3 What if there is an overspend?**

If there is a problem with a person overspending the Direct Payment, then advice and support will be offered and the overspend corrected. If the problem persists, then the Client Finance Manager may need to reassess the ability of the person to manage the scheme or a reassessment of need under the Community Care Act may need to be undertaken by a Social Worker. If a person spends more money than is allowed by the Direct Payment package, then they are liable for this from their private funds. If services paid for have not been received, it is the responsibility of the person to seek a refund from the service provider. Equally the service provider should pursue the recovery of debts from the person, if services have been received and not paid for.

**5.4 Repayment**

The Local Authority can seek repayment if the monies made available have not been used to purchase services identified in the care plan and contract, or were used to purchase services identified as being excluded. It is essential that honest mistakes are seen as such, and repayments should only be sought where monies have been spent inappropriately or not spent at all.

**5.5 Recovery of Direct Payment**

It may be necessary to recover unspent Direct Payments if a service user dies. Contractual responsibilities must be met before determining the amount of Direct Payment to be recovered. See Appendix 5 Direct Payment Contract "Responsibilities of Direct Payment Recipient" (Item 14).

**Responsibility for quarterly audit returns**

It is the responsibility of the Direct Payments Assistant to check audit returns and provide quarterly reconciliation. The group accountant in financial services will provide advice and guidance where necessary.

**Checks when monitoring Direct Payment**

- Have all necessary records been received?
- Are they fully completed and total correct?
- Does the balance on the financial record agree with the bank balance – bank reconciliation?
- Does the income agree with the office payment record?
- Are payments supported by invoices/wage records and in accordance with identified needs?
- Is the level of Direct Payments reasonable, i.e. no surplus accruing

The account should be in credit but surplus should be represented by amounts owing by service user (wages not yet paid) / contingency funds / payments outstanding to Inland Revenue.

**PROCEDURE CONTINUED****Practice****5.6 Self Certification****Small Packages of Care – New Service Users**

If the Direct Payment package is on average 15 hours per month or less, regular full financial inspections may not be necessary. These packages could be dealt with under an annual “self certification” scheme.

Established Direct Payment Service Users – those service users who are able to demonstrate they have maintained records as required by the scheme and have had regular monitoring checks, may also be given the option of “self certifying” on an annual basis. This option will be a joint decision between the Direct Payments monitoring service and the service user, and an assessment of risk will take place.

**5.7 Equipment**

The person receiving Direct Payments is responsible for considering manual handling risks. The Direct Payments Assistant will feed back any concerns about use of equipment to the Independent Living Team.

**5.8** Each person receiving Direct Payments must provide the Local Authority with audit returns on at least a quarterly frequency, indicating how their Direct Payment has been spent. The aim of this return is to ensure that the person is receiving enough money to pay for services whilst at the same time ensuring the monies are being spent as agreed. Once it has been established that the person is managing their Direct Payment satisfactorily, either alone or with help, the frequency of financial monitoring may be adjusted after discussion with the person.

**5.9** During the first 6 weeks the Direct Payments Assistant will monitor that the needs identified on the care plan are being met and the Direct Payment is being managed effectively. Detailed below is a list of the records that need to be kept:

**5.10 Records to be kept by Client Finance Team**

- Direct Payment record of audit checklist (appendix 17)
- Initial offer letter
- Statement letter of Direct Payment/assessed charge
- Copy of care plan and Independent Living Team report (if appropriate)
- Contract
- Start up list for Direct payment (appendix 18)
- Diary notes (appendix 19)
- Direct Payment database
- Self certification form (if appropriate)
- Any other relevant information to the account

**5.11 Records to be kept by service user**

If person employs a personal assistant:

- Copies of all records, i.e.
- Quarterly returns

**Summary of records for employing personal assistant**

- Quarterly return
- PAYE/NI records
- Evidence if assistant is self employed
- All receipts for expenditure from Direct Payment fund
- Record of assistants holiday/sickness

**Summary of records for buying from an agency**

- Budget statement
- Invoices
- All receipts

***PROCEDURE CONTINUED***

- Time sheets
- Income and expenditure record
- Quarterly return to Inland Revenue
- BACS advice slips
- Cheque stubs
- Bank statement
- Service user contribution
- Sickness records
- Holiday records
- Contingency
- Saving care
- Amendment to bank details
- Self certification form (if appropriate)

If person purchases services from an agency:

- Quarterly return to show hours of service purchased during the period, the cheque number and payee and the amount paid out

All invoices and receipts for the quarter

- 5.12 From the onset of Direct Payments, the Direct Payments Team will use the "Diary Notes"/Record of Audit Checklist sheet to log results of visits, any discrepancies and any enquiries or issues relating to their Direct Payment.
- 5.13 A database is kept to record statistical records relating to Direct Payments. This is completed by the Direct Payment Assistant at referral; start of the Direct Payment, six-week review, first audit and quarterly audits and at each payment date.

***Practice*****Summary of records for all Direct Payment recipients**

- BACS advice slips
- Bank statements
- Cheque books
- Paying in books
- Contingency records
- Time sheets

**Tax records**

All tax records must be kept for 6 years for Inland Revenue purposes.

The authority is not obliged to fund the actual cost associated with the users preferred method of securing services if the service can be secured more cheaply in another way.

**Tax Record**

It must be noted that all tax records must be kept for six years for Inland Revenue purposes.



**PROCEDURE CONTINUED****Practice****6.0 STAGE FOUR: REVIEWING**

6.1 Once a person has been set up to receive Direct Payments, the Direct Payments Assistant will offer support for up to six weeks or until the person is able to manage the monitoring process independently. At six weeks the Client Finance Manager/Direct Payments Assistant will co-ordinate a joint review with the Social Worker, Occupational Therapist (if appropriate). The review will cover the following areas:

- Checking and reviewing all financial records to ensure the person is maintaining all the records necessary for the monitoring of expenditure and services
- Ensuring the Direct Payment is being used to meet the person's needs as outlined in the care plan and the Independent Living Team report (if appropriate)
- Ensure the services have been received and the Direct Payment has been used cost effectively
- Identifying and resolving any difficulties the person has in managing Direct Payments
- Confirming there have been no changes in circumstances and the person is still eligible to receive Direct Payments
- Checking that any equipment supplied by the Independent Living Team is being used correctly (where relevant).

6.2 If the outcome of the review is satisfactory, quarterly support visits by the Direct Payment Assistant will start. If there are any concerns about how well the person is managing the scheme they will receive more regular visits and support. For Adults, the Social Worker will continue to review the person's care needs at least annually. For children in need in the community, reviews of the child in need plan should take place at least every 6 months.

**6.3 What happens if a service user's circumstances change?**

It is vitally important that if the circumstances of a person change, the Direct Payment Assistant be notified immediately. It is in everyone's interest to ensure that events such as hospital admissions or long absences from home are properly recorded.

**6.4 What if difficulties arise?**

Direct Payments will not be withdrawn at the first sign of difficulty. The Department of Health guidance suggests that the following questions should be asked:

- Has the person's needs changed?
- Is the amount of money provided sufficient to enable the person to secure the relevant services?
- Is the person able to manage Direct Payments or can they do so with assistance?
- Does the person wish to continue receiving Direct Payments?
- Has all the money been spent towards achieving the outcomes identified in the care plan?
- Have services for which the person has paid been received?

**Reviewing**

"Councils should follow existing guidance on carrying out reviews. As with all services, the projected timing of the first review should be set at the outset. The purpose of the review remains to establish whether the objectives set in the original care plan are being met. It should therefore cover whether the person's needs have changed, whether the use of direct payments is meeting assessed needs and how he or she is managing direct payments." Department of Health Direct Payments Guidance 2003

**Frequency of Monitoring**

The frequency of monitoring will be dictated by the length of time the person has managed a direct payment either alone or with help and their particular circumstances. Once a council is satisfied a person is managing the direct payments satisfactorily, reviews should be at the same intervals as for other people receiving services.

**Children identified as needing services under section 17 of the 1989 Act**

Reviews may be necessary more often so that the council remains satisfied that the direct payment promotes and safeguards the welfare of the child. The Framework for the Assessment of Children in Need and their Families reminds councils that it is good practice to review plans for children in need in the community at least every 6 months.

Department of Health Direct Payments Guidance 2003.

"Whilst the Local Authority is relieved of its responsibilities to arrange services for recipients of direct payments, it still has an obligation to satisfy itself that the services purchased meet the needs of the service user, and that the care needs of the service user are reviewed at regular intervals. These duties should be performed by care staff from the Local Authority." CIPFA Accounting and Financial Management Guidelines

**PROCEDURE CONTINUED**

- Has the money been spent wisely?

**Practice****Discontinuing Direct Payments**

The council should discuss with individuals as soon as possible if it is considering discontinuing direct payments to them. They should be given an opportunity to demonstrate that they can continue to manage direct payments, albeit with greater support if appropriate..... the council should not automatically assume when problems arise that the only solution is to discontinue or end direct payments.

Department of Health Direct Payments Guidance 2003

6.5

**When to discontinue Direct Payments**

The person to whom Direct Payments are made may decide at any time that they no longer wish to continue to receive them. The Local Authority may also discontinue Direct Payments temporarily or permanently as outlined in the Direct Payment Contract (Appendix 8). However before a decision is made, full and frank discussions must take place with everyone involved. The Client Finance Manager may consider that it is more appropriate to recoup any overpayment as a result of such circumstances at the quarterly audit rather than disrupt the regular payment system. In all circumstances where Direct Payments are discontinued whether temporarily or permanently, careful consideration should be made about any contractual responsibilities, i.e. terminating employment, redundancy etc. These issues will need to be discussed by the person and the Client Finance Manager/Direct Payments Assistant before the agreement is finalised.

6.6

When signing the Direct Payment contract, the person takes responsibility for arranging their own personal assistance and spending the payment to meet their needs as outlined in the care plan. It is essential that the Direct Payments Assistant makes it clear to them what the money may or may not be spent on and how much flexibility the person has over the way the money is spent.

6.7

**Complaints**

The person receiving the Direct Payment may invoke the Directorate's complaints procedure if they think that the procedures are unfair or have been unfairly applied to them. Contractual issues between the person, their personal assistant or agency providing the service cannot be dealt with under the complaints procedure.

**Definitions for use in determining whether a person is able to manage a Direct Payment**

**Willing**

Is the person willing (with or without assistance) to receive a Direct Payment and all the responsibilities involved? The person receiving a Direct Payment must understand (with or without assistance) all the conditions they will be required to meet. These conditions include taking day to day control of their personal assistance, payment of bills, managing the bank account, preparation of quarterly audit returns and making arrangements for cover in emergencies.

**Able**

The person receiving the Direct Payment must have the ability to express (with or without assistance) a preference about the way in which they wish to have services provided. This can be illustrated by looking at what the person does now and how much control they are able to exert upon their personal assistance.

**Capable to manage**

The Direct Payments Assistant and the Social Worker will need to agree that the service user understands the nature of the agreement they are entering into. The Direct Payment contract is legally binding upon the Local Authority and the service user. It is essential, therefore, that the service user is either personally able to keep the necessary records, e.g. national insurance and tax, or with the assistance of the Direct Payments Assistant or makes appropriate arrangements for their responsibilities in such areas to be completed on their behalf. Such support in managing a Direct Payment will need to be identified before a Direct Payment contract can be made.

**Competence**

The test of legal competence will vary according to the extent of the support that the recipient of the Direct Payment receives. In circumstances where the support is extensive, e.g. through the creation of a Trust or agent to manage all recruitment and payments, the assessor may judge that the person's ability to express preferences in the way in which they wish to have services provided will be sufficient to fulfil their obligations outlined in the Direct Payments contract. The test of competence in this area must vary according to the individual circumstances, from a high degree when the person is to manage all of the responsibilities of their Direct Payment without assistance, to a low degree when the person's management relates to simple day to day choices and preferences.

**Mental Capacity Act 2005**

A significant factor influencing the assessment will be the answer to the question "Does the person currently take other important decisions for him/herself?"

The Mental Capacity Act 2005 states that a person is unable to make a decision if he/she is unable:

- (a) To understand the information relevant to the decision;
- (b) To retain that information;

- (c) To use or weigh that information as part of the process of making the decision;  
or
- (d) To communicate his decision (whether by talking, using sign language or any other means).

It also states that:

- A person is not to be regarded as unable to understand the information relevant to a decision if he is able to understand an explanation of it given to him in a way that is appropriate to his circumstances (using simple language, visual aids or any other means).
- The fact that a person is able to retain the information relevant to a decision for a short period only does not prevent him from being regarded as able to make the decision.
- The information relevant to a decision includes information about the reasonably foreseeable consequences of
  - Deciding one way or another; or
  - Failing to make the decision.

**APPENDIX 2**

**Question to be used by direct payment manager in assessing if a user is suitable to receive a direct payment**

- Does the person understand (with assistance if necessary) the nature of the direct payment scheme?
- Can the person express preferences with assistance to communicate if necessary between different types of service?
- Does the person currently take important decisions for him/her self (with assistance if necessary)?
- Is the person able (with assistance if necessary) to access appropriate support to enable them to manage direct payments?
- Will the person be able to keep the necessary records (with or without assistance)?
- Does the person understand the legal responsibilities that may arise if he or she becomes an employer, and can he or she cope with them (with or without assistance)?
- Will the person be able to ensure that he or she receives the services paid for (with or without assistance)?
- Is the person likely to be able to manage the scheme on an ongoing basis, as opposed to having a fluctuating or deteriorating condition, which may affect his or her ability to manage?
- Will this arrangement secure the greatest degree of independence for the recipient?

It may be that, even if a person scores negatively on some of these questions, with skills training the direct payments scheme can become a suitable option in the future.

Dear

Please find below details of how we have worked out the money that we will pay to you under the Direct Payment scheme. The amount we pay you may change if your circumstances change. You should pay the money you get into your Direct Payment Bank Account.

	£
The total cost for your services is	.....
This was worked out from	
.... Hours at an hourly rate	.....
.... Hours at an hourly rate	.....
.... Hours at an hourly rate	.....
.... Hours at an hourly rate	.....
.... sessions of night sitting at £.per night	.....
Total Direct payment each week	.....
Less your contribution from your income/benefits	.....
= A total direct payment to you of	.....

If you need any more information about how we worked out your direct payment please contact me on

If you are not happy with the service you receive from Social Services then you can complain and I have enclosed a leaflet, which explains the complaints procedure.

If you agree with the amounts shown please sign this form and return it to me in the prepaid envelope supplied.

Yours sincerely

Signed by Direct Payments Assistant .....

Authorised by Principal Manager .....

Service User Signature .....

Dear

**DIRECT PAYMENT SCHEME**

I am pleased to offer you the Direct Payment Scheme and enclose a statement, which details how much we will pay you each week.

Please sign and complete the bank details form and statement enclosed and return them to me in the pre paid envelope supplied. When I receive these forms I will arrange for an initial start up payment of £.....to be paid into your Direct Payment bank account.

When you have employed your provider and agreed a start date with them I will arrange for a contract to be prepared and signed.

We will discuss with you the date that our first payment will be made to you. The first payment will include a contingency payment of £.....(equivalent to 2 weeks payments) which you can use in an emergency.

Direct Payments are made to you every 4 weeks. Your first payment will include enough money to pay for one month's care in advance and the contingency payment.

The Council have to be sure that you are spending your Direct Payment appropriately, therefore, I need to remind you that you need to

- Open a separate bank account for your Direct Payments to be made into
- Keep a record of how you spend the money we give you. These records will be monitored weekly for the first 6 weeks and on a quarterly basis after that.
- Understand that Direct Payments cannot be used to pay close relatives.
- Government regulations prohibit Direct Payments from being used to pay a spouse or partner, or a close relative living in your household. Direct Payments should not be used to pay close relatives living elsewhere, or other people living in the same household. This does not prevent people using the Direct Payment to pay someone who has been specially recruited to be a live-in personal assistant. Direct Payments cannot be used to pay close relatives who live elsewhere, or other people living in the same household. For this purpose the Government defines a close relative as a parent, parent-in-law, aunt, uncle, son, daughter, son-in-law, daughter-in-law, stepson, stepdaughter, brother, sister or the spouse or partner of any of the above.

If you do not want to proceed with the Direct Payments scheme, then the initial payment of £..... will be repayable to the Council immediately. Your current care services provided to you by the Council will continue as at present.

I look forward to receiving the signed statement and confirmation of bank details. If you need any more information please do not hesitate to contact me 01928 500 740.

Yours sincerely  
Direct Payments Assistant  
Enc.

**HALTON BOROUGH COUNCIL  
DIRECT PAYMENTS CONTRACT**

THIS AGREEMENT is made the \_\_\_\_\_ day  
of \_\_\_\_\_ 200

Between **HALTON BOROUGH COUNCIL** (“the Council”) of  
Halton Lea, Runcorn and

(“the recipient”) of

**WHEREAS:**

- (a) the Council has conducted an assessment and subsequently determined that the needs identified in the attached care plan (Schedule 1) should be provided for the Recipient;
- (b) the Recipient is willing, able and has the capacity to arrange for the services marked (\*) in the care plan (Schedule 1) to be met and the Council is willing to make a payment direct to the Recipient to enable him/her to do so; and
- (c) this agreement is made in accordance with the requirements of the Community Care (Direct Payments) Act 1996, and Carers & Disabled Children Act 2000.

The purpose of this agreement is to set out the responsibilities and obligations of Halton Borough Council and \_\_\_\_\_, the Recipient of the Direct Payment.

It is agreed by the parties as follows:



- 1 (a) The Council agrees to pay the Recipient 4 weeks Direct Payment every 28 days in advance starting on \_\_\_\_\_ and in accordance with the arrangements set out in the Direct Payment Statement Letter.
- (b) The equivalent of 2 weeks Direct Payment will be paid starting on \_\_\_\_\_ in accordance with the arrangements set out in the Direct Payment Offer Letter as a contingency fund, which must only be used in accordance with the conditions as detailed in paragraph 20.
- 2 The Council will make the Direct Payment by Banks Automated Clearing System (BACS) into a separate and dedicated Direct Payments account in the Recipient's name. The account number is \_\_\_\_\_ at \_\_\_\_\_ Bank.

### **3-8 USE OF THE DIRECT PAYMENT**

- 3 The Council intends that a Direct Payment is the means by which the individual Recipient independently secures the services that the Council agreed the Recipient needs following assessment.
- 4 The Recipient will use the Direct Payment monies to meet the needs identified in the care plan.
- 5 The Council may increase or decrease the amount of the Direct Payment to the Recipient at any time on account of a change in assessed needs. Before decreasing the amount of the Direct Payment the Council will give the Recipient a minimum of one weeks notice in writing and the reason for such decrease.
- 6.1 A review of the support package and Recipient's record keeping will take place 6 weeks after receipt of the first payment(s) to identify and respond to any problems which

may have arisen and to prepare for the necessary monitoring (see paragraph 10).

- 6.2 The Council will formally review the assessment of the Recipient and the operation of this agreement every 12 months (ie within every 12 month period there should be at least one review). That review will determine whether the Recipient's needs have changed and how the Recipient is coping with the arrangements for ensuring the provision of the services that meet these needs.
7. The Recipient will not use the Direct Payment to employ/pay any partner (married or unmarried) or a close relative living in the same household (close relative means parent, parent-in-law, aunt, uncle, grandparent, son, daughter, son-in-law, daughter-in-law, step-son or daughter, brother, sister or the spouse or partner of any of the preceding) to provide the services, **unless in exceptional circumstances**. This also applies to Direct Payments made to a person who has parental responsibility for a disabled child (Direct Payments paid in accordance with S172(a) Children Act 1989) and to payments made to a child aged 16 or 17 (Direct Payments paid in accordance with S17A (2) (b) Children Act 1989).
8. The Recipient will not use the Direct Payment;
  - (a) to employ/pay for services provided by a local authority, NHS authority or NHS trust.
  - (b) for permanent residential care for adults or for provision of residential accommodation for a disabled child or disabled young person for any single period in excess of 4 weeks and for more than 120 days in any period of twelve months.

## **9-25 RESPONSIBILITIES OF THE DIRECT PAYMENT RECIPIENT**

- 9 The Recipient agrees that it is his/her responsibility to make all appropriate arrangements to meet the identified needs and agrees to comply with all legal requirements that may arise in making such appropriate arrangements including all Inland Revenue requirements and applicable employment legislation, to include Stakeholder Pensions and Redundancy requirements as appropriate.
  
- 10 In order to enable the Council to monitor the use by the Recipient of the Direct Payment, the Recipient will:-
  - (a) use the bank account number and ensure it will be used only for all transactions in respect of the Recipient's care plan.
  
  - (b) notify the Council as soon as possible of any changes in circumstances and details of the use of any element of the contingency funds (in a form specified by the Council). Failure to comply with this requirement will result in the Direct Payments being suspended.
  
  - (c) to maintain up to date records, supply these records to the Council when requested to do so, and retain all financial records for the current financial year and the preceding 6 years.
  
  - (d) Pay for their care by either cheque or a direct debit. Cash transactions are not acceptable.
  
  - (e) To pay into the above bank account each time a Direct Payment is deposited, monies identified as the service user contribution, where applicable.
  
  - (f) Small Packages of Care – New Service Users  
If your Direct Payment package is on average 15 hours per month or less, you may not be subject to regular full financial inspections. Instead, the

monitoring of your Direct Payment may be dealt with under an annual “self certification” scheme.

This will mean that:

- The Direct Payments team will undertake an initial 6 week check (see 6.1 in this Contract).
- After the first check with you to make sure you are happy using the Direct Payment system and that your financial records have been satisfactorily maintained, you will be asked to submit an annual “self certification” form. This will include a declaration that you have used your Direct Payment monies in accordance with the Direct Payments scheme, acknowledging that the Health & Community Directorate retains the right to audit your records if they want to.
- You should continue to maintain and retain all records as listed in Section 10c of this Contract.

(g) Established Direct Payment Service Users – Those established Direct Payment service users who are able to demonstrate they have maintained records as required by the scheme and have had regular monitoring checks, may also be given the option of “self certifying” on an annual basis. This option will be a joint decision between the Direct Payments monitoring service and the service user, and an assessment of risk will take place. The Health & Community Directorate retains the right to audit service users’ records at any time. You should continue to maintain and retain all records as listed in Section 10c of the Contract.

11 There may be a number of reasons why a surplus has accrued in the bank account. For example, there may be outstanding tax or national insurance not yet due or paid. The contingency money will also be kept in the bank account as a reserve. Alternatively, the Recipient may be ‘saving care’ to cover extra costs that would be incurred

when they take personal assistant(s) with them to a special event. However, this need must be agreed with their Social Worker and identified with relevant details on their care plan. The credit balance should be explained to the satisfaction of the Direct Payment Manager. However, if there is a credit balance in the account without a satisfactory reason, the Local Authority will reduce the Recipient's next payment.

12 Without prejudice to its rights (to terminate this agreement, under paragraphs 15 and 24) the Council may require the Recipient to repay to the Council the Direct Payment or any part of it if the Council is satisfied that:-

- (a) the Direct Payment or any part of it has not been used to secure the provision of the Services or some part of the Services, or
- (b) the Recipient has not met the conditions set out in paragraphs 7 or 8 or any other conditions of this agreement, or
- (c) the Recipient has received payment from a third party (for example, the Independent Living Fund) for the Services or some part of the Services.

13 If the Recipient is admitted to hospital or other full time care, the Council will pay the Direct Payment in full for the first 14 days of any such admittance (subject to a maximum payment of 14 days in any 12 month period) and shall pay half of the Direct Payment for the following 14 days of any such admittance (subject to a maximum of 14 days in any 12 month period). Thereafter, the Direct Payment shall be suspended until the Recipient is discharged from hospital or other care and recommences to receive the Services. In any other circumstances, the Council may make a temporary suspension of the Direct Payment if the Recipient is temporarily unable to receive the Services for any other reason.

- 14 It is the responsibility of the recipient of Direct Payments to name a person to administer closure of the Direct Payment in the event of their death. It is this person's responsibility to ensure that non-committed funds are returned to the Directorate.
- 15 It is the responsibility of the Direct Payment recipient to ensure that legal requirements, common sense and good practice are adhered to and ensure that the people they employ are not put at risk of being injured or infected as a result of the work they do. When a personal assistant comes into a Direct Payment recipient's home both parties take on extra responsibilities.

It is the Direct Payment recipient's responsibility to provide a healthy and safe workplace for people they employ and not to do anything, or ask them to do anything which may cause them injury. It is also the duty of the person being employed not to do anything which might endanger either themselves or the Direct Payment recipient at any time.

(See "Guide to Employing Personal Assistants").

- 16 The service user is responsible for manual handling risk assessments, and the Direct Payments Manager will feed back any concerns regarding the use of equipment to the Independent Living Team.
- 17 The Recipient has the right to complain under the Council's Social Care, Housing and Health Directorate's complaints procedures about the operation of this agreement, but not regarding the service purchased direct from an agency or regarding matters relating to the employment of personal assistants.
- 18 Either party may terminate this agreement by giving the other party 4 weeks notice in writing.

- 19 The Recipient will notify the Council of any changes in circumstances as soon as possible.
- 20 The Recipient will allow a representative of the Council reasonable access to:-
  - (a) their home to enable a review of the care needs, and
  - (b) papers on transactions relating to spending of their Direct Payment monies.
- 21 The Recipient will be liable for payments under the Council's Charging Policy for the Community Care Services and payment will be made in accordance with the standing policy and procedures (see paragraph 10e), if appropriate. The Recipient agrees that such charges may be deducted at source from the Direct Payment.
- 22 Calculation of the Direct Payment will be made in accordance with the Rate of Pay Schedule contained in the statement letter and the Care Plan details. These will both be reviewed annually.
- 23 The Recipient must seek the Social Worker's approval for all expenditure of Contingency Fund monies. Any Contingency Fund may be used:-
  - (a) for covering illness of the Recipient that requires 1-3 days increased support, or
  - (b) in exceptional circumstances as agreed with the Social Worker in advance if possible
  - (c) to pay Statutory Sick Pay to Personal Assistants when they are unable to provide services to the Recipient due to illness in accordance with Statutory Sick Pay Regulations made by the Department of Social Security.
- 24 If there is a problem with the Recipient overspending the Direct Payment, then advice and support should be offered

and the overspend rectified. If the problem persists, then the Direct Payment Manager may need to reassess the ability of the Recipient to manage the scheme, or a reassessment of need may need to be undertaken by a Social Worker. If the Recipient spends more money than is allowed in the Direct Payment package, then they are liable for this extra support from their private funds. If Services paid for have not been received, it is the responsibility of the Recipient to seek a refund from the Service provider. Equally, the Service provider should pursue the recovery of debts from the Recipient, if services have been received and not paid for.

If the Recipient disputes the amount determined by the Council, he/she may appeal against the decision. The Act gives the Local Authority the power to seek a repayment if the monies made available have not been used to purchase services identified in the Care Plan and contract, or were used to purchase a service from any of the people identified as being excluded. It is essential that honest mistakes are seen as such, and repayments should only be sought where monies have been spent inappropriately or not spent at all.

- 25 The Recipient may not assign or otherwise subcontract responsibility of any part of the Agreement without the prior written consent of the Council.
- 26 Neither the Recipient of Direct Payments nor his/her employee(s) shall, in any circumstances, hold themselves out as being:-
  - (a) the servant or agent of the Council, nor
  - (b) authorised to enter into any contract on behalf of the Council in any way to bind to the performance, variation, release or discharge of any obligation.



## **27-29 RESPONSIBILITIES OF THE COUNCIL**

- 27 (a) Any of the terms and conditions of this agreement are not being met by the Recipient after advice and support have been given to assist the Recipient to meet these terms and conditions.
- (b) The Recipient is not spending the Direct Payments, or any part of them on Services to meet the needs identified in the Care Plan after advice and support have been given by the Council.
- (c) In terminating this agreement, the Council will provide up to 4 weeks monies in order to finalise this arrangement.
- 28 In the event that the arrangement by the Recipient for the provision of the Service to him/herself breaks down (including back up arrangements), whether in an emergency or not, the Council undertakes to ensure that the Recipient receives the Services that the person has been assessed to receive to meet their agreed needs. It is the responsibility of the Recipient to notify their Social Worker immediately of any such situation.
- 29 The Council will:-
- (a) provide support and advice to Recipients of Direct Payments to enable them to receive and manage their payments, and to advise of any changes in relevant legislation;
- (b) make payments as detailed in this agreement, for the purchase of services as agreed;
- (c) have no responsibility for the service(s) purchased, beyond the provision of the Direct Payment;
- (d) formally review the assessment every 12 months or more frequently if required by the Recipient or their Social Worker (and subsequently payment may be varied accordingly);

- (e) monitor and audit the spending of Direct Payments.
- 30 The Recipient of the Direct Payment is recommended to, and is responsible for obtaining employer’s liability insurance and public liability insurance.
- 31 The authority is not liable to pay VAT, and it is not possible for the authority to make extra provision to cover the cost of VAT.
- 32 The Recipient of the Direct Payment is required to, and is responsible for obtaining **Enhanced** Criminal Records Bureau Checks of his/her potential employee(s).
- 33 Variations to this Agreement may only be made by the written consent of both parties, other than variations in the assessment.
- 34 The Council and the Recipient agree to comply with all current and future legislation relevant to the provision of this Service.
- 35 Recipients of Direct Payments who choose to adopt this means of meeting their needs are advised to consult the Direct Payments Manager for advice and support.
- 36 *“I agree to information given about myself being used and processed by the Council for the purposes of the administration of the Direct Payments account and other legal purposes of the Council. I also agree that the information may be shared with other agencies on my behalf and that my details will be held on a database”.*

IN WITNESS WHEREOF the parties hereto have signed this agreement the day and year first before written

Signed by  
For and on behalf of  
Halton Borough Council

Signature .....

In the presence of:

Signature of Witness .....

Name of Witness .....

Address of Witness .....

.....

Signed by the said

In the presence of: ..... (recipient sign here)

*(service user signature or power of attorney)*

Name of Witness: ..... (witness)

Address of Witness: .....

.....

Signature of Witness: ..... (witness sign here)

Name and .....

Address of Person

Identified to administer .....

Closure of account in

The event of death .....

**APPENDIX 6**

**DIRECT PAYMENTS SELF CERTIFICATION FORM**

New service users whose Direct Payment packages average 15 hours per month or less may “self certify” in certain circumstances. Established Direct Payment service users who are able to demonstrate they have maintained records as required by the scheme may also be invited to “self certify”. If service users choose this option, then the following declaration must be completed:

I ..... (name of service user) hereby declare that I have received Direct Payments for my support needs.

I confirm that the funds received from Halton Borough Council have been used to provide services to meet the needs detailed in my Care Plan.

I further confirm that I have complied with all Inland Revenue requirements and employment legislation, (where applicable). I also confirm that I have maintained adequate employer’s liability insurance (where applicable), maintained all records and agree to keep all records as per Section 10c in the Contract.

This self-certification covers the period from ..... to .....

Details on last bank statement:

Bank Statement Number .....

Period covered from ..... To .....

Balance .....

I acknowledge that Halton Borough Council retains the right to audit my accounts.

SIGNED ..... PRINT NAME .....

DATE .....

**REPORT TO:** Executive Board Sub Committee

**DATE:** 25<sup>th</sup> July 2008

**REPORTING OFFICER:** Strategic Director, Health & Community

**SUBJECT:** Review of Travel Policy & Procedure relating to Social Care Services

**WARDS:** Borough-wide

### 1.0 PURPOSE OF REPORT

1.1 To seek the Board's approval for the proposed changes to the Travel Policy & Procedure for the Health & Community Directorate.

### 2.0 RECOMMENDED: That

**(1) The Board approves the changes outlined in section 3.5 of this report and the appended Policy & Procedure**

### 3.0 SUPPORTING INFORMATION

3.1 Satisfaction with transport services improved during 2007/08. Three surveys conducted by Transport Co-ordination in May and August 2007 and March 2008 show increased and maintained transport service user satisfaction ratings. There has been a significant capital investment in the Council fleet in 2007/8.

3.2 A review of operational practice in 2007 revealed high usage of sole occupancy contracts. The annual cost of sole occupancy contracts at the time was £76,375 for 19 in-borough and 5 out-of-borough services. As a consequence of these high costs, criteria were developed (Appendix 1) to ensure that a Panel subjected the costs of sole occupancy transport to approval as part of the care assessment process.

3.3 Given increased transport usage per day with day centre modernisation, demonstrable improvements in service quality, previous consultation responses and the need to cover a greater proportion of the service/petrol costs and assumed budgetary savings targets, increases to transport charges were approved by full Council on 5<sup>th</sup> March 2008 and Executive Board Sub Committee on 20<sup>th</sup> March 2008. The charge for a single journey increased from 50p to **£1.00**. Executive Board Sub Committee Members also approved amendment to the maximum weekly charge, **irrespective of the number of journeys undertaken**, as follows, to charge a maximum weekly charge of:-

- **£10.00**, to those not in receipt of the higher rate mobility component of Disability Living Allowance

- 50% of the higher rate mobility component of Disability Living Allowance (£46.75/week), ie **£23.00** per week to those in receipt of it.

3.4 On average, 520 service users currently receive transport services from Transport Co-ordination each month. The service continues to change and expand due to the redesign of the provision of day services, which has led to wider dispersal of daytime activities including gardening, catering, crafts and drama across 14 centres.

3.5 The Travel Policy and Procedure has been amended in the following areas to:-

- promote a range of travel options available to adults over the age of 18 who access social care services:-
  - with an update on the concessionary travel pass which can now be used nationwide,
  - with information on the Blue Badge Scheme
- introduce a criteria for the single occupancy use of taxis or other LA provided transport
- place emphasis on reducing air pollution and encourage the use of sustainable resources by promoting the use of public transport.
- Include an Eligibility Quick Practice Guide as Appendix 1 to this report, which professionals may detach and take with them on visits.

#### 4.0 **POLICY IMPLICATIONS**

4.1 Revisions to the Draft Transport Policy, Procedure and Practice have been amended in line with 3.5 above. The introduction of the eligibility quick practice guide including the criteria for single occupancy vehicles represents a policy change.

4.2 Healthy Halton PPB and Urban Renewal PPB support the revisions to the Travel Policy, Procedure and Practice and noted that a further report will be submitted to the November PPBs on the impact of charges. Urban Renewal PPB also noted the quality of the service being provided and the investment made in new vehicles.

#### 5.0 **OTHER IMPLICATIONS**

5.1 None.

#### 6.0 **IMPLICATIONS FOR THE COUNCIL'S PRIORITIES**

##### 6.1 **Children & Young People in Halton**

An effective transport service supports the independence of vulnerable children and young people.

**6.2 Employment, Learning & Skills in Halton**

Not applicable.

**6.3 A Healthy Halton**

The proposal promotes a range of travel options available to people, by encouraging and supporting independent travel, as well as managing financial resources effectively and ensuring value for money.

**6.4 A Safer Halton**

None.

**6.5 Halton's Urban Renewal**

The proposal would maintain and develop the Local transport network, meeting the needs of residents in Halton.

**7.0 RISK ANALYSIS**

**7.1** It is inevitable that a small number of service users, families and carers will not support increased charges for transport and there is a risk that some service users may refuse to pay. However, to date 99.9% of service users have paid the charge for transport. In instances where service users do not pay and accrue a debt, existing debt recovery processes are administered to recover the debt. However, every effort will be made to encourage service users to travel independently and to apply for benefits and concessionary bus passes they are entitled to.

**8.0 EQUALITY & DIVERSITY ISSUES**

**8.1** None associated with this report.

**9.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

**9.1** There are no background papers under the meaning of the Act.

## **APPENDIX 1**

### **TRAVEL POLICY, PROCEDURE & PRACTICE**

#### **ELIGIBILITY QUICK PRACTICE GUIDE**

##### **Use of public transport to access services**

For individuals who are able to travel independently or are able to be supported to travel independently, options such as the Travel Training initiative, public transport, use of concessionary travel passes and use of the Disability Living Allowance (Motability component) should be discussed with them.

##### **Fleet transport / multiple occupancy of a vehicle**

In order to use fleet transport or any other multiple occupancy vehicle provided under contract by the Council (including taxis and volunteer driver vehicles) the individual must be eligible to receive transport in accordance with Sections 1.4 and 3.1 of this Policy. To reiterate, the individual:

- Should be unable to travel independently.
- Does not have access to personal transport or lives with a carer/family member (ie, someone who is not paid to provide care) who has personal transport but is unable to transport them to/from the service due to employment or other caring commitments, illness or incapacity.
- Does not have a motability vehicle.
- Cannot gain access to other voluntary or private transport that is available.

##### **Single occupancy**

In addition to the indicators for transport funded by the Council above, to qualify for single occupancy of a taxi or any other vehicle provided under contract by the Council, the individual must have:

- A high level of challenging behaviours requiring a Level 2 risk assessment and a risk management plan to manage safety, which specifies why a single occupancy taxi/vehicle is necessary.

##### **Important:**

When an assessment or review is carried out for services, an assessment for transport services should be undertaken at the same time and presented to Panel. For single occupancy taxis/vehicles to be used, Panel must approve that the above criteria has been met. The Level 2 risk assessment must be supplied to Transport Co-ordination along with the Transport Request Form.





# HEALTH & COMMUNITY TRANSPORT REQUEST FORM

 Customer  
Reference No.
   
.....

<b>Transport Service:</b> <i>(delete as appropriate)</i>	<b>ALD</b>	<b>PSD</b>	<b>MH</b>	<b>OP</b>	<b>ILS</b>	<b>ICS</b>
	Adults with Learning Disabilities	Physical & Sensory Disabilities	Mental Health	Older People	Independent Living Services	Intermediate Care Services

<b>Service User's Name:</b>	.....	<b>Date of Birth:</b>	.....
<b>Address:</b>	.....		
<b>Post Code:</b>	.....	<b>Telephone Number:</b>	.....
<b>Carer/Next of Kin Name:</b>	.....		
<b>Relationship:</b>	.....	<b>Telephone Number:</b>	.....
<b>Alternative Emergency Address:</b>	.....		
<b>Social Worker Name:</b>	.....	<b>Contact Number:</b>	.....

<b>Transport Details:</b>	Regular / One Off / Short Term / Temp Medical / Alteration / Recommence / Additional		
<b>Cancellation:</b>	Permanent / Until Further Notice / One Off		
<b>Day(s):</b>	.....	<b>Date effective:</b>	.....
<b>From:</b>	.....		
<b>To:</b>	.....		
<b>Can Travel:</b>	On Fleet Vehicle Y / N	In taxi Y / N	In Minibus Y / N
	With Volunteer Driver Y / N	With Other Service Users Y / N	
	On Bus Service with a Travel Pass Y / N	Travel Training Required Y / N	
<b>Transport Choice Preference 1:</b>	.....		
<b>Transport Choice Preference 2:</b>	.....		
<b>Eligibility Criteria Met:</b>	YES / NO	<b>Service User / Carer Agreed to Charges</b> (Please Strike Through)	YES / NO
		<b>Signed By:</b>	.....
<b>If not statutory distance, state reason transport awarded:</b>	.....		

<b>Risk Assessment Date:</b>	.....		
<b>Special Conditions:</b>	.....		
<b>Nature of disability:</b>	.....		
<b>Passenger Assistant Required:</b>	YES / NO	<b>Any Specific Requirement:</b>	.....
<b>Medication Details:</b>	.....	<b>Access Requirements:</b>	.....
<b>Can be left at home alone:</b>	YES / NO	<b>Any Other Information:</b>	.....
<b>Mobility:</b>	.....	<b>Mobility Aids:</b>	.....
<b>IF WHEELCHAIR, PLEASE COMPLETE CONTINUATION SHEET</b>			

<b>Requested by (Name):</b>	.....	<b>Contact No:</b>	.....
<b>Authorised by (Name):</b>	.....	<b>Team:</b>	.....
<b>Position:</b>	.....	<b>Contact No:</b>	.....
<b>Above Request Meets Criteria:</b>	Y / N	<b>If No, Reason:</b>	.....
<b>If No, has been agreed by Divisional Manager:</b>	Y / N	<b>Name of DM:</b>	.....



# CONTINUATION SHEET

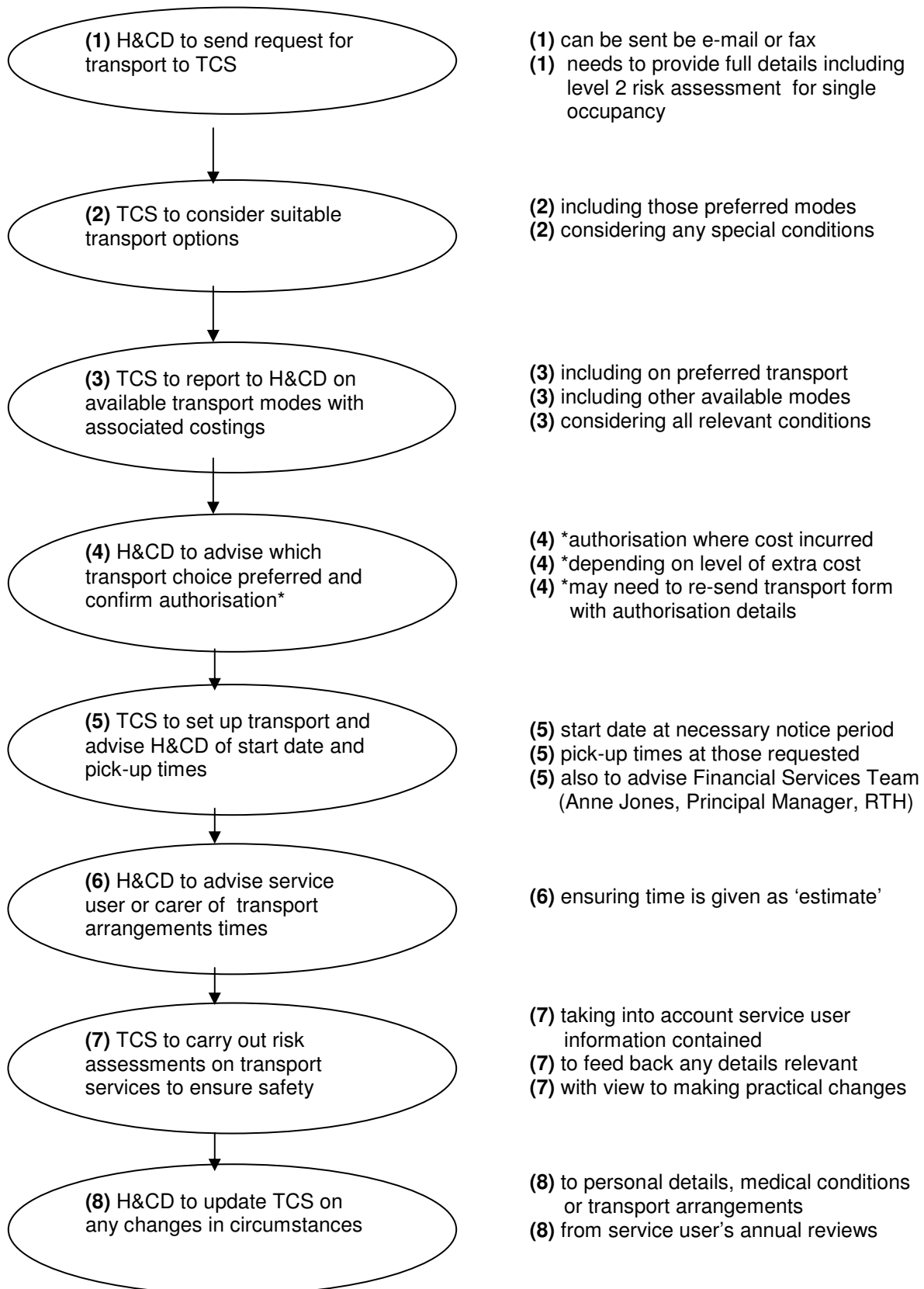
Service User's Name: .....

<b>Wheelchair Type:</b>	Manual / Powered	<b>Model:</b>	.....	
<b>Wheelchair Dimensions:</b>	<b>Height:</b>	<b>Length:</b>	<b>Width:</b>	
	.....	.....	.....	
<b>If can transfer, can wheelchair be folded:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>	
<b>2<sup>nd</sup> Wheelchair Type:</b>	Manual / Powered	<b>Model:</b>	.....	
<i>(If Applicable)</i>				
<b>Wheelchair Dimensions:</b>	<b>Height:</b>	<b>Length:</b>	<b>Width:</b>	
	.....	.....	.....	
<b>If can transfer, can wheelchair be folded:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	N/A <input type="checkbox"/>	
<b>Seating System:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<b>Details:</b> .....	
<b>Wheelchair Weight:</b>	.....		<b>Passenger's Weight:</b> .....	
<b>Overall Weight (wheelchair with occupant):</b>	.....			
<b>MODIFICATIONS FOR MAIN WHEELCHAIR (please provide details):</b>				
<b>Knee Blocks:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<b>Details:</b> .....	
<b>Elevating Leg Rest:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<b>Details:</b> .....	
<b>Footboard:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<b>Details:</b> .....	
<b>Tray:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<b>Details:</b> .....	
<b>Communication Aid Mounting:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<b>Details:</b> .....	
<b>Oxygen Cylinder Carrier:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<b>Details:</b> .....	
<b>Recliner Back:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<b>Details:</b> .....	
<b>Extended Back Rest:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<b>Details:</b> .....	
<b>Head Rest:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<b>Details:</b> .....	
<b>Kerb Climbers:</b>	YES <input type="checkbox"/>	NO <input type="checkbox"/>	<b>Details:</b> .....	
<b>Harness Type:</b>	.....			

**RETURN BY: e-mail: [transport.co-ordination@halton.gov.uk](mailto:transport.co-ordination@halton.gov.uk) fax: [0151 471 7521](tel:01514717521)**

**APPENDIX 2**

**FLOW-CHART DIAGRAM FOR TRANSPORT REFERRAL**



**H&CD** = Health & Community Directorate

**TCS** = Transport Co-ordination Section

**TRAVEL POLICY, PROCEDURE & PRACTICE****ELIGIBILITY QUICK PRACTICE GUIDE****Use of public transport to access services**

For individuals who are able to travel independently or are able to be supported to travel independently, options such as the Travel Training initiative, public transport, use of concessionary travel passes and use of the Disability Living Allowance (Motability component) should be discussed with them.

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**Fleet transport / multiple occupancy of a vehicle**

In order to use fleet transport or any other multiple occupancy vehicle provided under contract by the Council (including taxis and volunteer driver vehicles) the individual must be eligible to receive transport in accordance with Sections 1.4 and 3.1 of this Policy. To reiterate, the individual:

- Should be unable to travel independently.
  - Does not have access to personal transport or lives with a carer/family member (i.e. someone who is not paid to provide care) who has personal transport but is unable to transport them to/from the service due to employment or other caring commitments, illness or incapacity.
  - Does not have a motability vehicle.
  - Cannot gain access to other voluntary or private transport that is available.
- 

**Single occupancy**

In addition to the indicators for transport funded by the Council above, to qualify for single occupancy of a taxi or any other vehicle provided under contract by the Council, the individual must have:

- A high level of challenging behaviours requiring a Level 2 risk assessment and a risk management plan to manage safety, which specifies why a single occupancy taxi/vehicle is necessary.
- 

**Important:**

When an assessment or review is carried out for services, an assessment for transport services should be undertaken at the same time and presented to Panel. For single occupancy taxis/vehicles to be used, Panel must approve that the above criteria has been met. The Level 2 risk assessment must be supplied to Transport Co-ordination along with the Transport Request Form.

**REPORT TO:** Executive Board Sub Committee  
**DATE:** 25th July 2008  
**REPORTING OFFICER:** Strategic Director – Health & Community  
**SUBJECT:** Review of Volunteer Driver Mileage Rates  
**WARDS:** All

## 1.0 PURPOSE OF REPORT

1.1 To set out the current position and the options to amend Volunteer Driver mileage rates.

## 2.0 RECOMMENDATIONS

2.1 It is recommended that:-

- (1) **mileage rates for volunteer drivers be increased from 33.5p to 40p per mile, when driving in excess of 10,000 miles; and**
- (2) **the Strategic Director - Health & Community, in consultation with the Portfolio Holder for Health & Social Care, be authorised to review and amend the volunteer driver mileage rate and arrangements having regard to the actual costs of motoring.**

## 3.0 SUPPORTING INFORMATION

### 3.1 Background and Current Position

3.1.1 The Volunteer Driver scheme is a long-running, person-centred service managed by Transport Co-ordination for Adult Social Care and Children's Services. Volunteer Drivers use their own vehicles, which are road safety checked by the Council. All Drivers are CRB checked and have undertaken Training.

3.1.2 There are 15 volunteer drivers, who drove 177,919 miles in 2007/08. The average number of miles per driver is 11,861.

3.1.3 Following an internal audit of operational practice of the volunteer driver scheme in 2006/7 and to ensure payments were in line with 'Volunteering England's' guidelines for tax-free mileage allowance payments, the mileage rate for all volunteers was reduced from 44.8p to 40p for the first 10,000 miles and 25p per mile thereafter.

3.1.4 In December 2007, the Council's volunteer mileage rate for driving above 10,000 miles was increased from the Inland Revenue approved mileage rate of 25p to 33.5p. The volunteer, if driving above 10,000 miles, should now declare payments made by the Council and their expenses to the Inland Revenue, who would then determine the volunteer's tax liability as summarised below:-

<b>Summary volunteer driver rates</b>	<b>Inland Revenue approved rates</b>	<b>Council's volunteer mileage rates from Dec 2007</b>	<b>Tax payable to Inland Revenue</b>
Up to 10,000 miles	40p	40p	No
Over 10,000 miles	25p	33.5p	Yes

3.1.5 Eleven volunteers stopped driving in 2007/08, 6 because of the rising cost of fuel/combined mileage rates and 5 for personal reasons.

3.1.6 Using information from the AA, the present rates of 40p for less than 10,000 miles and 33.5p above 10,000 miles, would allow the driver to recover their costs of motoring for a car costing under £10,000. However, if a volunteer drives a car costing more than £10,000 when new, the costs of motoring will not be recovered.

3.1.7 Any increase above these rates would lead to a "taxable profit" in the Inland Revenue's eyes with tax potentially being paid by the driver or the driver having to confirm their true cost of motoring.

3.2 Comparison of Halton's rates against Neighbouring Local Authorities.

3.2.1 The following table shows responses to an email survey conducted by Transport Co-ordination into the mileage rates paid by neighbouring Local Authorities to volunteer drivers. This reveals the proposed option 2 is in line with payment rates of neighbouring and other Local Authorities.

3.2.2 Several Authorities do not use volunteer drivers to transport service users.

### 3.3 Financial Options

The following options have been considered:-

#### 3.3.1 Option 1

Continue paying all volunteers the present mileage rates of 40p up to 10,000 miles and 33.5p above 10,000 miles or revert to the Inland Revenue Mileage approved rate of 25p above 10,000 miles.

This could lead to a loss of volunteers but would reduce costs.

#### 3.3.2 Option 2

Pay volunteers a flat mileage rate of 40p.

Volunteers would be more inclined to drive over 10,000 miles as their costs would be covered, although they would have to submit details of the income and all motoring expenses to the Inland Revenue. Volunteer Drivers will need to be advised of their obligations in respect of a tax with a letter issued, as for the APS service.

The cost would be an additional £5550 if 7 of the existing drivers continued to drive above 10,000 miles.

#### 3.3.3 Option 3

Pay volunteers a rate above 40p per mile or a salary for driving their own car on a

<b>2008/9</b>	<b>Volunteer Mileage rate if paid</b>
Knowsley	Awaited
St Helens	<i>Do not use volunteers</i>
Liverpool	Awaited
Salford	Awaited
Vale Royal	44.29p
Lancashire	40p all mileage
Wirral	40p all mileage
Warrington	<i>Do not use volunteers</i>
Bolton	<i>Do not use volunteers</i>
Manchester City	<i>Do not use volunteers</i>
Wigan	<i>Do not use volunteers</i>
Cheshire CC	Awaited
Telford & Wrekin	38.5p all mileage
Carmarthenshire CC	40p all mileage
Suffolk County Council	39p all mileage
Essex County Council	40p first 10,000 miles then 20p per mile thereafter
Falkirk	40p all mileage
Perth & Kinross	38.1p all mileage

casual basis.

If volunteers received payments which attracted income tax, they might need to licence their cars as a private hire vehicle. They would have to declare all earnings as a self-employed person and could no longer claim that they were “volunteer” drivers.

#### 3.3.4 Option 4

Employ volunteers as casual drivers using HBC fleet vehicles.

It may be necessary to purchase additional vehicles if the current fleet could not meet demand. The volunteer would become an employee of HBC. This would be at a considerable additional cost and, on a value for money basis, more costly than taxis.

3.3.5 Of the above, option 2 strikes the best balance between appropriate remuneration, retaining volunteers and ease of process.

3.3.6 In addition, the volunteer driver mileage rate will be subject to quarterly review, given that the current price of fuel will fluctuate. Benchmark information from the AA or Inland Revenue will be used to set the rate.

#### 4.0 **POLICY IMPLICATIONS**

4.1 If the recommendations are accepted, any policies for volunteer drivers will need to be amended for Health & Community and Children’s and Young People’s Directorates.

4.2 Legally, it is important that rates are related to the actual costs of motoring as this safeguards volunteer status. The proposed delegated power to the Strategic Director is intended to be exercised on a quarterly basis having regard to benchmark information including that published by the AA and Inland Revenue.

#### 5.0 **OTHER IMPLICATIONS**

5.1 Not applicable.

#### 6.0 **IMPLICATIONS FOR THE COUNCIL’S PRIORITIES**

##### 6.1 **Children & Young People in Halton**

Under the Every Child Matters agenda, transport facilities for children with disabilities must be provided to ensure that children stay safe.

##### 6.2 **Employment, Learning & Skills in Halton**



A thriving volunteer service promotes community cohesion and provides meaningful activity and purpose for the volunteer.

**6.3 A Healthy Halton**

The proposal would promote a range of travel options and support Halton's Volunteering Strategy. The volunteers provide a very supportive service for some of the most vulnerable service users.

**6.4 A Safer Halton**

None.

**6.5 Halton's Urban Renewal**

The proposal would maintain the viability of the volunteer transport service.

**7.0 RISK ANALYSIS**

7.1 If rates are maintained at the existing levels there is a high risk that more volunteers will leave and more journeys will need to be made using taxis.

7.2 Contingency plans will be put in place to ensure continuity of service provision should further volunteer drivers leave and not be replaced by other volunteers.

**8.0 EQUALITY & DIVERSITY ISSUES**

8.1 Not applicable.

**9.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

9.1 There are no background papers under the meaning of the Act.

**REPORT TO:** Executive Board Sub-Committee

**DATE:** 25<sup>th</sup> July 2008

**REPORTING OFFICER:** Operational Director – Financial Services

**SUBJECT:** Treasury Management 2008/09  
1st Quarter: April-June

**WARDS:** Boroughwide

## 1.0 PURPOSE OF REPORT

1.1 The purpose of the report is to update the Sub-Committee about activities undertaken on the money market as required by the Treasury Management Policy.

**2.0 RECOMMENDED: That the report be noted.**

## 3.0 SUPPORTING INFORMATION

### 3.1 Short Term Rates

The base rate fell from 5.25% to 5.00% on 10th April 2008.

This is the fourth consecutive cut in the base rate.

The Monetary Policy Committee is facing a testing period. With inflation rising and the economy slowing, there is little room to manoeuvre with interest rates.

	Start	April		May		June	
		Mid	End	Mid	End	Mid	End
Call Money (Market)	%	%	%	%	%	%	%
1 Month (Market)	5.50	5.10	5.10	5.10	5.10	5.10	5.20
3 Month (Market)	5.75	5.50	5.45	5.40	5.40	5.45	5.30
	6.00	5.90	5.84	5.80	5.85	5.91	5.75

### 3.2 Longer Term Rates

Longer rates firmed up during the period and were never attractive enough for the authority to consider new borrowing.

	Start	April		May		June	
		Mid	End	Mid	End	Mid	End
	%	%	%	%	%	%	%
1 Year (Market)	5.80	5.75	5.80	5.90	6.05	6.45	6.40
10 Year (PWLB)	4.56	4.60	4.86	4.97	5.20	5.48	5.24
25 Year (PWLB)	4.64	4.67	4.77	4.86	4.94	5.09	4.94

The PWLB rates are for “lower quota” entitlements.

### 3.3 Temporary Borrowing/Investments

Turnover during period

	No. Of Deals Struck	Turnover £m
Short Term Borrowing	5	10.40
Short Term Investments	42	58.75

The turnover on investments was relatively low, reflecting the fixture of the bulk of the council's investments into fixed rate, fixed term deals before Christmas in anticipation of rates falling.

Position at Month End

	April £m	May £m	June £m
Short Term Borrowing	1.00	NIL	2.50
Short Term Investments	41.20	48.25	45.20

The authority's cash flow through the period was positive, which is normal for the early part of the financial year as grant and council tax income in received.

Investment Income Forecast

The forecast income and outturn for the quarter is as follows:

	Cumulative Budget £'000	Cumulative Actual £'000	Cumulative Target Rate %	Cumulative Actual Rate %
Quarter 1	458	674	5.08	5.87
Quarter 2	936	0	0.00	0.00
Quarter 3	1,331	0	0.00	0.00
Quarter 4	1,700	0	0.00	0.00

The target income was exceeded due to the excellent rate of interest currently being earned on investments. By locking investments in for slightly longer periods last year, the investment rate is secure well into the current year.

### 3.4 Longer Term Borrowing/Investments

The authority did not borrow any new long term money. Three longer investment deals (greater than 12 months) were undertaken during the period all for £2.5m. They were placed at 6.20%, 6.52% and 6.56%.

### 3.5 Policy Guidelines

Interest Rate Exposure – complied with.

Approved Counterparty List – following various reports from the credit rating agencies, the authority has been particularly careful in placing money into investments, especially for those deals of longer duration. During the quarter a one year investment was made with Derbyshire Building Society which meant that the limit for funds lent (limit £2.5m actual £5m) for more than three months with that organisation was exceeded for 14 days. It was felt that the Derbyshire was the best counterparty on the day offering the particular rate which was being sought. This decision reflects the difficulty in finding a secure place for money being placed into the market for longer periods. The period of exposure has now lapsed and the current lending to this organisation is back within the set limits.

Borrowing Instruments – complied with.

Prudential Indicators – complied with:

- Operational Boundary for external debt;
- Upper limit on interest rate exposure on fixed rate debt;
- Upper limit on interest rate exposure on variable rate debt;
- Maturity structure of borrowing as a percentage of fixed rate borrowing;
- Total principal sums invested for periods longer than 364 days;
- Maturity Structure of New Fixed rate Borrowing during 2005/06.

#### **4.0 POLICY IMPLICATIONS**

4.1 None.

#### **5.0 OTHER IMPLICATIONS**

5.1 None.

#### **6.0 IMPLICATIONS FOR THE COUNCIL'S PRIORITIES**

##### **6.1 Children and Young People in Halton**

None.

##### **6.2 Employment, Learning and Skills in Halton**

None.

##### **6.3 A Healthy Halton**

None.

**6.4 A Safer Halton**

None.

**6.5 Halton's Urban Renewal**

None.

**7.0 RISK ANALYSIS**

7.1 The main risks associated with Treasury Management are security of investment and volatility of return. To combat this, the Authority operated within a clearly defined Treasury Management Policy and an annual borrowing and investment strategy, which set out the control framework.

**8.0 EQUALITY AND DIVERSITY ISSUES**

8.1 There are no issues under this heading.

**9.0 LIST OF BACKGROUND PAPERS UNDER SECTION 100D OF THE LOCAL GOVERNMENT ACT 1972**

There are no background papers under the meaning of the Act.