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24 June 2020

To: All Councillors

As a Member of the **Council**, please treat this as your summons to attend an extraordinary virtual meeting on **Thursday, 02 July 2020 at 6.00pm** via the Zoom application. (Joining details will be provided separately).

Yours sincerely

A handwritten signature in black ink, appearing to be 'Sandra Lamb', written over a light blue circular stamp.

Sandra Lamb
Director of Corporate Services

AGENDA

1. APOLOGIES

Please advise the Committee Team on 01629 761133 or e-mail: committee@derbyshiredales.gov.uk of any apologies for absence.

2. PUBLIC PARTICIPATION

Public Participation, as provided for in the Constitution, is suspended temporarily and is replaced with an alternative mechanism for the public to bring matters to the Council's attention.

Members of the public will be able to comment on any agenda item or matters in the wider public interest and will be invited to submit their questions or comments in writing, before 12 noon on the working day prior to the meeting by:

Webform: [Make your submission here](#)

Email: committee@derbyshiredales.gov.uk

Post: Democratic Services, Derbyshire Dales District Council, Town Hall, Matlock DE4 3NN

The Committee Team will assist any member of the public without access to electronic means by capturing their concerns over the telephone.

Phone: 01629 761133 (working days only 9am – 5pm)

Any such correspondence will be read out at the meeting.

The public will not be admitted to the meeting through virtual means. All meeting proceedings open to the public will be streamed live on our YouTube channel when all non -exempt items are being considered. Recordings of the meeting will also be available after the event on the District Council's website.

3. INTERESTS

Members are required to declare the existence and nature of any interests they may have in subsequent agenda items in accordance with the District Council's Code of Conduct. Those interests are matters that relate to money or that which can be valued in money, affecting the Member her/his partner, extended family and close friends. Interests that become apparent at a later stage in the proceedings may be declared at that time.

4. APPROVAL OF THE MINUTES OF PREVIOUS MEETINGS

Council	16 January 2020
Council (Budget Meeting)	05 March 2020
Council (Extra-ordinary Meeting)	19 March 2020
Council (Extra-ordinary Meeting)	12 May 2020

5. LEADERS' ANNOUNCEMENTS

Announcements of the Leader of the Council:

6. CHAIRMAN'S ANNOUNCEMENTS

Announcements of the Civic Chairman.

7. MAIDEN SPEECHES

To receive the Maiden Speech of newly elected Members:

Councillors Robert Archer, Neil Buttle and Michele Morley.

8. COMMITTEES

To receive the non-exempt minutes of the Committees shown below:

Committee

Date

Non Exempt Minutes to be Received

Council	16 January 2020
Council (Budget Meeting)	05 March 2020
Council (Extra-ordinary Meeting)	19 March 2020
Council (Extra-ordinary Meeting)	12 May 2020
Governance & Resources Committee	09 January 2020
Planning Committee	14 January 2020
Licensing & Appeals Committee	30 January 2020
Planning Committee	04 February 2020
Community & Environment Committee	19 February 2020
Planning Committee	03 March 2020
Governance & Resources Committee	12 March 2020
Licensing & Appeals Sub-Committee (2:00pm)	16 March 2020
Licensing & Appeals Sub-Committee (3:00pm)	16 March 2020
Emergency Committee	21 May 2020
Emergency Committee	04 June 2020
Emergency Committee	11 June 2020

9. QUESTIONS (RULE OF PROCEDURE 15)

Questions, if any, from Members who have given notice.

10. PROPOSAL OF A NOTICE OF MOTION (RULE OF PROCEDURE 16)

MOTION A

The Council will debate the following Motion, submitted by Councillor Jason Atkin, in accordance with Rule of Procedure 16.

That this Council:

“Given what we have seen in other boroughs, districts and local government authorities around the UK in recent weeks, we have a duty to address the legacy of colonialism, slavery and racism in all its forms.

We acknowledge the public outcry of hurt, pain and anger over these legacies and that we undertake a review of all our assets and a report be brought back to full council on completion of the review with recommendations on what assets deemed as having these legacies attached to them and for their removal.”

Page Nos.

11. BUILDING NEW COUNCIL HOUSING

05 – 67

To consider endorsement of the principle of providing housing and approval for a tender exercise to procure the services of a development and management agent, to assist the District Council in the potential investment in a modest programme to build Council houses. Also to delegate authority to the Director of Housing to make applications to register Derbyshire Dales DC with Homes England and the Regulator of Social Housing. A further report will be presented to a future meeting of Council detailing the outcome of the tender process.

12. LOCAL GOVERNMENT BOUNDARY REVIEW

68 – 88

To consider approval of the draft submission to the Local Government Boundary Commission on the size of the Council, for consideration as part of a full review of electoral boundaries within the District, which seeks approval for a recommended Council size of 33.

13. STRATEGIC DIRECTOR RECRUITMENT

89 – 102

To consider a report seeking approval of proposals to realign organisational resources in order to ensure that the Council is adequately resourced to deal with existing and future priorities and challenges.

14. DECISION MAKING RECOVERY PLAN

103 – 106

To consider a report seeking approval for the resumption of decision making through the full committee system.

- | | |
|--|------------------|
| 15. EXTENSION OF EMERGENCY DECISIONS MADE UNDER EXTENDED DELEGATION ARRANGEMENTS | 107 – 109 |
| To receive a report informing Members of decisions, made under delegated arrangements that allowed temporary deviation from the Council’s Taxi Licensing Policy and consider approval for an extension of delegated arrangements, for further periods as detailed in the report. | |
| 16. NEW VISION FOR DERBYSHIRE – NON STRUCTURAL REFORM (PHASE 2) | 110 – 114 |
| To note an update report on the development of a new vision for Derbyshire and the work to take forward non-structural reform. Also to consider approval for the Council's active participation in Phase 2 and the associated costs of supporting Price Waterhouse Coopers. | |
| 17. CORPORATE PEER CHALLENGE – ACTION PLAN | 115 – 135 |
| To receive and consider approval of the draft Corporate Peer Challenge Action Plan. | |
| 18. MATLOCK TOWN HALL – BUILDING ADAPTATIONS RELATING TO COVID 19 | 136 – 146 |
| To note a report on work already undertaken at the Town Hall and consider approval for an additional revenue expenditure of £40,000 to be made available for proposed building adaptation works. | |
| 19. SEALING OF DOCUMENTS | |
| To authorise that the Common Seal of the Council be affixed to those documents, if any, required completing transactions undertaken by Committees or by way of delegated authority to others, since the last meeting of the Council | |

NOTE

For further information about this Agenda or on “Public Participation” call 01629 761300 or e-mail: committee@derbyshiredales.gov.uk

COUNCIL
2nd JULY 2020

Report of the Director of Housing

BUILDING NEW COUNCIL HOUSING

PURPOSE OF REPORT

The report sets out a business case for potential investment in a modest programme of new Council housing. The initiative is designed to yield an ongoing rental stream and provide good quality social housing, whilst minimising risk to the Council. Management and maintenance services would be delivered by a third party such as housing associations or private agents.

RECOMMENDATIONS

1. That the principle of providing Council housing is endorsed and a tender exercise is undertaken to procure the services of a development and management agent,
2. That delegated authority is given to the Director of Housing to make applications to register Derbyshire Dales District Council with Homes England and the Regulator of Social Housing.
3. A further report is presented to Council detailing the outcome of the tender process

WARDS AFFECTED

All

STRATEGIC LINK

‘Prosperity’ is highlighted in the Corporate Plan 2020-24 as a District Council priority due to low local wages and high local house prices. With regard to the recommendations in this report, the District Council specifically aims to: *Promote housing development that meets the needs of the present and future population of the District.* Within this aim, there is an action to: *Build new Council homes to rent and continue to build social rented homes in partnership with Housing Associations.* There is also an action to: *Review opportunities as we strive to be a more commercially-minded District Council.* Delivering council homes to local people will help to meet housing need in the district and generate rental income to support the Council’s wider strategic objectives.

1 BACKGROUND

- 1.1 The Community Housing Team made a successful bid to The Local Government Association Housing Advisers Programme 2018/19 for a grant of

£14,000. This funding was used to appoint consultants through the Local Government Association in order to establish the feasibility of developing a modest programme of council housing.

- 1.2 The Local Government Association appointed Altair, an experienced housing consultancy, and work began on the project. The Commercial Board received two reports on progress with the development of the business plan in March 2019 and November 2019. The Community and Environment Committee received a report on building new council homes on the 19th February 2020 and approved the referral of the council housing proposal to full Council.
- 1.3 The business plan is based on several principles including minimising risk and providing social housing tenancies. Housing development is not a risk-free undertaking and whilst there are different tenures and housing designs that could be adopted, getting the basics right first, is vital to guarantee a longer-term sustainable plan. Altair recommended a relatively low risk approach – both in legal and financial terms - to reflect the resource levels available and the Council's limited experience of building new homes to date. This is reflective of other Local Authority areas where housing stock has been transferred out of Council ownership in the past.
- 1.4 The Council has a key corporate priority to 'build new Council homes to rent and continuing to build social rented homes in partnership with housing associations' (Corporate Plan 2020-2024). Following confirmation of support for the direct delivery of new Council homes at previous Commercial Board meetings, this report outlines the refined business case and the project programme for appointment of a development and managing agent for the new homes.
- 1.5 The initial proposal would involve the Council identifying, developing and owning 52 Council homes for affordable rent (rents capped at Local Housing Allowance levels, i.e. within Housing Benefit limits) and shared ownership. The first phase (2020/21) would potentially deliver 7 homes, with the full programme reaching 52 homes. These properties would sit outside the thresholds of a Housing Revenue Account, which currently stands at 200 homes.
- 1.6 Initially, it is proposed to fund schemes from S106 income and Right to Buy (RTB) receipts, combined with Homes England (HE) grant and sales receipts (from first tranche shared ownership sales) as appropriate. Borrowing additional capital could supplement / speed up the delivery of the programme further if required and supported by a future business case. Such borrowing would be subject to further Council approval.
- 1.7 Altair have been supporting the Council with several activities in delivering the new Council homes including:
 - Review of the initial business plan
 - Support to produce a specification and tender documents for a development agent and a managing agent for the affordable homes

- Procurement advice relating to a development agent and managing agent
- Registration with Homes England and the Regulator of Social Housing as a registered provider and investment partner

2 BUILDING AND MANAGING THE HOMES

- 2.1 It is proposed that the Council will be the client and procure property development services from housing associations or from private practice. This is a common approach to development, with larger housing associations providing development management for smaller associations and councils. Larger housing associations have the in-house skills and capabilities to deliver not just their own housing programmes but those of others. The development service they provide brings income to the association and strengthens their partnership with local authorities.
- 2.2 Typically, a fee is charged per unit, payable 50% start on site and 50% on completion of the development. For a home delivered through the S106 process, (whereby affordable homes are purchased from a developer) the fee would be between £1000 and £2000, while a home built for the Council outside the S106 process, the fee would be between £2000 and £3000 per home (subject to tender processes). The development service typically covers all aspects of the development process including site finding, acquisition and planning, financial modelling, applying for Homes England (HE) grant, procuring tenders, management of the build contract, quality control, HE grant claims, handover of completed units and management of any defects.
- 2.3 As well as the development of the new homes, it is proposed that the Council seeks to procure a provider of housing management and maintenance services for the new homes. Under this model, once the homes are completed, the Council will allocate tenants (who will have tenancies with DDDC) to the properties, with tenancy management services and maintenance delivered by the managing agent. In effect, all day to day operations relating to the homes will be carried out by the Council's contractor.
- 2.4 The specifications for the Managing Agent and Development Agent are attached at Appendix 1 and 2. Contained within these specifications is a performance management framework designed to reflect the scale of the contract, utilising the contractor's existing performance systems rather than creating new systems. This will help to keep costs to a minimum and attract prospective bidders. The specifications will form part of the contract documentation to be signed by the Council and its chosen supplier following the tender exercise.
- 2.5 The specifications include key services to be provided by the supplier. These include a preference for use of local businesses and ensuring pre-application meetings with Development Management (where applicable) as part of the development agent service. Within the Management Agent specification there

is, for example, requirements for excellent customer services including tenancy management and dealing with anti-social behaviour.

- 2.6 The specifications have been developed with the support of the Council's consultants and using examples from other local authorities. Soft market testing has also taken place with 3 potential providers in order to ensure the specifications are deliverable and within the cost assumptions built into the business plan. Altair have revised and updated the specifications ready for the tender process.
- 2.7 The programme for procurement of a Development and Managing Agent is set out in para 4.2 below. This targets a Development and Management Agent on board and ready to support the Council by November 2020 with the first homes potentially handing over in quarter 4 2020/21. The intention is a single contract will be used to procure both services under a single provider (although partnerships bids could be acceptable).
- 2.8 The LGA published a paper on the 22nd June 2020, 'Delivery of Council Housing, Developing a stimulus package post pandemic' in which the financial benefits of social housing was highlighted. Every £1 invested in new social housing, generates £2.84 in the wider economy, with every new social home generating a saving of £780 a year in housing benefit.

3 UPDATED BUSINESS PLAN

- 3.1 One of the first pieces of work to undertake with the chosen contractor, will be to refresh the business plan, reworking the appraisals used currently, with the contractor's own appraisal systems. The business plan will be updated annually as schemes come through the programme and forecasts can be updated. It is also intended that quarterly reporting will take place on new projects or opportunities.
- 3.2 The business plan has evolved over time and been updated to factor in several changes since the original business plan including:
 - A property bequeathed to the Council and 7 new homes for affordable rent secured for £7;
 - An additional £10,000 of expenditure on Empty Homes and homes delivered on Derbyshire Dales' sites to deliver energy saving initiatives that respond to the climate emergency. The level and type of intervention will be determined on a project by project basis;
 - The first homes due to complete and handover to the Council in after November 2020;
 - Revised timings of delivery and size of potential projects.
- 3.3 The latest programme of development, following a further review of the programme to date includes:

Type	Affordable Rent	Shared Ownership	Other Rent	Total
Empty Homes	8	0	1	9
s106 Schemes	29	6	0	35
DDDC Led Schemes	6	2	0	8
Total	43	8	1	52

3.4 Altair and the Council have assessed the updated delivery profile of the programme and anticipate the following schemes coming forward. The completion year is in brackets. It is likely this profile will change over time as some opportunities come to fruition whilst others experience delays e.g. where the owner of a S106 scheme sells or delays starting on site. The programme also reflects the size of the Council's available funding, as S106 funds are received, and assumes the purchase of small groups of properties rather than investing in one or two large sites.

	Scheme Name	Unit Details			
		Affordable Rent	Shared Ownership	Other Rent	Total
1	Ph1 Bequest Home (19/20)	0	0	1	1
2	Ph1 S106 (20/21)	7	0	0	7
3	Ph2 DDDC site 1 (21/22)	4	0	0	4
4	Ph2 DDDC site 2 (21/22)	0	2	0	2
5	Ph2 Empty Homes (21/22)	2	0	0	2
6	Ph3 Darley Dale s106 (22/23)	8	0	0	8
7	Ph3 Empty Homes (22/23)	2	0	0	2
8	Ph4 DDDC site 3 (23/24)	2	0	0	2
9	Ph4 s106 (AR&SO) (23/24)	2	2	0	4
10	Ph5 Empty Homes (24/25)	2	0	0	2
11	Ph5 s106 (AR&SO) (24/25)	2	2	0	4
12	Ph6 s106 (AR&SO) (25/26)	4	2	0	6
13	Ph6 Empty Homes (25/26)	2	0	0	2
14	Ph7 s106 (AR) (26/27)	6	0	0	6
Total		43	8	1	52

3.5 There are some resource implications for the Council to consider:

- The assumptions in the financial appraisal are based on the use of S106 income and grant from Homes England. The pace of delivery will, in part, be governed by the availability of grant and/or the Council's desire to borrow from the Public Works Loans Board (PWLB).
- Some services, such as Housing, Estates, Procurement, Legal and Finance, will need to provide support to the programme.

3.6 During the course of 2019, the Council was contacted by a solicitor acting for the estate of a former resident. The Council has been bequeathed a house in the district and capital funding (approx. £100,000) which will help to support the proposed development programme, ideally in the same village as the

existing home. The intention is to fulfil the wishes of the will and formally recognise the contribution made.

- 3.7 Delivering its own homes, on its own sites, will mean that the Council can specify and deliver exactly what is required to meet local need and to a standard that fully supports vulnerable households. This will include using the £10,000 per home (empty homes and DDDC direct delivery only) for energy saving measures such as inclusion of photovoltaics, fabric enhancements (i.e. fabric first building), reducing water usage to the properties, with the aim of exceeding building regulation minimum requirements for energy efficiency and carbon savings or an improved EPC rating for the property through retrofit of empty homes.
- 3.8 In addition, the indicative development programme is estimated to generate a Net Present Value (NPV) to the Council of £821,000 based on an outline total cost of £5.95m. Year 1 rental yields across the programme range from 3.5% for empty home purchase and repair schemes to 71.0% for the 7 S106 homes for £7. This equates to an additional net revenue stream for the Council of circa £200,000 per annum (assuming all 52 homes are developed and based on the key development assumptions set out in the detailed business case). Over the medium to longer term, up to 199 homes could be delivered (without the need to establish a Housing Revenue Account) providing a new and substantial revenue stream to the Council. Given the size of the programme, this will be monitored on an on-going basis against government policy and other Councils.
- 3.9 As part of a longer term maintenance plan, a small proportion of the rental income will need to be set aside each year, in a new Housing Major Repairs Allowance Reserve. This reflects good practice in the social housing sector and ensures the Council has sufficient resources set aside to cover the cost of works such as replacement of kitchens, bathrooms and windows. The exact level of Major Repairs Allowance funding will be determined in partnership with the chosen contractor and benchmarked against their own stock. The major repairs programme will be reviewed annually and amended as necessary.

4 NEXT STEPS

- 4.1 Altair and the Council have produced an initial programme for delivering the next phase of the project up until appointment of the development and managing agent in readiness for handover of the first homes.
- 4.2 Several of the key dates are highlighted below:
- 2nd July 2020 – Full Council report on tender and delegated authority to register with Homes England and the Regulator of Social Housing
 - 3rd July 2020 – issue tender for managing and development agent
 - w/c 6th July 2020 – register with Homes England and RSH
 - w/c 28th September – confirm successful tenders

- November 2020 – report to full Council
- November 2020 – appoint managing and development agent

4.3 Another key task is registering as a Registered Provider (RP) with the Regulator for Social Housing (RSH). The RSH have confirmed a local authority must notify the regulator when they provide or intend to provide social housing. (Councils are automatically registered). Once notified the RSH will issue a certificate and confirm when the Council has been placed on the register. This will place some regulatory requirements on the Council. However this is only the RSH consumer and rent standards that are applicable to Councils who are Registered Providers. The Consumer and Rent standards relate to risks to tenants e.g. health and safety. The Council will ensure through the management agreement that these standards are complied with. The rent standard is the level at which rents can be set at and how they should be set. This is again covered in the Management Agent specification.

4.4 In addition, the Council will have to sign up as an Investment Partner with Homes England (either direct or via an existing consortium of housing providers) to access grant funding.

5 RISK ASSESSMENT

5.1 Legal

Local authorities have statutory powers to develop housing to meet housing need in their area. The two main powers available are Section 9 of the Housing Act 1985 (relating to general housing need) and Part VII of the Housing Act 1996 (relating to temporary homelessness).

The provision of housing through properties owned by the Council provides a low risk to the Council as long as the successful tendered is a competent landlord with clear knowledge of how to manage social housing tenancies.

The tender will have to comply with the requirements of the Council's Contract Standing Orders.

5.2 Financial

The costs of the development and management agent were taken into account in the business case (that has already been approved by the Community & Environment Committee and the Commercial Board) and will be financed from rental income.

As stated in paragraph 3.9, a small proportion of the rental income will need to be set aside each year, in a new Housing Major Repairs Allowance Reserve, to finance future works such as replacement of kitchens, bathrooms and windows.

The financial risk of this report is assessed as low.

6 OTHER CONSIDERATIONS

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

7 CONTACT INFORMATION

Robert Cogings, Director of Housing
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Email: robert.cogings@derbyshiredales.gov.uk

8 BACKGROUND PAPERS

Commercial Board Reports as follows

- November 2019
- March 2019

Community and Environment Committee 19th February 2020

9 ATTACHMENTS

Appendix 1: Managing Agent Specification
Appendix 2: Development Agent Specification



Derbyshire Dales District Council

Management Agent Specification

Council Housebuilding Programme

July 2020

Derbyshire Dales District Council, Town Hall, Bank Rd, Matlock DE4 3NN

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1 | Introduction

1.1. Derbyshire Dales District Council

1.1.1. Derbyshire Dales District Council (DDDC) are initiating a modest council housebuilding programme. This is to be a phased programme that will deliver 52 homes for affordable rent (rent capped at Local Housing Allowance levels) and shared ownership.

1.1.2. Whilst the initial development programme is phased over 7 years, it could take place over a shorter time period, depending on opportunities and funding. The first phase (2020/2021) is expected to deliver 7 units. The homes across the programme will be delivered through a mixture of means including new build construction, S106 units and the purchase of empty homes. All the homes will be built with features enabling strong energy efficiency, responding to the DDDC's declaration of a climate emergency.

1.1.3. The Council wish to appoint a Management Agent for a period of 10 years (with potential to extend for 2 further periods of 5 years, up to a maximum of 10 years) to manage the homes developed from this programme. These homes will be a mix of shared ownership and affordable rent. Additionally, a home bequeathed to DDDC will be covered by the services of this management agent specification.

1.1.4. The breakdown of the homes to be managed is as follows:

- 43 Homes for Affordable Rent
- 8 Homes for Shared Ownership
- 1 Home for Other Low-Cost Rent (a bequeathed property)¹

1.1.5. The housebuilding programme will be funded by monies from S106 income, Right to Buy (RTB) receipts, combined with Homes England (HE) grant and sales receipts, from first tranche shared ownership sales, as appropriate.

1.1.6. Strategically, this programme aims to deliver council homes to help meet housing need in the district and generate rental income to support the Council's wider strategic objectives.

1.1.7. Additionally, this programme will deliver housing that has a high level of energy efficiency. In 2019, DDDC declared a climate emergency and in response to this have set a target to be carbon neutral by 2030. As a measure to achieve this target, DDDC has a budget of £10,000 per home for all homes, except those from S106 opportunities, to make the homes delivered through their affordable housing programme energy efficient.

¹ The Council had a property bequeathed to them. This property is occupied by a tenant on a protected tenancy. The rental level is not connected to an established affordable rental product, though is rented at a discounted rate. When this tenancy is void, the property will subsequently be rented through an Affordable Rent tenure.

1.2. Services Required

1.2.1. DDDC intends to act solely as a landlord and not directly provide any housing management or maintenance services. Therefore, DDDC requires a third party to undertake management services for the Council, including those relating to tenancy management and property management. This specification sets out in detail the services required in the following areas:

- Corporate / General Services
- Customer services and resident engagement
- Tenancy management
- Income management
- Lettings
- Leaseholder Services: Assignments, stair-casing and mortgage requests
- Estate services
- Responsive repairs and servicing
- Void works
- Asset Management: Major Works, Cyclical Repairs, and Landlord Health and Safety

2 | Corporate / General Services

2.1. Introduction

- 2.1.1. This section sets out the specification for the corporate services of the Management Agent for DDDC. Additionally, this section includes general service requirements that also feature in the dedicated service area sections that follow this section.
- 2.1.2. The Management Agent will be required to report to DDDC Housing throughout the life of the contract.

2.2. Purposes and Objectives

- 2.2.1. The purpose of these services is to ensure that:
- DDDC has appropriate financial oversight over the Management Agent
 - The Management Agent maintains suitable information management systems that are used effectively
 - DDDC Housing and DDDC's Committees receive a sufficient level of information to maintain appropriate oversight

2.3. Services to be provided

- 2.3.1. The following financial services are required:
- Preparation of an annual budget for all service areas to be signed off by DDDC
 - Provision of a periodic budget report of income, expenditure and cash flow
 - Arrangement for the preparation of draft accounts in anticipation of an examination by an independent accountant
 - Weekly / monthly payment of invoices
 - Provision of advice on block insurance and any other appropriate cover including necessary insurance valuations of the estate by an independent third party
- 2.3.2. The Management Agent must adopt their own branding when interacting with staff and will not be required to adopt DDDC branding. DDDC requires this to avoid any confusion; for instance, tenant requests being sent to DDDC rather than the Management Agent.
- 2.3.3. The Management Agent will be required to manage information requirements of the housing management service on their business applications and will be expected to provide the following functionality:
- Customer relationship management
 - Case management

- Rent accounting
- Service charge calculation and accounting
- Income collection including:
 - Card payments
 - Direct debits
 - Housing Benefits/Universal Credit
- Income recovery
- Allocations
- Voids management
- Responsive repairs (client side – including appointments)
- Servicing and compliance
- Anti-Social Behaviour (ASB) recording and management
- Online services including:
 - Rent payments
 - Setting up DD
 - Rent statements
 - Repairs ordering (including making appointments)
 - Repairs tracking
 - Household details management
 - ASB reporting
 - Resident involvement
- General ledger
- Purchase ledger
- Sales ledger
- Purchase ordering
- Invoice processing
- Cashbook
- Electronic documents and records management
- Interfaces to:
 - DDDC Website
 - Home-Options
- GDPR Compliance

2.3.4. The Management Agent will need to hold DDDC properties and tenancies as a separate entity / instance within its systems, though in the same way as the Management Agent holds their own properties.

- 2.3.5. The Management Agent will be required to utilise data for the successful delivery of the services. As a guide, DDDC expects the data utilised by the Management Agent to include (but not limited to):
- Tenancy details
 - Tenancy agreements
 - Income and expenditure reports
 - Information for preparation of annual accounts
 - KPIs (to include lettings, voids measures, repairs measures, income collection and customer enquiries)
 - Compliance data
- 2.3.6. The Management Agent will be expected to provide secure transfer of the data in CSV, Excel or XML format at a frequency to be agreed. At completion or termination of the contract the contractor will be required to return all data to DDDC. Information regarding DDDC's tenants and properties must be made available to DDDC on request. Data must be stored and processed in accordance with the General Data Protections Regulations.
- 2.3.7. The Management Agent will ensure that an appropriate Risk Management Strategy and Risk Register is in place. The Agent and DDDC will review identified risks as required at the contract monitoring meetings.
- 2.3.8. The Agent shall keep and maintain performance management information as the organisation shall specify and will provide all necessary assistance to enable the Council to monitor the Agent's performance and obligations under this agreement.
- 2.3.9. The Management Agent will be required to keep and maintain performance management information that DDDC and the Management Agent will agree. It is preferable that KPIs are used that the Management Agent currently utilises for their existing stock of properties.
- 2.3.10. The Management Agent will hold quarterly meetings with DDDC to discuss performance and any issues arising. If the desired KPIs are not being achieved, DDDC reserve the right to increase the frequency of these meetings until the issue is resolved.
- 2.3.11. The following services to support the Council's Committee are required:
- Attend Committee meetings when required
 - Provide periodic status reports
 - Report on significant tenant communications, including complaints
 - Keep DDDC informed of status of agreed actions through regular reports
 - Report on risk management, fire and health and safety compliance

- Carry out an annual self-assessment against the RSH's Regulatory Standards
- 2.3.12. The Management Agent, if required, must be able to represent DDDC at County Court, arbitration and Tribunals.
- 2.3.13. The Management Agent may engage with sub-contractors for the delivery of work specified within this specification, with the exception of management related activities. Sub-contractors and their employment must meet all the required legislative and regulatory standards. If subcontractors are used in the delivery of these services, it is expected that the Management Agent should primarily seek local sub-contractors to benefit the local economy, wherever possible.

DRAFT

3 | Customer Services and Resident Engagement

3.1. Introduction

3.1.1. This section sets out the specification for the delivery of the Customer Services and Resident Engagement service for DDDC.

3.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Management Agent. This includes a number of target outcomes and standards expected from the service. It also outlines how these areas of performance need to be monitored and reported on to DDDC so they can be satisfied that the service objectives are being achieved.

3.2. Purposes and Objectives

3.2.1. The purpose of the Customer and Resident Engagement services are to ensure that:

- Residents have access to a responsive customer service
- Residents have access to tenancy services and are able to access / request information related to their tenancy and rent account
- Residents have the ability to influence services and register complaints
- Residents are kept informed of changes and issues

3.3. Services to be provided

3.3.1. The Management Agent should already have, or otherwise establish, processes to deal effectively with the full range of tenant enquiries related to the management service. The Management Agent must ensure that all residents can easily contact the organisation and receive a sensitive, accurate and timely response. This will include:

- A responsive and customer focussed telephone service, operating between normal office hours
- Emergency telephone service which will be answered 24/7 all year round
- A dedicated website containing appropriate customer focussed information on services and performance
- Ability to respond to tenants through email, phone, text and mail
- When visiting properties, the Management Agent's staff should be courteous
- A web portal for services including logging home, repair and estate related queries and paying rent and service charges

- 3.3.2. The Management Agent must provide proactive communication about services it offers, issues affecting residents or changes to services. This will include:
- Online information
 - Producing a periodic newsletter to residents
 - Producing clear written communication in plain English
 - Providing communications in alternative formats, where required
- 3.3.3. DDDC expect that, as far as reasonably practicable, the Management Agent will resolve queries at the first point of contact and will record customer contact and resolution of enquiries appropriately.
- 3.3.4. These specific customer service requirements should be present in all activities where the Management Agent interacts with the tenant in this specification.
- 3.3.5. The Management Agent should have, or be willing to produce, a robust complaints procedure, which includes an escalation procedure which refers escalated complaints to DDDC for investigation. This procedure should seek to:
- Deal with any complaints received from whatever source in a prompt and courteous manner
 - Keep residents informed of progress at regular stages of the complaints process
 - Keep a written record of all complaints received and of the action taken in relation to such complaints
- 3.3.6. Complaints data should be analysed at least on a quarterly basis to identify causes, trends and common issues. This should inform service improvement work and the findings, in addition to any actions, should be reported to DDDC Housing.
- 3.3.7. The Management Agent should have, or be willing to produce, a Resident Engagement Policy that contains provisions for the following activities:
- Annual satisfaction surveys
 - Listening to residents' ideas for improvement
 - Record all resident engagement
 - Analysis of feedback to identify trends and common issues
 - Feedback to residents how resident engagement has led to improvements
- 3.3.8. All resident data must be stored in line with data protection standards outlined in GDPR and comply with the relevant frameworks and consumer standards of the Regulator for Social Housing.

3.4. Target Outcomes and Standards

3.4.1. The Management Agent should provide these services in accordance with the following outcomes and standards:

- Tenants must be easily able to access and contact services
- The Management Agent must respond to all tenant communication promptly and politely
- Tenants must be regularly updated of any changes to their service
- Offer multiple opportunities for tenants to feedback on services

3.4.2. DDDC also requests that a number of KPIs are used that relate to this service. It is preferable that these KPIs are already in existence and used by the Management Agent for other properties under its management.

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4 | Tenancy Management

4.1. Introduction

- 4.1.1. This section sets out the specification for the delivery of the Tenancy Management service for DDDC.
- 4.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Management Agent. This includes a number of target outcomes and standards expected from the service. It also outlines how these areas of performance need to be monitored and reported on to DDDC so they can be satisfied that the service objectives are being achieved.

4.2. Purposes and Objectives

- 4.2.1. These Tenancy Management services are specified so:
 - Tenants are both supported in their tenancies and encouraged to be independent
 - Tenants receive swift responses to issues relating to their tenancies
 - The possibility of tenancy fraud is minimised
 - Tenants feel safe in their home and neighbourhood

4.3. Services to be provided

- 4.3.1. DDDC's properties will be initially let on 6-month starter / introductory tenancy to tenants. Following this, DDDC properties will be let through secure tenancies. DDDC expects the Management Agent to undertake tenancy inspections. These inspections will include a visual inspection of the property, identifying who is living at the property and identify any vulnerability or safeguarding concerns. The inspections will form part of the decision to issue a secure tenancy.
- 4.3.2. Additionally, the Management Agent will carry out tenancy audits to support the detection of fraud, assurance that tenants are in accordance to DDDC's tenancy agreements and homes are being lawfully occupied.
- 4.3.3. The Management Agent should keep comprehensive records of these inspections and audits that can be sent to DDDC at their request.
- 4.3.4. The Management Agent should have comprehensive procedures in place to tackle ASB, hate crime, harassment and nuisance which includes the use of legal and non-legal measures, where appropriate. This procedure should also have provisions to work closely with other stakeholders to provide resolution to these issues. Reasonable non-legal measures should be sought, prior to escalation to legal measures.

- 4.3.5. The Management Agent will also collaboratively work with local stakeholders to assess the vulnerability of all tenants and aim to resolve tenancy management issues before taking legal action. This includes communicating and working jointly to safeguard vulnerable tenants.
- 4.3.6. The Management Agent will handle any tenancy management issues, enquiries and disputes in line with the customer service standards and requirements set out in this document. Specifically, there must be clear lines of communication for the reporting of:
- ASB
 - Sub-letting
 - Abandonment
 - Hoarding behaviour
- 4.3.7. Where there are breaches of tenancy, the Management Agent should:
- Ensure there is a swift, clear and effective response
 - Use all available and appropriate legal sanctions to deal with ASB, using eviction as a last resort where all other measures have been unsuccessful
 - Progress enforcement action as required
 - Make recommendations to DDDC on relevant legal matters
 - Implement recovery procedures to obtain possession of the property, where lawful occupation is not in place
- 4.3.8. The Management Agent should maintain robust records of tenancy agreements and update these records when required.
- 4.3.9. Tenants should be easily able to request variation of their Tenancy Agreement and receive consultation and advice on the consequences of any variations.
- 4.3.10. The Management Agent is expected to have or be willing to produce a Tenancy Policy.
- 4.4. Target Outcomes and Standards
- 4.4.1. The Management Agent should provide these services aligned to the following outcomes and standards:
- The Management Agent must deliver an effective and proactive service
 - Inspections and audit should be thorough and respond to DDDC's requirements
 - Breaches of tenancy should be dealt with swiftly and appropriately, escalating the measures applied when necessary

- Tenants must be kept informed and be able to access the services easily

4.4.2. DDDC also requests that a number of KPIs are used that relate to this service. It is preferable that these KPIs are already in existence and used by the Management Agent for other properties under its management.

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5 | Income Management

5.1. Introduction

- 5.1.1. This section sets out the specification for the delivery of the Income Management service for DDDC.
- 5.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Management Agent. This includes a number of target outcomes and standards expected from the service. It also outlines how these areas of performance need to be monitored and reported on to DDDC so they can be satisfied that the service objectives are being achieved.

5.2. Purposes and Objectives

- 5.2.1. These Income Management services are specified so:
 - There is efficient and effective income management which maximises the income due and collectable from rent, service and other charges
 - The income management service is customer focused
 - They contribute to the sustainment of tenancies

5.3. Services to be provided

- 5.3.1. The Management Agent will undertake the calculation of rent and service charges for new tenancies and any increases during reviews of rents and charges. These calculations will be recommended to DDDC Housing before implementation. Any changes that are approved will be administered by the Management Agent in line with conditions of tenancy, regulation and legislation.
- 5.3.2. The Management Agent is expected to have, or be willing to produce, a Service Charge Policy.
- 5.3.3. Rent collection by the Management Agent will be paid to DDDC quarterly in arrears within 30 business days of the quarter end.
- 5.3.4. In regard to income collection and recovery, the Management Agent is required to provide the following services:
 - The undertaking of an affordability review before a housing offer to ensure the tenant(s) is suitable
 - Provision of a variety of payment methods, though tenants should be encouraged to pay by DD
 - Collect rent, service charges and any other monies that relate to the tenancy or property

- Consult with residents about service changes, in line with statutory requirements, good practice and the requirements of the lease
- Have a proactive approach to tenancy sustainment, where advice is offered and referrals made, prior to and when debt arises
- Have, or be willing to produce, a comprehensive Income Collection Policy and associated procedures for arrears, where DDDC are notified of arrears of over £1,000, which should include:
 - Repayment plans
 - Methods for pursuing former tenants and recommendations when balances should be written off
 - Escalation of interventions to formal legal / court action
- Where enforcement action is required, the Agent will undertake legal and enforcement activity, including:
 - Service of notices
 - Processing relevant paperwork
 - Instructing legal counsel
 - Attendance at court hearings

5.3.5. These Income Management services should be supported by strong information management that ensures prompt identification of arrears and provides DDDC with quarterly statistics and reporting on income.

5.3.6. All interactions with debtors should make them aware of their liability and responsibilities and action that could be taken in line with the Management Agent's Income Collection Policy. All this customer interaction should be conducted within the same requirements and standards previously set out.

5.4. Target Outcomes and Standards

5.4.1. The Management Agent should provide these services aligned to the following outcomes and standards:

- Provide tenants with clear information on how their rents and service charges are set and 28 days' notice of any intended changes
- Undertake all statutory consultation with any leaseholders
- Offer multiple ways to pay the required monies
- Respond appropriately and effectively when debt arises
- Send statements to DDDC regularly
- Send resident statements regularly
- Refer residents to other agencies, where appropriate

5.4.2. DDDC also requests that a number of KPIs are used that relate to this service. It is preferable that these KPIs are already in existence and used by the Management Agent for other properties under its management.

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6 | Lettings

6.1. Introduction

6.1.1. This section sets out the specification for the delivery of the Lettings service for DDDC.

6.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Management Agent. This includes a number of target outcomes and standards expected from the service. It also outlines how these areas of performance need to be monitored and reported on to DDDC so they can be satisfied that the service objectives are being achieved.

6.2. Purposes and Objectives

6.2.1. The Letting services aim to ensure:

- Properties are let through Home-Options in accordance with legal and regulatory requirements and with the intention of incurring minimal rent loss
- Homes are let fairly

6.3. Services to be provided

6.3.1. The Management Agent will use the Home-Options Allocation Policy of DDDC. This can be found here: <https://www.home-options.org/choice/help.aspx>.

6.3.2. In regard to lettings, the Management Agent will be required to provide the following the services:

- Respond appropriately to potential tenant enquiries
- Arrange and undertake viewings of homes
- Undertake a pre-tenancy check assessing:
 - Tenant identity
 - Tenant right to rent
 - Whether the tenant meets affordability thresholds
 - Whether the tenant meets any criterion set out by DDDC
- Undertake a sign-up process that includes:
 - Provision of inventory and schedule of condition
 - Signing of tenancy agreement
 - Advice on tenant rights and obligations
 - Provide support to ensure tenants, and particularly vulnerable tenants, receive support to sign up with Housing Benefit and/or Universal Credit, council tax and utilities

- 6.3.3. Tenant viewings will take place individually; once an eligible tenant requests to see the property, they will view the property and then have 48 hours to decide whether they would like to rent the property. Individuals will not have to decide to rent the property immediately after the viewing ends.
- 6.3.4. As new properties developed in the programme are completed, the Management Agent will be responsible for key management and security of these properties before they are let.
- 6.3.5. The Management Agent should also have procedures for void management. These procedures should include activities for:
- Early identification of void properties
 - Pre-termination inspections of prospective void properties to:
 - Establish why the tenant is leaving the property
 - Identify any required void works
 - Advise the tenant of any chargeable damage
 - Advise the tenant on any outstanding charges on their account
 - Full check-out and inventory update
 - Management of voids resulting from death of a tenant or abandonment
 - Security arrangements for empty homes

6.4. Target Outcomes and Standards

- 6.4.1. The Management Agent should provide these services aligned to the following outcomes and standards:
- Re-let properties as quickly as possible
 - Allocate properties in a fair way
 - Allow tenants 2 days to make a decision on a property after a viewing
 - Provide a welcome pack when they move in and a check-up visit 6 months after they move in
- 6.4.2. DDDC also requests that a number of KPIs are used that relate to this service. It is preferable that these KPIs are already in existence and used by the Management Agent for other properties under its management.

7 | Leaseholder Services: Assignments, Stair-Casing and Mortgage Requests

7.1. Introduction

7.1.1. This section sets out the specification for the delivery of the Assignments, Stair-Casing and Mortgage Requests service for DDDC.

7.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Management Agent. This includes a number of target outcomes and standards expected from the service. It also outlines how these areas of performance need to be monitored and reported on to DDDC so they can be satisfied that the service objectives are being achieved.

7.2. Purposes and Objectives

7.2.1. The Assignments, Stair-Casing and Mortgage Requests services are specified so that:

- There is efficient and timely administration of requests from Shared Ownership residents, including requests relating to:
 - Stair-casing and assignments
 - Re-mortgaging
 - Improvements and alterations
- There is compliance by Shared Ownership residents at the time of any assignment with all repairing covenants contained

7.3. Services to be provided

7.3.1. The following services should be provided:

- Instruction within 10 working days a RCIS accredited valuer to inspect and value a property upon receipt of a resale / stair-casing application and to ensure this valuation is completed in line with provisions within the lease
- Making sure any leaseholder has complied with his or her repairing obligations under the terms of their lease prior to any staircasing or resale activity
- Assessment of requests from Shared Ownership and Shared Equity Residents for mortgage or re-mortgage approval in accordance with the agreed Client eligibility criteria where consent is required under a lease
- Liaison with queries from purchasers, solicitors and others involved in the assignment and / or stair-casing process
- Provision of information on Service Charge levels, restrictions etc for sales and marketing information

- Undertaking all administration relating to changes in Shared Ownership and Shared Equity Residents and Open Market Residents including closing old accounts, creating new accounts and setting up new direct debits
- Setting out and administrating schedule of fees for assignment, stair-casing, re-mortgage services, request to alter and other ownership related transactions
- To instruct and administer legal work including Consents, Sealing etc as directed on behalf of DDDC in accordance with the assignment, staircasing and mortgage requests procedures

7.4. Target Outcomes and Standards

7.4.1. The Management Agent should provide these services aligned to the following outcomes and standards:

- Efficient and swift response to any requests relating to Shared Ownership properties
- Effectively and appropriately manage the legal and administrative components of Shared Ownership properties and tenancies
- Set appropriate service charge levels

7.4.2. DDDC also requests that a number of KPIs are used that relate to this service. It is preferable that these KPIs are already in existence and used by the Management Agent for other properties under its management.

8 | Estate Services

8.1. Introduction

- 8.1.1. This section sets out the specification for the delivery of the Estate Services for DDDC.
- 8.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Management Agent. This includes a number of target outcomes and standards expected from the service. It also outlines how these areas of performance need to be monitored and reported on to DDDC so they can be satisfied that the service objectives are being achieved.
- 8.1.3. The current business plan assumes that 90% of the homes in the programme will be houses. The remaining 10% will be flats. It is for these 10%, that the following estate services apply.
- 8.1.4. DDDC will notify the Management Agent of who owns and is responsible for all land adjacent to the demised premises and any adopted areas, including public rights of way.

8.2. Purposes and Objectives

8.2.1. These Estate Services aim to:

- Keep any communal estate areas clean and safe for the residents and the surrounding communities
- Organise and maintain necessary internal and external cleaning and repairs service
- Undertake regular inspections to ensure the estates remain at a high standard

8.3. Services to be Provided

- 8.3.1. The table below and overleaf sets out the likely scope of estates services for property elements that could be present in DDDC's properties.

Property Services Element	Description
Window Cleaning	Internal and external of the communal areas where appropriate
Communal waste bins and recycling	Provision, maintenance and cleaning of communal bins and/or bin stores
Cleaning	Internal and external of common areas including gutters and pipes

Property Services Element	Description
Door entry systems maintenance	Administration, repair and annual maintenance
Communal Lifts	Maintenance and cleaning
Graffiti	Removal
Generator	Maintenance
Sprinkler System / Auto mist	Maintenance
Water Tank and Dosing System	Maintenance
Communal Areas	Maintenance and cleaning
Green Space / Communal Gardens	Maintenance and cleaning

8.3.2. The Management Agent is expected to have or be willing to produce an Estates Management Policy.

8.4. Targets and Standards

8.4.1. The key service standards and outcomes that must be delivered with these Estate Services are, if the Management Agent is commissioned to provide the services:

- Publicise cleaning schedules (where notice boards are available) and on the company website
- Remove offensive graffiti and any dangerous items within 24 hours
- Update the cleaning schedules and monitor the attendance sheets in communal blocks
- Meet a target of estate inspections carried out on time

8.4.2. DDDC also requests that a number of KPIs are used that relate to this service. It is preferable that these KPIs are already in existence and used by the Management Agent for other properties under its management.

9 | Responsive Repairs

9.1. Introduction

9.1.1. This section sets out the specification for the delivery of the Responsive Repairs service for DDDC.

9.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Management Agent. This includes a number of target outcomes and standards expected from the service. It also outlines how these areas of performance need to be monitored and reported on to DDDC so they can be satisfied that the service objectives are being achieved.

9.2. Purposes and Objectives

9.2.1. The purposes and objectives of the services relating to Responsive Repairs include:

- Provision of a cost effective and high-quality repairs service that is well-monitored, implemented and recorded
- Achieving of value for money
- Ensuring properties are well-maintained
- Ensuring tenants are aware of their responsibilities of repairs
- Complying with all relevant legislation, regulatory guidance, and codes of practice

9.3. Services to be Provided

9.3.1. The Management Agent must ensure that tenants are aware of, and understand, their responsibilities in regard to repairs in their home. These responsibilities will also be set out in tenancy agreements.

9.3.2. Should tenants request repair work that is outside of the scope / responsibility of the Management Agent / DDDC, the Management Agent is expected to carry out these rechargeable repairs (where possible and appropriate). The Management Agent will be responsible for recharging eligible costs to tenants and for ensuring that tenants are aware of and agree to estimated costs prior to work being carried out.

9.3.3. The Management Agent has responsibility to repair, or procure the repair, items in respect of the main structure and fabric of any home or block and any other building at the property, as required and in line with landlord and tenant obligations as set out in the tenancy agreement or shared ownership lease including roofs, walls, foundations, doors, windows, gutters and drains, paths, boundaries and internal or external communal area, including outside painting and decoration, and all utility services.

- 9.3.4. Furthermore, the Management Agent has responsibility to repair, or procure the repair (which are not Non-Statutory Repairs), of all the required internal areas of homes including walls, skirting boards, external doors and door frames, hinges, locks (except when the tenant loses the keys), door posts, thresholds, floors and ceilings inside a home (but not painting and decorating), fixtures and fittings, bathroom fixtures and fittings, kitchen units, floor and wall tiles, switches and sockets, internal doors and softwood goods.
- 9.3.5. All repairs will be completed in a customer-focused way that seeks to deliver a consistent good quality service. The Management Agent is expected to have, or be willing to produce, a Repairs Policy to govern this.
- 9.3.6. Where possible, the Management Agent will seek to complete repairs within a single visit by getting it 'right the first time'. The performance of this and the other components of responsive repairs will be measured by independent external and internal customer satisfaction surveys specifically focused on the repairs service.
- 9.3.7. For emergency repairs that are outside normal Working Hours, e.g. major burst pipes, total loss of electric or dangerous structural damage will be dealt with through an out of hours service. The Management Agent shall be responsible for coordinating and delivering this out of hours service, outside of normal office hours Mondays to Fridays and twenty-four hours a day on all other days including bank holidays.
- 9.3.8. The Management Agent shall report all gas leaks directly to Transco/British Gas.
- 9.3.9. The Management Agent must set up systems to allow the easy reporting of repairs by multiple means. These systems will also concurrently provide tenants with details of their appointments for repair at a mutually convenient time. The Management Agent should have appropriate measures to keep the tenant informed of a repair as it progresses.
- 9.4. Target Outcomes and Standards
- 9.4.1. The key service standards and target outcomes that must be delivered with the aforementioned responsive repairs service are:
- Good quality repairs delivered first time and within the appropriate timeframes
 - A pragmatic and informative appointment system
 - Procedures for keeping tenants informed about their repairs
- 9.4.2. DDDC also requests that a number of KPIs are used that relate to this service. It is preferable that these KPIs are already in existence and used by the Management Agent for other properties under its management.

10 | Void Works

10.1. Introduction

10.1.1. This section sets out the specification for the delivery of the void works service for DDDC.

10.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Management Agent. This includes a number of target outcomes and standards expected from the service. It also outlines how these areas of performance need to be monitored and reported on to DDDC so they can be satisfied that the service objectives are being achieved.

10.2. Purposes and Objectives

10.2.1. The purpose of the voids works services are to get properties available for letting as soon as possible after a change of tenancy, to minimise rent loss.

10.3. Services to be provided

10.3.1. Where the Management Agent is notified that a home will become vacant, either through the receipt of a notice of termination from the tenant, or due to tenancy enforcement action, the Management Agent will arrange to undertake a pre-void inspection to identify works to be completed, and identify any items rechargeable to the tenant.

10.3.2. The Management Agent will identify the defects and works required to meet the Management Agent's lettable standard. This will include decorating works and repairs and maintenance works. Minor repairs may be completed post-letting to speed up the reletting process.

10.3.3. The Management Agent should also undertake all activity relating to utilities and other services, such as taking meter readings, testing services and disconnecting supplies.

10.3.4. Throughout the process the Management Agent will be responsible for the effective management of keys. All homes should have the locks changed once a tenant has vacated to ensure the former tenant is not able to gain access.

10.3.5. The Management Agent will also administer and undertake the processes required for the recovery of costs for refuse removal, clearing gardens, cleaning or damage that were a former Tenant's responsibility.

10.4. Target Outcomes and Standards

10.4.1. The target outcome and standard of this service is to ensure voids are available for letting within 10 working days after they become void.

10.4.2. DDDC also requests that a number of KPIs are used that relate to this service. It is preferable that these KPIs are already in existence and used by the Management Agent for other properties under its management.

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11 | **Asset Management: Major Works, Cyclical Repairs, and Landlord Health and Safety**

11.1. Introduction

11.1.1. This section sets out the specification for the delivery of the Major and Cyclical Repairs service for DDDC.

11.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Management Agent. This includes a number of target outcomes and standards expected from the service. It also outlines how these areas of performance need to be monitored and reported on to DDDC so they can be satisfied that the service objectives are being achieved.

11.2. Purposes and Objectives

11.2.1. The purpose of the services relating to major and cyclical works is to ensure the long-term integrity of the housing stock and the health and safety of residents.

11.3. Services to be provided

11.3.1. DDDC will hold a reserve fund for major and cyclical works for their properties.

11.3.2. The Management Agent is required to advise DDDC of major works required to maintain the condition of its housing stock in the form of an Asset Management / Major Works plan. The Management Agent should include estimations of the costs of the different elements of the Asset Management / Major Works plan based on the Agent's experience and / or benchmarking / quotes.

11.3.3. Annually, the Management Agent will provide DDDC with a major works programme.

11.3.4. Alongside this programme, the Management Agent will submit their cost of managing this programme, not including the delivery of the material works. The cost of delivering the material works will be paid from DDDC's reserve fund.

11.3.5. Additionally, DDDC may require the Management Agent to submit quotes from a number of contractors who would carry out the material elements of these works to ensure that the works represent value for money.

11.3.6. DDDC reserve the right to reject the programme, contractor quotes and / or cost of the programme and either negotiate with the Management Agent or request the Management Agent return to the market to gain further contractor quotes.

11.3.7. If the programme is accepted, the Management Agent must appropriately inform and communicate the works to impacted residents and ensure that minimal levels of disturbance are achieved.

11.3.8. The following flowchart provides a summary of the activities associated with the Major Works services the Management Agent is expected to provide.

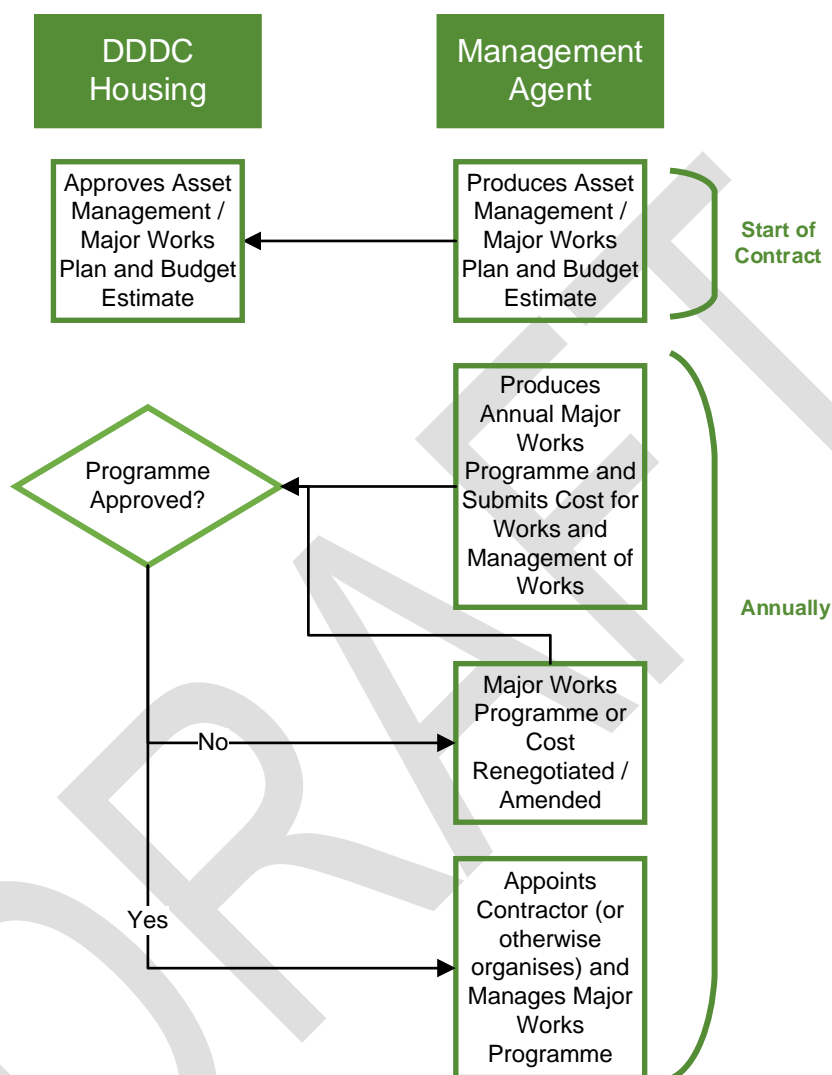


Figure 1 Major Works Flowchart

11.3.9. The Management Agent is required to ensure that all relevant landlord health and safety requirements are fulfilled. This includes the organisation and record keeping related to:

- Gas safety – Including Landlord Gas Safety Register checks and any remedial actions
- Electrical safety – Including Electrical Installation Condition Report inspections and any remedial actions
- Fire safety – Including Fire Risk Assessments and any remedial actions

- Water safety (legionella)

11.4. Target Outcomes and Standards

11.4.1. These services will ensure that:

- All property and equipment is maintained in line with all required standards
- Residents kept regularly informed of maintenance work programmes
- Residents are safe and DDDC are meeting its statutory and regulatory obligations for landlord health and safety.

11.4.2. DDDC also requests that a number of KPIs are used that relate to this service. It is preferable that these KPIs are already in existence and used by the Management Agent for other properties under its management. These KPIs will be submitted alongside the annual programme.

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12 | DDDC's Responsibilities and Performance Management

12.1. DDDC's Responsibilities

12.1.1. DDDC's responsibilities are as follows:

- Obtaining and providing all necessary internal approvals in order for the Management Agent to carry out their services in a timely manner.
- Providing the Management Agent with a schedule of those schemes which require estate services for the Management Agent to review
- Introducing the Management Agent with the Home Options Allocation Policy
- Maintaining a reserve fund for major works

12.2. Performance Management and KPIs

12.2.1. DDDC is seeking to adopt the Management Agent's existing KPIs for their stock.

12.2.2. As part of the evaluation process for the tender, bidders are being requested to provide their KPIs, considering best practice and common approaches to KPIs in the sector.

12.2.3. DDDC request that the Management Agent KPIs are benchmarked to other properties in DDDC's local authority area.

12.3. Contract Management

12.3.1. As set out previously in this specification, DDDC require quarterly performance reports and meetings with the Management Agent.

12.3.2. Additionally, at the beginning of the contract, DDDC with the Management Agent will set out a series of performance thresholds relating to the services provided. DDDC requires the Management Agent to immediately report against these thresholds if the thresholds are exceeded.

13 | Appendix 1 – Management Pipeline

13.1.1. Below is DDDC’s anticipated management programme. It outlines the total number of units the Management Agent will have to manage in each year of the 10-year contract.

13.1.2. The ‘Other Low-Cost Rent’ tenure type refers to a property bequeathed to the DDDC that is rented at a discounted level.

13.1.3. This programme is not final and may change.

	20/21	21/22	22/23	23/24	24/25	25/26	26/27	27/28	28/29	29/30
Tenure Type	Unit Number	Unit Number	Unit Number	Unit Number	Unit Number	Unit Number	Unit Number	Unit Number	Unit Number	Unit Number
Shared Ownership	0	0	2	2	4	6	8	8	8	8
Affordable Rent	0	7	13	23	27	31	37	43	43	43
Other Low-Cost Rent	1	1	1	1	1	1	1	1	1	1



Derbyshire Dales District Council

Development Agent Specification

Council Housebuilding Programme

July 2020

Derbyshire Dales District Council, Town Hall, Bank Rd, Matlock DE4 3NN

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DRAFT

1 | Introduction

1.1. Derbyshire Dales District Council

- 1.1.1. Derbyshire Dales District Council (DDDC) are initiating a new council housebuilding programme. This is to be a phased programme that will deliver 52 homes for Affordable Rent (rent capped at Local Housing Allowance levels) and Shared Ownership. It is likely that subject to funding, further phases will also be commissioned through this contract.
- 1.1.2. Whilst the initial development programme is phased over 7 years, it could take place over a shorter time period, depending on opportunities and funding. The Council wish to appoint a Development Agent for a period of 10 years. The first phase (2020/2021) will potentially deliver 7 units. The homes across the programme will be delivered through a mixture of means: new build construction, S106 units and empty home renovation. All the homes will be built with features enabling strong energy efficiency, responding to the DDDC's declaration of a climate emergency.
- 1.1.3. The breakdown of the homes to be developed is as follows:
 - 8 Empty Homes
 - 35 Homes from S106 Opportunities
 - 8 Homes from DDDC-led New Build Schemes
- 1.1.4. Additionally, a property was bequeathed to the Council. This will not require any services of the Development Agent.
- 1.1.5. The housebuilding programme will be funded by S106 monies, Right to Buy (RTB) receipts, combined with Homes England (HE) grant and sales receipts, from first tranche shared ownership sales, as appropriate.
- 1.1.6. Strategically, this programme aims to deliver council homes to local people which will help meet housing need in the district and generate rental income to support the Council's wider strategic objectives.
- 1.1.7. All schemes will be managed by DDDC Housing who will have delegated authority to approve and progress the programme through gateways.
- 1.1.8. Additionally, this programme will deliver housing that has a high level of energy efficiency. In 2019, DDDC declared a climate emergency and in response to this have set a target to be carbon neutral by 2030. As a measure to achieve this target, DDDC has a budget of £10,000 per home for all homes, except those from S106 opportunities, to make the homes delivered through their affordable housing programme energy efficient.

1.2. Services Required

- 1.2.1. For this programme, DDDC are seeking the services of a third party to operate as a development agent for their housebuilding programme. This

specification sets out in detail the services required during the following stages of the development programme's phases:

- Stage 1: Land and Property Acquisition
- Stage 2: Scheme Design and Planning Permission
- Stage 3: Tendering
- Stage 4: Building Contract / On-site
- Stage 5: Bid (if appropriate)
- Stage 6: Audit Compliance

1.2.2. As the programme is phased, these stages will all occur multiple times throughout the contract, occurring each time a new phase is initiated. There is significant possibility, if there are programme delays or overruns, that multiple stages could occur concurrently. Therefore, it is important that the Development Agent has the capacity and resources to undertake multiple stages simultaneously.

1.2.3. The Development Agent is expected to have, or be willing to produce, development procedures and policies.

2 | Stage 1: Land and Property Acquisition

2.1. Introduction

- 2.1.1. This section sets out the specification of services required from the Development Agent for Land and Property Acquisition.
- 2.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Development Agent. This includes a number of target outcomes and standards expected from the service.

2.2. Purposes and Objectives

2.2.1. These services aim to:

- Identify and purchase suitable sites / properties and S106 opportunities
- Appoint all the necessary technical and professional sub-consultants
- Brief the sub-consultants and provide guidance on preliminary matters
- Liaise with DDDC, the consultant team and the landowner to negotiate a price and acquire the opportunity

2.3. Services to be provided

- 2.3.1. DDDC currently have a business plan for their development programme, which is appraised through Podplan, a development appraisal toolkit. Once appointed, the Development Agent is expected to re-run this appraisal through their own appraisal software using DDDC's agreed assumptions. This may involve updating schemes, rents and costs as required. Throughout the programme, the Development Agent will be required to update this business plan at agreed intervals.
- 2.3.2. The Development Agent will be required to identify, assess and view sites / properties / S106 opportunities where necessary. This will include financial appraisals. Any financial appraisals undertaken by the Development Agent will utilise DDDC's development period and long-term financial assumptions.
- 2.3.3. Then, the Development Agent will prepare outline proposals for the Council's requirements, report on their feasibility and discuss with the Council and any relevant stakeholders. It is expected that the report will include:
 - A summary of the opportunity
 - A financial analysis of the impacts of acquisition. This will include an assessment of costs, income and programme.

- Stress testing to demonstrate the impact of a change in the economic climate.
 - Risk schedule including methods to mitigate risk.
 - Recommended approach.
- 2.3.4. Once the Council has agreed to acquire certain sites / properties / S106 opportunities, the Development Agent will notify the Council when the purchase has been formalised and obtain signatures to contract and legal agreements from the Council. The Development Agent will be expected to obtain legal advice in regard to the schemes, as appropriate and required.
- 2.3.5. Specifically, for S106 opportunities, the Development Agent will be required to:
- Build a relationship with the Developer
 - Undertake financial modelling of the acquisition
 - Submit an offer and handle any subsequent negotiation
 - Report on progress during the build contract
 - Organise the handover of the units
 - Ensure the units are in line with the Council's requirements
- 2.3.6. With the Council's approval, the Development Agent will select and appoint an architect, cost consultant and any other necessary specialist advisors for the programme / phase. The Development Agent will obtain evidence of professional indemnity insurance from these appointees.
- 2.3.7. The Development Agent will prepare an outline brief for these sub-consultants.
- 2.3.8. The Development Agent will provide direction to sub-consultants and the Council on a variety of issues including (but not limited to):
- Surveys
 - Scheme sketches and designs
 - Preliminary costs
- 2.4. Target Outcomes and Standards
- 2.4.1. The successful delivery of these services will result in:
- The acquisition of appropriate sites / properties and S106 opportunities
 - The appointment of appropriate and well-qualified sub-consultants
 - The swift and effective delivery of initial guidance and outline briefs
- 2.4.2. DDDC wishes to ensure extra effort is used to attempt to appoint professional and technical appointees from the local economy to support local businesses.

2.5. Key Roles and Responsibilities

2.5.1. The following flowchart provides a brief overview of the responsibilities and roles of both the Development Agent and DDDC Housing for this stage.

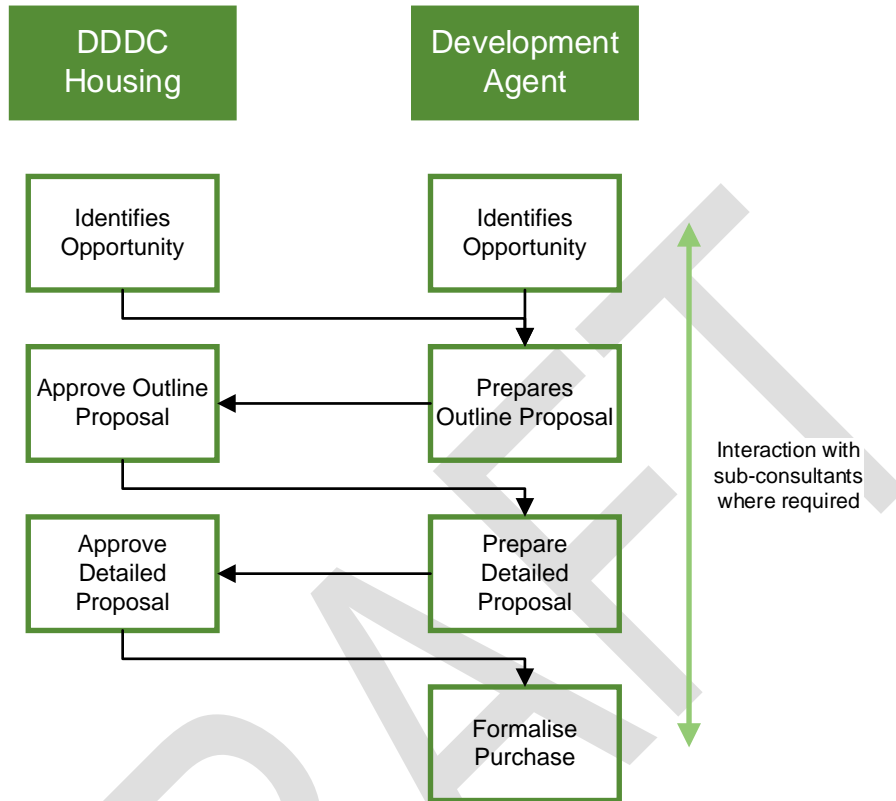


Figure 1 Land and Property Acquisition Flowchart

3 | Stage 2: Scheme Design and Planning Permission

3.1. Introduction

- 3.1.1. This section sets out the specification of services required from the Development Agent for Scheme Design and Planning Permission.
- 3.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Development Agent. This includes a number of target outcomes and standards expected from the service.

3.2. Purposes and Objectives

- 3.2.1. The aims of these services are to:
 - Assist the phases of DDDC's housebuilding programme to gain full planning permission
 - Seek and apply for grant funding, where required
 - To create a design that meets the objectives of DDDC
 - Ensure compliance with CDM and Health and Safety Regulations
 - Finalise scheme design

3.3. Services to be provided

- 3.3.1. The Development Agent must provide advice on the overall design approach. In regard to design, the Development Agent will be required to give guidance on how the design will progress.
- 3.3.2. The Development Agent will be required to procure and lead the consultant design team.
- 3.3.3. The Development Agent will be required to prepare a detailed project brief to the sub-consultant team. This preparation will occur in consultation with DDDC and any relevant sub-contractors.
- 3.3.4. Alternative layouts and designs will additionally need to be produced and presented to DDDC Housing to assist in the finalisation of site layout and detailed plans.
- 3.3.5. There will need to be assurances around compliance with CDM Regulations and the production of the Health and Safety file.
- 3.3.6. The Development Agent will also need to produce design stage financial appraisals and report on these to DDDC Housing.
- 3.3.7. In terms of planning, the Development Agent will be required to provide the following services:
 - Undertake a pre-application process and meet with Council Officer's to discuss the pre-application

- In consultation with DDDC, progress submission for full planning permission and all necessary statutory consents and approvals
 - Attend public consultations and any other scheme specific activities, if necessary
 - Submit the planning application with full supporting documentation including any alterations suggested by planning officers
 - Undertake any planning obligations / S106 exercises/ negotiations
- 3.3.8. Also, during this stage, the Development Agent should identify whether any external or additional funding is required, beyond that which DDDC have already stipulated.
- 3.3.9. It should be noted that these services around design and planning will not be required for any S106 properties in the programme. These properties will be acquired after external parties have completed their design, planning and construction.
- 3.4. Target Outcomes and Standards
- 3.4.1. The outcomes of these services are:
- Full planning permission is obtained in an appropriate timeframe
 - The scheme design is finalised to a high quality
 - Any requirements for external funding have been identified
- 3.5. Key Roles and Responsibilities
- 3.5.1. The flowchart overleaf provides a brief overview of the responsibilities and roles of both the Development Agent and DDDC Housing for this stage. It is important to note that this stage will not be required for all opportunities as some schemes, like S106 opportunities, will already be designed and have planning.

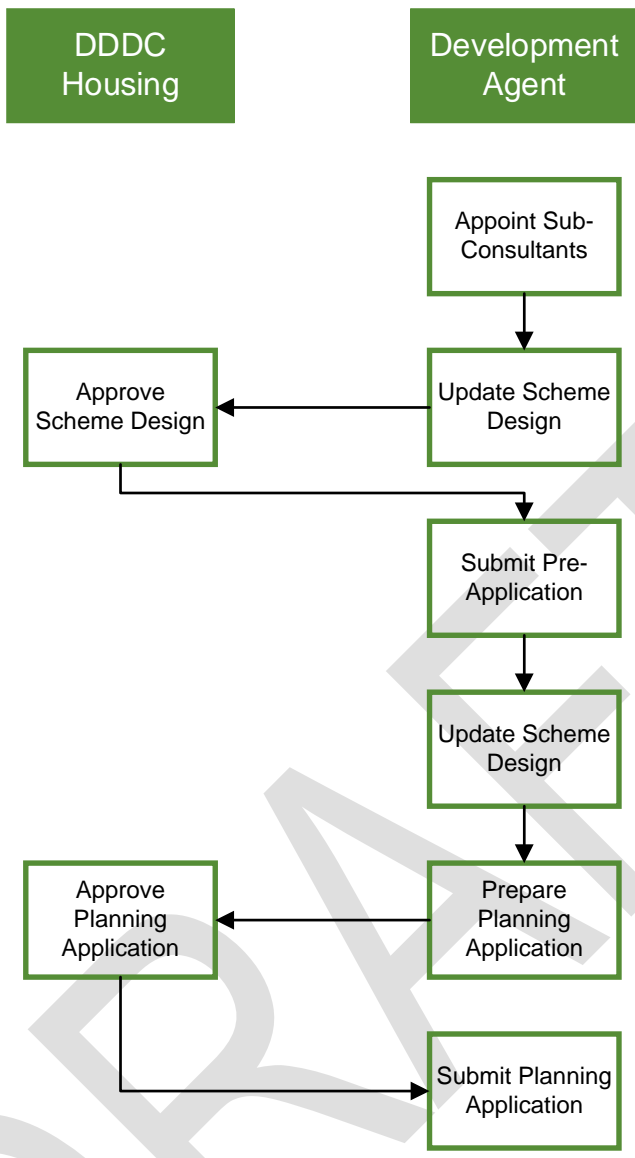


Figure 2 Scheme Design and Planning Permission Flowchart

4 | Stage 3: Tendering

4.1. Introduction

- 4.1.1. This section sets out the specification of services required from the Development Agent for Tendering.
- 4.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Development Agent. This includes a number of target outcomes and standards expected from the service.

4.2. Purposes and Objectives

4.2.1. This stage aims to:

- Procure / appoint build contractors required for the phases' developments
- Complete any required documentation prior to Start on Site

4.3. Services to be provided

- 4.3.1. A key service the Development Agent will have to provide is the appointment of all professional and technical assistance required to progress the phases in line with relevant procurement policies and DDDC's requirements.
- 4.3.2. The Development Agent and DDDC will discuss what procurement route should be taken for the programme. The Development Agent will provide advice, specifically identifying an EU compliant approach to partnering of competitive tendering.
- 4.3.3. The Development Agent will be required to undertake the following services related to tendering:
 - Support, where necessary, the production of procurement documents
 - Assisting DDDC in the analysis of tender documents
 - Preparation of Tender Report with conclusions and recommendation
 - Evaluate the successful bidders workload, capacity and insurances
- 4.3.4. It is paramount that these procurement exercises are undertaken with concern and awareness for ensuring value for money and the Council's strategic objectives.
- 4.3.5. The Development Agent will appoint the successful bidders on behalf of DDDC.
- 4.3.6. Once appointed, the Development Agent will negotiate the start on site date and programme of work with the build contractor.

- 4.3.7. After appointment and prior to Start on Site, the Development Agent will be required to produce pre-start financial appraisals and cashflows for each phase.
- 4.3.8. Additionally, the Development Agent will liaise with DDDC's legal advisors on all aspects of the scheme and arrange for the completion of any required legal documentation prior to Start on Site.
- 4.3.9. Again, it should be noted that these services around tendering will not be required for any S106 properties in the programme. These properties will be acquired after external parties have completed their design, planning and construction so no tender process will be required to acquire them.

4.4. Target Outcomes and Standards

4.4.1. The outcomes and standards of this stage are:

- All appointees are in line with the Council's requirements
- Value for money has been achieved with the appointees
- All documentation and enabling activities for the Start on Site has occurred for the scheme to progress

4.4.2. DDDC wishes to ensure extra effort is used to procure local bidders to support the local economy.

4.5. Key Roles and Responsibilities

4.5.1. The flowchart overleaf provides a brief overview of the responsibilities and roles of both the Development Agent and DDDC Housing for this stage.

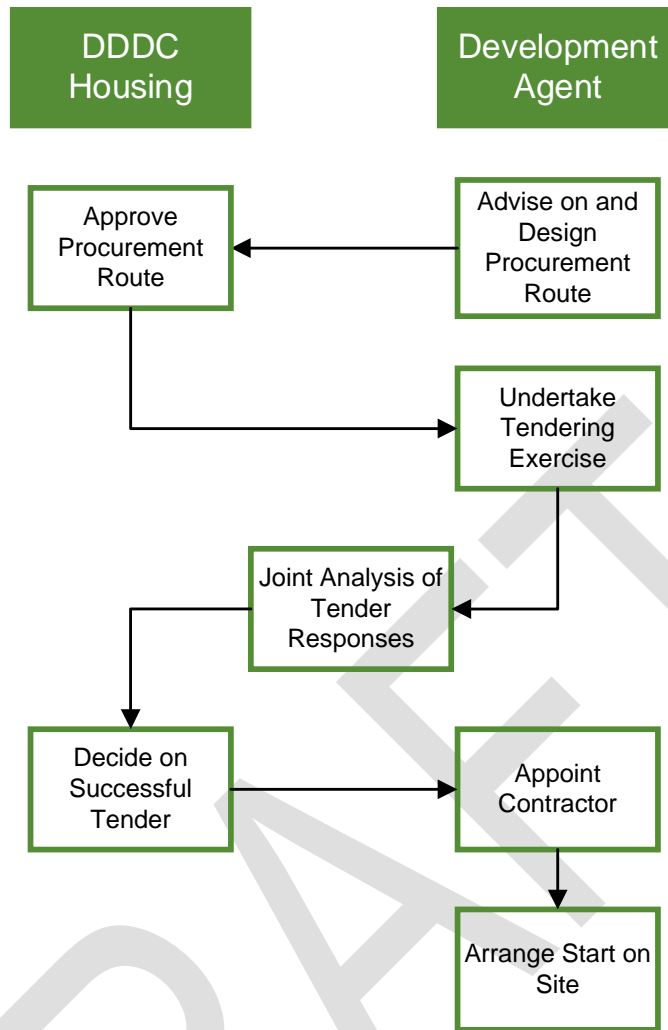


Figure 3 Tendering Flowchart

5 | Stage 4: Building Contract / On-site

5.1. Introduction

- 5.1.1. This section sets out the specification of services required from the Development Agent during the Building Contract / On-site stage of the DDDC's development programme.
- 5.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Development Agent. This includes a number of target outcomes and standards expected from the service.

5.2. Purposes and Objectives

- 5.2.1. The purposes and objectives of these services are to:
 - Manage the activities of the on-site components of the phases
 - Monitor and report on the activities of the on-site components of the phases
 - Update DDDC on the progress of the scheme

5.3. Services to be provided

- 5.3.1. The Development Agent will be required to undertake the following project management services whilst construction occurs:
 - Attend pre-start meetings
 - Attend site meetings
 - Check and process contract payments
 - Advise the DDDC on any revisions or variations to agreed cost and specification
 - Monitor scheme against agreed milestones and advise DDDC of progress and, if delays occur, swiftly notify DDDC of the length of delay and any cost implications
 - Manage and maintain a live risk register that evolves with the construction
 - Update the DDDC quarterly on the scheme's cash flow
 - Organise design review meetings and provide summaries of these meetings
- 5.3.2. The Development Agent will coordinate the practical completion of the property and ensure that the properties have been scheduled into the Management Agent's systems. The Development Agent will also be required to provide support for any opening events and work with DDDC's marketing team to ensure there is good publicity for the new Council homes.

- 5.3.3. Once each phase is complete, the Development Agent will be required to provide DDDC with a report on the phase and, if required, present this report at relevant Committee meetings.
- 5.3.4. DDDC anticipate that, given the variety of delivery routes in the housebuilding programme, that the on-site services will differ between S106, empty homes and new build schemes. The Development Agent should be adaptable to these differences and have experience of tackling these different delivery routes.
- 5.3.5. All residential units are expected to be constructed to a high standard and in line with building regulations.
- 5.3.6. Additionally, all units, except those delivered through S106 opportunities, will be built with special energy efficient improvements and the Development Agent will be required to assist in the delivery of these improvements. This measure is in response to the climate emergency that has been declared by the Council. DDDC have a budget of £10,000 per unit for energy efficient improvements.
- 5.4. Target Outcomes and Standards
- 5.4.1. The outcomes of these services are:
- The on-site activity is well-managed
 - DDDC swiftly notified of any significant changes and any minor changes are reported appropriately
- 5.5. Key Roles and Responsibilities
- 5.5.1. The flowchart overleaf provides a brief overview of the responsibilities and roles of both the Development Agent and DDDC Housing for this stage.

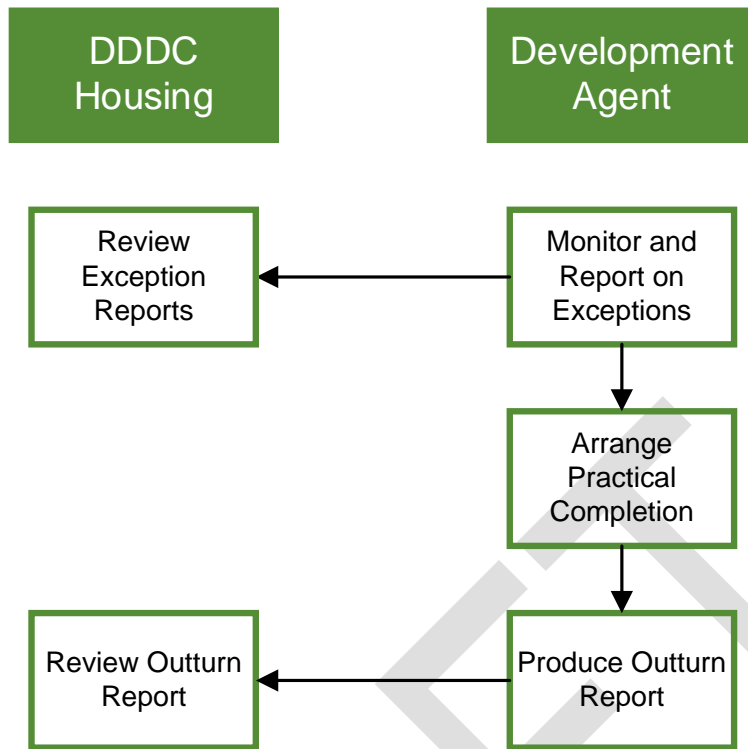


Figure 4 Building Contract / On-site Flowchart

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6 | Stage 5: Bid (if appropriate)

6.1. Introduction

- 6.1.1. This section sets out the specification of services required from the Development Agent for Bidding.
- 6.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Development Agent. This includes a number of target outcomes and standards expected from the service.

6.2. Purposes and Objectives

6.2.1. This stage aims to:

- Successfully bid for funding, if appropriate and needed for the programme or phase

6.3. Services to be provided

- 6.3.1. If appropriate, the Development Agent will provide advice to the Council on prevailing market conditions and recommend the level of grant to be bid for. Additionally, the Development Agent should provide guidance on the process of submitting a bid to a funding provider. It is expected that the funding provider will most likely be Homes England, however the Development Agent may be required to submit bids to other funding providers.
- 6.3.2. If it has been agreed with DDDC that a bid is to be submitted, the following services are required from the Development Agent:
 - Preparation of bid stage information that is submitted to the Council for approval
 - Arrange submission of the bid into the funding provider's system
 - Monitor the submission of the bid and respond to any queries by the funding provider regarding the bid
 - Inform the Council of the results of the bid submission when informed by the funding provider
- 6.3.3. The Development Agent will be an Investment Partner of Homes England (or similar arrangement) to access grant and maintain this status through the period of the Development Agent contract (or commit to securing this status with Homes England prior to entering into the Development Agent contract). DDDC will access grant through this arrangement as a sub-partner of the Development Agent.

6.4. Target Outcomes and Standards

6.4.1. These services will ensure:

- A bid for funding is approved by the Council
- The process of bidding is seamless
- A bid is successful

6.5. Key Roles and Responsibilities

6.5.1. The following flowchart provides a brief overview of the responsibilities and roles of both the Development Agent and DDDC Housing for this stage.

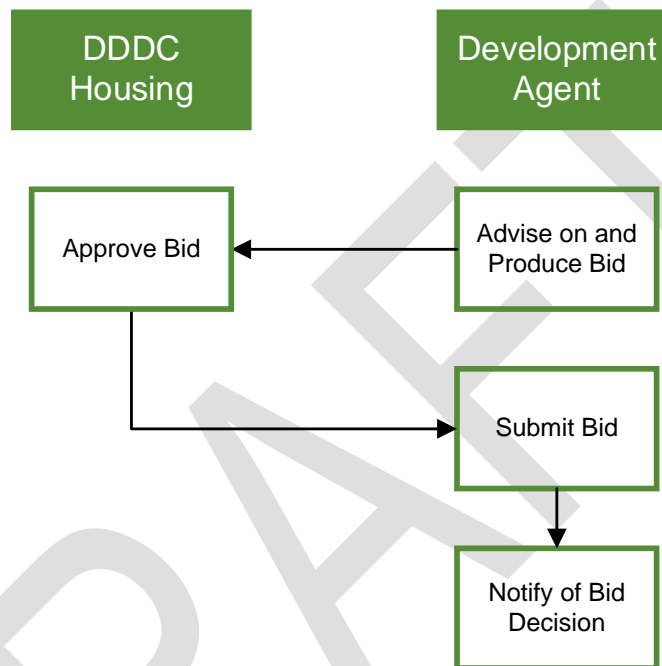


Figure 5 Bid Flowchart

7 | Stage 6: Audit Compliance

7.1. Introduction

- 7.1.1. This section sets out the specification of services required from the Development Agent for Audit Compliance.
- 7.1.2. The following sections of this specification describe the key purpose and objectives of the service, as well as processes and activities that need to be undertaken and delivered by the Development Agent. This includes a number of target outcomes and standards expected from the service.

7.2. Purposes and Objectives

- 7.2.1. These Audit Compliance services aim to ensure:
 - The Council remains informed throughout the programme
 - The homes are built to a required standard
 - The Council's interests remain primary throughout the programme
 - All contractual obligations of external funding are met

7.3. Services to be provided

- 7.3.1. The following audit compliance services as required of the Development Agent:
 - Provide monthly performance reports to the Council
 - Maintain a record of financial appraisal performance through the approval stages of the programme.
 - Production and maintenance of a detailed audit trail for the developments that is in line with the requirements of DDDC and any external funders
 - Ensure schemes meet all required standards
 - Ensure schemes meet contractual obligations in line with the requirements of any external funding
 - Provision of ongoing management of schemes against milestones agreed with any external funding bodies, for instance Homes England, and provide advice where delays occur
 - Coordination of the provision of all certification and approvals required for any external funders
 - Remain in accordance with Homes England's standard audit compliance requirements
- 7.3.2. The Development Agent should throughout the project act and progress the phases and the overarching programme in the best interests of the Council.

- 7.3.3. Throughout the contract, the Development Agent will report to DDDC Housing who will have delegated authority. This delegated authority will be utilised to provide approval to the Development Agent where necessary against key milestones / gateways.
- 7.3.4. The Development Agent will carry out all relevant and required activities on Homes England Investment Management (or any successor systems) to secure grant funding and any requirement input or system management prior to, during or post grant funding being secured.
- 7.3.5. Where required, the Development Agent may be requested to provide training on development matters to DDDC staff.
- 7.3.6. The Development Agent will ensure the Council's Building Control Service undertakes the Building Control service for the programme.

7.4. Target Outcomes and Standards

7.4.1. These services will ensure:

- All homes are built to a high-quality standard as well as containing strong energy efficiency measures
- There is a robust detailed audit trail that covers the entire scope of the programme
- The Council is well-informed throughout the programme
- External funders, where there are delays, are notified promptly and there are assurances that no contractual obligations are being broken

8 | DDDC's Responsibilities, Performance Management and Contract Management

8.1. DDDC's Responsibilities

8.1.1. DDDC's responsibilities are as follows:

- Identifying potential site / property / S106 opportunities, alongside the Development Agent
- Setting its development appraisal assumptions and informing the Development Agent of the approved assumptions.
- Checking and ensuring the development appraisal model is set in accordance with its assumptions.
- Obtaining and providing all necessary internal approvals in order for the development to proceed in a timely manner.
- Putting in place the necessary development finance in order to ensure completion of the development.
- Checking the financial capacity of all suppliers in relation to the development

8.2. Performance Management and KPIs

8.2.1. DDDC is seeking to adopt the Development Agent's existing KPIs for their development programme.

8.2.2. As part of the evaluation process for the tender, Bidders are being requested to provide their KPIs, considering best practice and common approaches to KPIs in the sector.

8.3. Contract Management

8.3.1. As noted throughout this specification, DDDC requires robust and high-quality contract management from the provider.

8.3.2. The following elements of contract management are required from the provider:

- Monthly performance reports
- Quarterly programme reporting on scheme progress and financial viability
- A performance and update meeting with DDDC every two months
- Quarterly updates of on-site scheme's cashflows
- Attendance at Committee meetings, when required

8.3.3. Additionally, DDDC will set a series of thresholds, relating to budget and other key programme matters, with the Development Agent once appointed. The

Development Agent will be required to immediately report to DDDC, if these thresholds are exceeded.

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9 | Appendix 1 – Development Pipeline

9.1.1. Below is DDDC's anticipated development programme. It outlines the number of units the Development Agent is expected to develop per year in the 7 years of the 10-year contract, where the Development Agent services are required.

9.1.2. This programme is not final and may change.

	20/21	21/22	22/23	23/24	24/25	25/26	26/27
Unit Type	Unit Number	Unit Number	Unit Number	Unit Number	Unit Number	Unit Number	Unit Number
Empty Homes	0	2	2	0	2	2	0
S106	7	0	8	4	4	6	6
New Build	0	6	0	2	0	0	0

COUNCIL
2 JULY 2020

Report of the Director of Corporate Services

LOCAL GOVERNMENT BOUNDARY REVIEW

PURPOSE OF REPORT

To agree a submission to the Local Government Boundary Commission on the size of the Council for consideration as part of a full review of electoral boundaries within the District.

RECOMMENDATION

That the draft submission to the Local Government Boundary Commission recommending a Council size of 33 is considered.

WARDS AFFECTED

All

STRATEGIC LINK

The issue of Council size is a key consideration when delivering on the Council's ambition and its Corporate Plan.

1 BACKGROUND

- 1.1. The Local Government Boundary Commission for England is a parliamentary body established by statute to conduct boundary, electoral and structural reviews of local government areas in England. The Commission is independent of government and political parties, and is directly accountable to the Speaker's Committee of the House of Commons. An electoral review considers whether the boundaries of wards or divisions within a local authority need to be altered to take account of changes in electorate. Reviews of electoral boundaries may be undertaken on request by the local authority concerned, or in this case to correct an apparent inequality in the member: elector ratio.
- 1.2. When established in 1974, West Derbyshire District Council (as it was then) comprised 39 Councillors. A Review by the Commission in 1999 confirmed the Council size of 39 and resulted in the realignment and renaming of 20 of the 25 Ward boundaries.
- 1.3. This 2019 Review, was triggered by a number of Wards being + or – 10% from the average elector ratio, currently 1512, based on the February register of electors.
- 1.4. The Review seeks to adjust electoral ward boundaries to correct the current inequality and have asked us to forecast changes to elector statistics to 2026.

- 1.5. Stage 1 of the review concentrates solely on Council size and no regard has been taken in preparing this report as to where lines may ultimately be drawn on a map. Actual ward boundaries will be considered and consulted upon during Stage 2 of the Review.
- 1.6. The Commission has no perception about the right number of Councillors to represent the Council. There is no national template to apply and each case is considered on its own merit.
- 1.7. Representatives from the Commission visited the Council in 2019 and made presentations to Officers and Councillors on this Council and to an invited audience representing parish and town councils.
- 1.8. The Commission's guidance requires the Council to consider the optimum number of Councillors required to :
 - take decisions effectively,
 - manage the business and responsibilities of the Council successfully,
 - provide effective community leadership and representation.

A draft submission based around the template provided is attached at Appendix 1. It must be stressed at this point, that the recommended figure is an officer opinion. Council is actively encouraged the review the evidence and come to a different conclusion if it sees fit. The Commission will also accept submissions based on alternative numbers from individuals or political groups.

2. REVIEW METHODOLOGY

- 2.1 By adhering to the Commission's guidance and template, the following methodology was employed in producing the draft submission:
 - Questionnaire to all Councillors based on the Local Government Association census of 2018, on time spent and qualitative questions on the role of Council. A number of questions were duplicated in order to provide context to comparisons.
 - Development forecast to 2026 on all parts of the District (including the National Park area)
 - Elector forecast to 2026 by Ward and Electoral Division
 - Analysis of existing arrangements and mapping of change over time since the last review
 - Comparison with neighbouring authorities
 - Review of Commission's guidance on valid considerations
 - Thinking ahead to the Council's future plans and ambition

2.2 Electoral and Development Forecasts

The Commission request forecasts for electoral numbers to 2022 using housing data projections and electoral registration rates. The methodology for this element is attached as part of the submission in Appendix 1. The following table shows the elector forecast to 2026. The base electorate for 2020 is that published in the February 2020 edition of the Register of Electors. Wards forecast with a voter inequality of +/- 10% are highlighted in red.

2.3 Development Forecasts to 2026

The following table details the expected rates of residential development forecast to 2026 across the Derbyshire Dales, including within the Peak District National Park.

Please note the data provided covers the period 1/4/2018 to 31/03/2019.

Ward	Development rates to 2026 (No. dwellings)				
	Local Plan Allocation Sites ¹	Resolution to Grant Sites ²	Commitments ³	PDNPA Commitments ⁴	TOTAL ⁵
Ashbourne North	28	0	27	0	55
Ashbourne South	0	0	278	0	278
Bakewell	0	0	0	6	6
Bonsall	0	0	0	0	0
Bradwell	0	0	0	59	59
Brailsford	0	0	164	0	164
Calver	0	0	0	1	1
Carsington Water	0	0	12	0	12
Chatsworth	0	0	0	1	1
Clifton and Bradley	50	0	27	0	77
Darley Dale	96	0	125	0	221
Dovedale and Parwich	0	0	2	10	12
Doveridge and Sudbury	18	0	137	0	155
Hathersage and Eyam	0	0	0	7	7
Hartington and Taddington	0	0	0	10	10
Hulland	0	0	106	0	106
Lathkill and Bradford	0	0	0	2	2
Litton and Longstone	0	0	0	3	3
Masson	0	0	12	0	12
Matlock All Saints	239	0	117	0	356
Matlock St Giles	0	68	206	0	274
Norbury	0	0	70	0	70
Stanton	0	0	10	14	24
Tideswell	0	0	0	6	6
Winster and South Darley	0	182	3	1	186
Wirksworth	150	0	81	0	231
Total No Dwellings to 2026	581	250	1377	120	2328

Footnotes

- 1 Residential units anticipated to come forward on sites allocated for development within the Adopted Derbyshire Dales Local Plan
- 2 Residential units anticipated to come forward on sites with a 'resolution to grant planning permission'
- 3 Residential units anticipated to come forward on sites with an extant planning permission
- 4 Residential units anticipated to come forward on sites with planning permission in the Peak District National Park
- 5 Total anticipated amount of residential development by 2026

2.4 Forecast Electoral Variances

Ward	No. of Cllrs	Electorate 2020	Variance 2020 %	Electorate 2026	Variance 2026
Ashbourne North	2	2961	-0.63	2922	-3.37
Ashbourne South	2	4193	40.71	4682	54.83
Bakewell	3	3652	-18.30	3553	-21.67
Bradwell	1	1505	1.01	1464	-3.18
Brailsford	1	1539	3.29	1874	23.94
Calver	1	1494	0.27	1453	-3.90
Carsington Water	1	1576	5.78	1533	1.39
Chatsworth	1	1389	-6.78	1352	-10.58
Clifton & Bradley	1	1484	-0.40	1476	-2.38
Darley Dale	3	4745	6.16	4810	6.04
Dovedale & Parwich	1	1372	-7.92	1336	-11.64
Doveridge & Sudbury	1	1634	9.67	1873	23.87
Hartington & Taddington	1	1390	-6.71	1354	-10.45
Hathersage & Eyam	2	3208	7.65	3120	3.17
Hulland	1	1511	1.41	1664	10.05
Lathkill & Bradford	1	1293	-13.22	1258	-16.80
Litton & Longstone	1	1334	-10.47	1296	-14.29
Masson	2	2442	-18.05	2375	-21.46
Matlock St Giles	3	4464	-0.13	4793	5.66
Matlock All Saints	3	4417	-.18	4428	-2.38
Norbury	1	1432	-3.89	1461	-3.37
Stanton	1	1464	-1.74	1423	-5.89
Tideswell	1	1399	-6.10	1361	-9.99
Winster & South Darley	1	1365	-8.39	1328	-12.17
Wirksworth	3	4845	8.39	4776	5.29

3 KEY FINDINGS

- Elector growth to 2026 is predicted to be slow. 4.998% from baseline in February 1997
- Elector spread throughout a large rural area makes exclusive single Member Wards unfeasible and would exacerbate the current voter inequality
- The Council's finances limit its ambition as it becomes more reliant on income which is highly susceptible to external influences and the market economy
- Areas of the District within the Peak District National Park continue a longstanding trend of limited development
- Derbyshire Dales District Councillors spend 50% less time in fulfilling their role compared to the national average. This is attributable in part to the District Council's role in actively transforming service delivery and customer contact and streamlined decision making over time
- The decision making structure has also contracted to allow elected Members to concentrate on important strategic matters.
- Since the last boundary review, the District Council has undergone significant and substantial changes in its organisational structure, range of service delivery and budget. This level of contraction does not justify growth in Council size and makes the status quo position difficult to defend.
- Residents have also changed how they access council services, with advances in ICT meaning the vast majority of the public no longer need to contact their councillor to find out about council services, meetings or decisions
- Comparisons with neighbouring and comparator authorities which have been the subject of a recent review by the Commission, has proved inconclusive as very few operate a Committee system

4. CONCLUSION

Although the District Council has undergone significant change since the last boundary review, which could justify a reduction in size alone, the Council needs to retain a level of flexibility to support the future ambitions of the Council as well as its residents.

Furthermore, the District Council should be mindful of not creating a situation where Wards would cover expansive areas which could erode community identities based purely on elector ratio figures.

A Council size of 33 is considered to be a proportionate response to the challenge of reviewing the Council size. A council of 33 would result in an elector/member ratio of 1786 in 2026 – a modest increase of 15%

5. TIMETABLE

- 5.1 The Timetable for the Review has been revised, taking account of the delay cause to the initial plans as shown in the table below.

Draft council size submission	3 July 2020
Final council size submission	1 August 2020
Receive electoral forecasts	10 August 2020
Council size Commission meeting	18 August 2020
Warding patterns consultation opens	25 August 2020
Warding patterns consultation closes	2 November 2020
Commission meeting to agree draft recommendations	19 January 2021
Draft recommendations consultation opens	2 February 2021
Draft recommendations consultation closes	12 April 2021
Commission meeting to agree final recommendations	15 June 2021
Final recommendations published	29 June 2021

5.2 Consultation plans have also been revised to reflect the Covid. 19 restrictions. The Commission is fully equipped for remote working and activities are designed to be particularly sensitive to:

- the capacity of local authorities to engage s whilst they were focusing on their critical task of delivering essential public services
- the need to ensure that it consults in ways that do not compromise appropriate input from residents and organisations.

5.3 During the Review the Commission intends to carry out effective consultation by

- working closer with councils to ensure it is reaching a wide range of stakeholders
- developing materials to help community groups gather views from their members and make effective submissions
- holding community and council briefings without the need for face-to-face meetings
- making its promotional and informational materials more suitable for on-line viewing, and making greater use of graphics and animations
- boosting its social media engagement, particularly Facebook
- engaging in a scanning house to ensure it can continue to receive and process postal submissions even in the event of full building closure

6. RISK ASSESMENT

6.1 Legal

The powers of the Commission are set out in the main body of the report.

6.2 Financial

The revenue budget for 2020/21 includes £181,069 for Members Allowances and £52,464 for Special Responsibility Allowances. A reduction in the number of members from 39 to 33, based on the current basic allowance of £4,504 p.a., could generate an annual saving of £27,024. The financial risk is assessed as low.

7. CONTACT DETAILS

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Email: sandra.lamb@derbyshiredales.gov.uk

8. BACKGROUND PAPERS

2019 Elected Member Survey
Local Government Boundary Review Guidance

9. APPENDICES

Appendix 1 – draft submission including methodology on elector and development forecasts

Derbyshire Dales District Council

Council Size Submission

Submission by Derbyshire Dales District Council

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1. Local Authority Profile

- 1.1 The District of Derbyshire Dales covers an area of approximately 780 km² on the west of Derbyshire.
- 1.2 The total population is in the region of 72,000. Just over half of the District lies within the Peak District National Park and about one third of the National Park is within the Derbyshire Dales, which presents both opportunities and challenges. Clearly this area is a local tourist attraction with a recognised 'brand name', which helps to explain the number of visitors to the district, but the special purpose of the Park also conflicts to some degree with some of the Council's key issues, such as meeting the Council's objectively assessed housing need and the provision of affordable housing.
- 1.3 The District of Derbyshire Dales is wholly 'parished', the process having been completed by the West Derbyshire (Parishes) Order 1986. There are 111 parishes in the District. Eighty of those parishes are represented by 70 local councils (some are represented by joint parish councils). There are 497 seats on parish councils in the District.
- 1.4 According to the Derbyshire Observatory 2018 Area Summary Profile over a quarter of the resident population is over the age of 65, which is significantly higher than the average for Derbyshire and England. Conversely the District has a lower than average population of people under the age of 16. Approximately 20% of all households in the Derbyshire Dales area are considered to be deprived.
- 1.5 The following table summarises some key data about the district (ONS, 2018)

Population 71,977	71,977
Proportion under 18	17.2% (12,411)
Proportion aged over 65	25.5% (18,367)
Number of households	31,291
Satisfaction with the area as a place to live	94%
Satisfaction with the District Council's services	68%

- 1.6 Key challenges for Derbyshire Dales District Council include:
- 'Youth flight' from the District due to low local salary levels and high house prices
 - An increasingly ageing population
 - Delivery of key housing and employment sites.
- 1.7 In addition, and complementary to the 3 main themes of our [Corporate Plan](#), future challenges include:
- The need to review our approach and influence as a 'place shaper' in order to encourage a more environmentally sustainable future which delivers on our ambitious climate change targets in response to the global climate change emergency.

- The need to diversify our proven means of providing affordable housing in the future and expand into becoming an owner of social housing. A modest plan to build up to 50 properties is currently being considered as is the potential to deliver affordable homes for sale.
- The need to support economic growth through investing in key employment sites across the district, in order to increase productivity and provide higher wage job opportunities for our residents in both rural and urban locations.
- The need promote strategic investment in our market towns in order to facilitate a thriving day and night time economy which is capable of meeting increasing social, economic and environmental challenges.
- Developing more effective and sustainable relationships with our communities in order to help them develop tailored solutions for their community, and tackle the problems that are important to them within their communities.
- Utilising our resources as efficiently and effectively as possibly in order to respond to the challenges faced by our communities.

2. Strategic Leadership

2.1 Governance Model

Derbyshire Dales is a two tier authority area, which means that Derbyshire County Council provides some of the services received by the District's residents. At District level, Derbyshire Dales has 39 members and 25 Wards, with each Ward represented by one, two or three Members. No councillor represents more than 7 parishes.

2.2 Decision Making

Since the last Electoral Review in 1999, the District Council has continued to operate a Committee system with responsibilities set out in its Constitution https://www.derbyshiredales.gov.uk/images/Part_3_-_Responsibility_for_functions_20191.pdf

2.3 Delegated Decision Making

The Council has an extensive scheme of officer delegation, <https://www.derbyshiredales.gov.uk/your-council/council-constitution> which aims to speed up decision making and free up time in Committee.

In 2000, and again in 2016, the Council undertook a major review to significantly enhance the scheme of officer delegation arrangements in planning. The revisions to the delegation scheme were instigated to limit committee time spent on considering planning applications to those of a major and contentious nature. The level of

delegation for the last financial year was the highest on record at close to 94% and this was accompanied by application turnaround figures of over 90% for all 3 categories of development - major, minor and other. Ward councillors are fully engaged in the processing of planning applications, being notified of receipt of applications, invited to comment on applications and advised of decisions made electronically. The current arrangements safeguard the engagement of members in the planning process whilst freeing up officer time to improve submitted schemes across the board.

The Council has also moved away from a geographical approach to decision making since the last review and now has a single planning committee for the whole of the District outside the National Park.

The extension of delegated arrangements shows a corresponding reduction in man hours in committee as illustrated below in paragraph 3.2.

2.4 Portfolios

As a Committee structure, there are no portfolio holders. Individual decision making by Councillors is limited to distribution of the Local Projects Fund – small grants to local communities on a Ward basis.

However, certain individuals such as the Leaders of political groups and Chairmen of committees hold positions which attract a Special Responsibility Allowance. 9 individuals hold positions of responsibility - 23% of the total membership. This compares to the position nationally, with findings from the LGA survey which indicated that in 2018 53.8% of Councillors held at least one position of responsibility.

3. Accountability

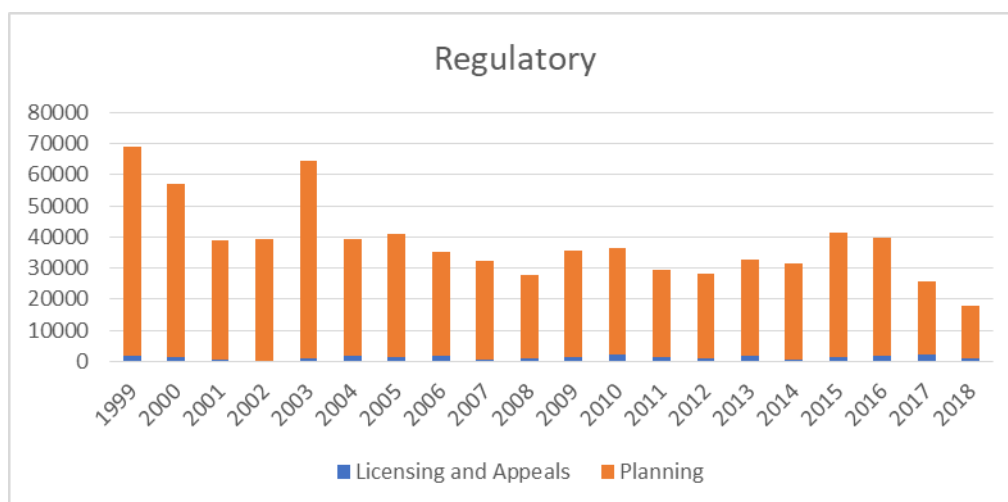
3.1 Internal Scrutiny

The District Council disbanded its Overview and Scrutiny Function in 2012. Policy development and the overview element has been developed by alternative means including task and finish groups and Member Workshops. For example a Member led task group is spearheading the District Council's response to the climate emergency. Full Member Workshops were also an invaluable tool in scoping the level of service to be included in the renewal of the waste and recycling contract. The Constitution also provides the means for all Councillors to challenge the political leadership by Questions on Notice and Notices of Motion.

3.2 Statutory Function

In terms of the Regulatory function, the Council has a Licensing Committee of 12 members and a Planning Committee of 13 members. When meeting in a quasi-judicial capacity to determine appeals, the Licensing Committee forms a sub-committee of 3 members from the whole.

The workload of the Licensing and Planning Committees is illustrated below.



Planning showed a marked decrease after 2000 when new delegation arrangements were implemented to reduce the number of applications considered by Committee. With the exception of 2003, the lower level of man hours was maintained. The increase in 2015/16 is attributable to an increase in large applications submitted by developers to ‘beat’ the implementation of the new Local Plan.

An external review of the service was undertaken in 2016 which resulted in still lower levels of committee time as enhanced consultation and delegation arrangements were put in place.

The preponderance of planning in the graph hides the variation in Licensing and Appeals.

3.3 Licensing

The increased activity in licensing in 2004, was attributable to the new alcohol licensing regime and again in 2016/17 to a spate of taxi licensing appeals resulting from a legacy issue. However the time commitment in this area remains variable but only contributes to a small proportion of the overall regulatory burden.

3.4 External Partnerships

The Council reviews its relationship with significant partnerships and outside bodies on an annual basis. The current list of affiliations is [\[link to annual meeting schedule\]](#)

The workload associated with an appointment varies, depending on the number of meetings; associated activities together with expected time commitment and any reporting back arrangements. The most onerous in terms of time demand are considered to be:

- Representatives to serve on the Peak District National Park Authority
- Representative on D2N2 Local Enterprise Partnership.

4. Community Involvement

4.1 Support to Elected Members

The District Council has an extensive Member Development Programme, which is co-ordinated by the Member Development Working Group. The Group reports to a policy committee and develops proposals for -

- the annual training programme;
- recommends which topics are to be defined as mandatory training and at what frequency;
- evaluates the effectiveness of the previous year's training programme;
- devises the Induction Programme, and
- reviews the role profiles for District Councillor and for those in positions of responsibility.

The requirement to attend mandatory training has now been incorporated into the District Council's Code of Conduct and failure to attend mandatory training may be considered to be a breach of that Code.

4.2 Community Leadership

The extent to which elected Councillors interact with their communities is very much up to the individual Councillor. However, a number of councillors are also members of their local parish council or have been elected to the County Council. The role profile for a District Councillor requires that each member establishes a link with their local parish councils. This usually means attending meetings on a regular or irregular basis to update their communities on matters of mutual interest. Some of the larger parish (town) Councils meet on a frequent basis, whilst smaller parish councils meet on a bi-monthly or quarterly basis. Role profiles are attached as an Appendix to this submission.

When it comes to engaging with constituents, 65.6% of respondents to the recent Councillor survey, reported the use of email as their most preferred option, dropping to 0% using Twitter as the least favoured option. The least used facility was Facebook and Surgeries.

Councillors also attend community groups and outside body meetings which are established to deal with localised issues. Whilst this level of representation is acknowledged and facilitated by the Council it is not recognised as an 'Approved Duty' for the purposes of the Members Allowance Scheme.

Although the Council operates through a Committee system, it has delegated individual decision making to all Councillors to discharge its Local Projects Fund. The fund enables grant aid to support community led initiatives in the area they represent. Each year £900 is allocated to each Councillor to grant aid projects or initiatives, in their Ward, that will benefit the local communities and be valuable to the area. The Fund provides for a wide degree of flexibility and can be used to support one off projects, ongoing activities and the development of sustainable, longer term projects.

4.2 Casework

From the recent survey of councillors 85% of the respondents said that they considered representing local residents their top priority and spent 5.9% of their time overall on achieving that. 45% also said that representing communities is important. 4.3% of time spent overall was in attending parish council meetings.

5. Other Issues

5.1 Organisation structure and workforce.

5.2 At the time of the last review the Council's workforce in 1999 was 497 representing the total number of jobs. Due to a contraction in service delivery documented elsewhere and the need to make economies, the workforce has shrunk to 223 jobs in 2020 (174fte).

5.3 Service departments increase capacity due to the seasonal nature of some jobs by the recruitment of temporary, agency staff not accounted for in the figure above.

6. Changes in Council Finances

The table below shows changes in key financial data from 1999/2000 to 2019/20:

Data	1999/2000	2019/20
General Fund gross revenue spending	£18.1m	£17.6m
Funded by:		
Sales, fees and charges	38%	41%
Council tax	19%	34%
Government grants	43%	8%
Retained business rates	(incl in gov't grants)	17%
Capital spending	£3.2m	£2.8m
Housing Revenue Account gross spending	£7.6m	Not applicable
General Fund balances	£1.3m	£2m
Strategic Reserves	£3.6m	£12m
Band D Council Tax	£102.94	£209.27

The table above shows that over the twenty year period there has been a significant change in the way that the Council is funded, with less reliance on government grants and more funding from council tax (in particular), retained rates and sales, fees and charges. The years of austerity resulted in ongoing savings of £2.7m from 2015/16 to 2019/20, evidenced in part in the reduced workforce mentioned in section 5.

In March 2020 the Council set a corporate savings target to identify ongoing annual savings (or additional income) of £250,000 a year to balance the revenue account in the medium term. That will almost certainly change as a result of:

- government reviews of funding and business rates;

- any ongoing impact arising from the additional expenditure and lost income due to the coronavirus pandemic.

Whilst levels of reserves and balances were healthy prior to the coronavirus pandemic, these could be significantly depleted if the extra costs and income shortfalls arising from the coronavirus lockdown are not fully offset by government grants.

In view of the above, an increase in the cost of democracy would not be appropriate or sustainable at this time.

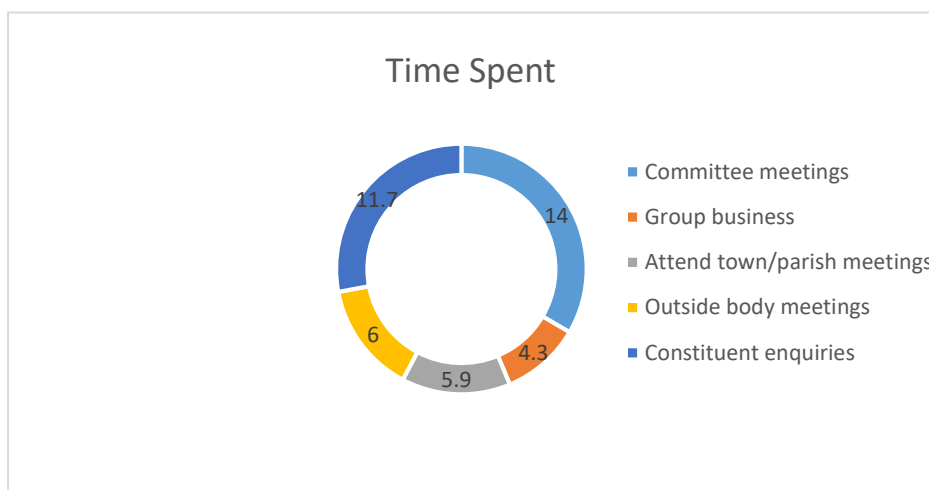
7. Comparison with other authorities

7.1 In terms of comparisons with other authorities, Derbyshire Dales frequently uses benchmarking data provided by similar authorities in the Audit Commission Family Group. The following table shows how Derbyshire Dales compares to members of the Group that have recently undergone a similar review of its electoral boundaries. Unfortunately, only one comparator operates a Committee system similar to Derbyshire Dales.

Authority	Review date	Council size		Electorate		% growth	Elector Ratio		Governance Model
		Start	End	Start	End		Start	End	
Babergh	2018	43	32	71656	74575	9.6	2240	2330	Cabinet
Cotswold	2017	44	34	68723	74211	9.3	2021	2183	Cabinet
Forest of Dean	2017	48	38	66941	73509	9.1	1762	1934	Cabinet
Derbyshire Dales	2020	39	33	57618			1477		Committee
Hambleton	2012	44	28	70884	75647	9.4	2532	2802	Cabinet
Mid Devon	2019	42	42	63272	69724	9.1	1506	1660	Cabinet
Mid Suffolk	2018	34	34	79119	82784	9.5	2327	2435	Cabinet.
Ribble Valley	2016	40	40	45441	48027	9.5	1136	1221	Committee x 6 plus regulation and PC Liaison
Richmondshire	2017	24	24	35908	38339	9.4	1496	1587	Cabinet

8. Member Survey

- 8.1 A survey was conducted of all Councillors, in October 2019, based on the national LGA census of 2018. Top priorities and time spent has been referenced elsewhere in the submission.
- 8.2 In terms of time spent overall, Derbyshire Dales Councillors spend on average 41.9 hours per month being a Councillor, compared to 22 hours per week in the LGA national survey.
- 8.3 Derbyshire Dales Councillors time spent is broken down as follows (based on mid-point responses).



8.5 Anticipated Change

23 responses were recorded as to whether change was anticipated in terms of the amount of time spent on Council business.

13 responded yes. Reasons given included:

- New initiatives
- Time spent dealing with constituents communicating and dealing with new initiatives, e.g. waste, significant building plans
- General expectation that more work will come with greater experience
- General expectation that new political balance will require groups to work harder
- Increased workload with new role

6 responded that they didn't not expect the work to increase but without reasons and 3 responded that the workload would probably be the same as now.

9. Summary

9.1 The Council is seeking a reduction in the number of Councillors and submits that the Council size be reduced from 39 to 33, given the reduction in service responsibilities over recent years and specifically since the last Electoral Review in 1999, namely

- the transfer of the Council's housing stock;
- the outsourcing of the Council's leisure service;
- the outsourcing of the Building Control service
- the outsourcing of the Revenues and Benefits service
- continued outsourcing of the waste and recycling service;
- reduction in the Council's budget and human resources
- pressures on sustaining the Council's financial position given the reduction in external funding

- streamlining formal decision making and working practices
- enhancing the ability for customers to transact business without the need to contact the Council in person
- slow growth in population in comparison to authorities of a similar size

The Council is proposing a reduction in the number of Councillors by 15%.

Utilising the evidence submitted, the Council considers that such a reduction would be appropriate whilst maintaining a robust approach to effectively discharging its responsibilities.

Growth in numbers or the status quo option have been discounted on the basis of proportionality and the certainty of available finance to fund statutory responsibilities and future ambition. The Council concludes that a reduction in numbers by 6 would not adversely affect service delivery or affect the needs of constituents and elected Members in terms of community engagement. The Council further contends that the reduction is fit for a District Council with reduced service delivery responsibilities in the Peak District National Park.

July 2020

APPENDIX 1

Derbyshire Dales District Council Electoral Review May 2020 Rationale for the Projection of Electors to 2026

This note details the process of production of electorate projections, at polling district, parish and district ward level as part of the Electoral Review process.

The approach relies on forecasting future electorate on the basis of observed ratios of electorate and dwelling numbers at the most recent date for which actual data is available (January 2020). The ratios have been applied to forecast dwellings completions up to 2026 to produce electorate forecasts for 2026.

The following data inputs were used:

- Dwelling completion forecasts for sites of 10 or more dwellings to 2024/25
- Dwelling counts, by polling district from electoral rolls
- ONS mid-2018 population estimates
 - Sub-national projections of adult (18+) population for districts 2016 – 2026 (ONS 2016-based sub national population projections)

A number of other data items were also considered including electorate data and changes prior to 2020 and vacancy rates as recommended in the LGBCE Guidance but it was concluded that in the case of Derbyshire Dales the data did not improve the accuracy of the analysis and electorate projections.

The following steps were taken in forecasting future electorate:

- The number of dwellings for each polling district were taken from the electoral rolls for 2020.
- The future anticipated dwelling completions at polling district level were calculated by taking site by site completions forecasts and allocating these to polling districts based on the site centroid. Only sites of ten or more dwellings were included as recommended in the LGBCE Guidance.
- These forecasts were then cumulatively added to the 2020 dwelling totals for each polling district.
- The ratio of dwelling to electorate at 2020 was then applied to the dwelling forecast to produce a basic electorate forecast to 2026.
- These forecasts were then summed to district level for each forecast year and compared with the ONS projected 18+ population for the corresponding year.
- The change in the ratio between the electorate forecast and the ONS projection for each year was then applied to each polling district forecast, to produce a forecast controlled to the change in the ONS projected population.
- The polling district forecasts were then summed to parishes and wards.

Electoral Boundary Review

Development Data

Methodology Statement June 2020

Context

The Derbyshire Dales Local Plan adopted in December 2017 identified a need for 5,680 new homes for the whole of the Derbyshire Dales for the period 2013-2033. Between 1st April 2013 and 31st March 2019 1,422 new homes have been completed across the Derbyshire Dales, including within the Peak District National Park. A number of new homes have been built mainly in and around the market towns of Ashbourne and Matlock and the larger settlements of Brailsford and Doveridge. Although the rate of new home building in Derbyshire Dales is at the highest for over 30 years there are a number of large complex brownfield sites situated in Matlock, Ashbourne and Wirksworth which have been allocated in the Derbyshire Dales Local Plan to accommodate over 2,500 new homes. These sites need a considerable amount of remediation and are therefore likely to come forward towards the end of the Plan period.

Identifying future housing development to 2026

In order to forecast the future electorate of the Derbyshire Dales the Boundary Commission requires details of the prospective scale, pattern, location and timing of new residential development in the area and the likely impact on the number of electors, forecast over the next six years to 2026. The initial stage of the review involved identifying the potential number of new electors in each polling district due to new housing development.

The District Council is required by the National Planning Policy Framework (NPPF) to identify and update annually a supply of specific deliverable sites sufficient to provide five years' worth of housing against their housing requirement. The District Council has undertaken an assessment of its five year housing land supply and identified sites which are considered to be deliverable in principle, namely those sites which have planning permission, or a resolution to grant planning permission; and are allocated for development within the Derbyshire Dales Local Plan. This data has been utilised, along with details of sites with extant planning permissions within the Peak District National Park area of the Derbyshire Dales to forecast the number of new dwellings to be completed across the Local Authority area. It is forecast that 1,747 dwellings will be completed on sites with planning permission (including sites with a resolution to grant planning permission) by 2026.

As set out within the NPPF, local planning authorities are also required to identify a supply of specific, developable sites or broad locations for growth beyond the next five years for years 6-10 and where possible for years 11-15 to produce a housing trajectory illustrating future likely development. The National Planning Practice Guidance (NPPG) advises that once the sites have been assessed, the development potential of all sites

can be collected to produce an indicative trajectory. This sets out how much housing development can be provided and at what point in the future.

This information has been used to forecast the anticipated number and phasing of new dwellings that may be completed on sites allocated for residential development within policy HC2 of the Adopted Derbyshire Dales Local Plan by 2026. It is forecast that 581 new dwellings will be completed on sites allocated within the Derbyshire Dales Local Plan by 2026.

The District Council has used a set development rate to calculate how many units are likely to be delivered each year, this is based on historic build out rates and information supplied by the stakeholders responsible for the delivery of sites. In accordance with the requirements of the NPPF (para 74(a)) the development data and forecasts have been collated with the cooperation of the landowners and developers responsible for the delivery of sites identified therein. The Council has as strong degree of confidence that the sites identified in the housing land supply position will be delivered.

A total of 2,328 dwellings are forecast to be developed by 2026 across the Derbyshire Dales.

As all of the housing development data has site address details this has allowed each site to be allocated to a specific polling district. This information has been presented on digital GIS maps to show the scale and location of potential future housing within the corresponding polling districts and ward boundaries of the Derbyshire Dales.

COUNCIL

2nd JULY 2020

Report of the Chief Executive

STRATEGIC DIRECTOR RECRUITMENT

PURPOSE OF REPORT

The report sets out the Chief Executive's proposals to realign organisational resources in order to ensure that the Council is adequately resourced to deal with existing and future priorities and challenges.

RECOMMENDATION

That approval be granted for the implementation of Option 2 as outlined at Section 4 of the report, to facilitate the restructure of the Corporate Leadership Team, reducing the number of service departments from 6 to 5 and the recruitment of two Strategic Directors utilising external recruitment consultants.

STRATEGIC LINK

The appointment of Strategic Directors would provide capacity to support and deliver the ambitions set out by Members in the Corporate Plan 2020-2024.

1 BACKGROUND

- 1.1 As Head of Paid Service, it is my responsibility to inform Council of the staffing resources required to discharge the functions of the authority. It is also my responsibility to reflect upon the future ambition of the Council and advise whether we have the resources in place to deliver on the collective ambition of the Council.
- 1.2 Since 1st April 2014, the Council has delivered over £2.7m of savings and efficiencies and has fundamentally reviewed its approach to service delivery in order to deliver a balanced budget every year. This is against a backdrop of increasing demands for services both from residents and Members. In 2012, the District Council employed 391 staff. Today we employ 213. Excluding the outsourcing of the Leisure Service, the organisation today has more than 40 fewer staff supporting the delivery of services than it did in 2012.
- 1.3 Whilst the reduction in headcount has been necessary in order to deliver balanced budgets whilst seeking to minimise the impact upon our communities, there has been a significant impact upon staff in terms of customer expectations, increased workload and wellbeing.

- 1.4 At the meeting of Council on 16th January 2020, Members considered the Chief Executive's proposals to realign organisational resources in response to a number of staffing changes in order to ensure that the Council is adequately resourced to deal with existing and future priorities and challenges.

As part of that report, Council resolved:-

1. That Council support the principle of appointment to the post of 'Corporate Director' and that it is included within the draft budget for 2020/21 and the updated Medium Term Financial Plan at 'Corporate Director' (Grade CO2) which gives a salary scale range of £78,225 - £83,013 (or £100,461 - £106,683 including on-costs) and that a further report be presented to Council on the precise details and proposed recruitment process for this position.
 2. That the Chief Executive undertakes a review of existing roles and responsibilities within the Corporate Leadership Team in order to maximise strategic capacity to deliver on the Council's priorities.
- 1.5 Following the Council meeting, discussions have taken place with all service directors through 1:1's and / or PDR discussions. The views of individuals have been invited on how the structure of the organisation could be revised in order to meet future priorities and to provide additional strategic capacity in response to the recommendations of the Peer Review. The remainder of this report outlines the Chief Executive's proposals for member consideration.

2. CORPORATE PEER CHALLENGE

- 2.1 The final feedback report following the Local Government Association (LGA) Corporate Peer Challenge undertaken 22nd – 24th October 2019, acknowledged that the District Council has a good understanding and appreciation of its local context and is focussing on continually improving local community relationships. The Council is also regarded as an effective leader of the district by partners who attest to the authority being a good partner to work with. Underpinning all of our activities is a consistent record of good financial management. The Council, therefore, has a very strong foundation to build upon.
- 2.2 However, the key recommendations outlined to the Council as part of the LGA Peer Challenge report also offer a series of constructive challenges on the Council's need to:-
- Develop a strong narrative and vision for the area that is owned and understood by Members, Officers and key stakeholders.
 - Ensure the new Corporate Plan is forward looking and takes account of the potential for a fresh approach which is collectively owned and resourced.
 - Ensure that our commercialisation approach is sufficiently clear, ambitious and realistic.
 - Consider its own skills base and investment capability to promote jobs and business growth.

- Engage with strategic and local organisations to build trust and community capacity to advocate for and deliver on important initiatives.

3 ORGANISATIONAL STRUCTURE AND CAPACITY

- 3.1 The role of the Corporate Leadership Team is to develop and implement the Council's approved policies commensurate with the achievement of the Council's overall aims, objectives and priorities. CLT also discuss key issues affecting the management of the organisation and consider other internal control issues including risk management, performance management, compliance, efficiency and value for money and financial management.
- 3.2 The appointment of a new Chief Executive in June 2018 created a vacancy in the form of a Corporate Director. The role of the Corporate Director was first established in 2013 in response to an LGA Peer Challenge which identified a lack of strategic capacity to support the delivery of the Council's priorities. At this time, two Corporate Director posts were created with the intention of creating additional capacity at a strategic level, beyond Head of Service level. The role of the Corporate Director was to work with the Chief Executive in taking forward the transformation agenda and to deliver other strategic projects across the organisation.
- 3.3 The organisational structure approved by Council in 2013 and implemented on 1st February 2014 (*Appendix 1*), included the Chief Executive, 2 x Corporate Directors and 7 x Heads of Service. These Officers formed a Corporate Leadership Team of 10 highly experienced and skilled staff whose primary responsibility was to organise, manage and deliver the Council's frontline services and strategic priorities.
- 3.4 In January 2015, one of the Corporate Director posts was deleted from the establishment following the retirement of the post-holder and the savings accrued have contributed towards the Council's corporate savings target. The Head of Environmental Services also resigned her position (February 2017) and two departments were merged into one to form the Community and Environmental Services Department. The Corporate Leadership Team was thus reduced by 20% from 10 to 8 with some Heads of Service having extremely broad remits and strategic responsibilities.
- 3.5 Following the appointment of a new Chief Executive in June 2018, the remaining Corporate Director post has remained vacant on the establishment, thus reducing the strategic capacity of the organisation from 10 (February 2014), to 9 (January 2015), to 8 (February 2017), to 7 (June 2018). The Corporate Leadership Team is, therefore, now having to deliver the Council's services and priorities with 30% less strategic capacity than it had in 2014 and more than 40 fewer staff across the organisation. It is increasingly evident that this is having a direct and tangible impact upon the ability of the organisation to deliver on its strategic projects (both internally and externally) that sit outside day to day service delivery,

- 3.6 Such a significant reduction in strategic capacity has coincided with the Council undertaking a series of major projects including the outsourcing of the Leisure service, a strategic service review of public convenience provision, the re-tender of the waste and recycling contract and the introduction of an organisational transformation programme including the introduction of a Customer Relationship Management (CRM) system.
- 3.7 The strategic review of public conveniences was a complex and contentious project that was undertaken over 12 months and delivered significant financial savings to the council. Due to a lack of strategic capacity within parent service department, the review was led by the Director of Corporate Services, which is highly unusual. The current retender of the waste and recycling contract, which is the Council's largest contract and most high profile service area, is being led by the Director of Regeneration and Policy. Again, you would not expect such a project to be delivered by the Director of Regeneration and Policy. However, due to a lack of corporate capacity and other corporate priorities, this has been a necessity. In both cases, there has been a collateral impact upon the ability of those service areas to deliver on their own priorities, however the corporate priority needed to take precedent.
- 3.8 Whilst these projects have been delivered successfully, they have been reliant upon existing members of the Corporate Leadership Team taking on additional duties and responsibilities in addition to their day to day roles in order to deliver these strategic projects. This has come at a cost in terms of their ability to progress corporate projects within their own service areas.
- 3.9 As was the case in 2013, the 2019 Corporate Peer Challenge has again recognised that there is a lack of strategic capacity within the organisation. The Peer Review Team noted a suggestion from members that it would be appropriate to reintroduce the Corporate Director role and the Corporate Leadership Team support this view in order to provide additional strategic input and resilience. The role would also deputise and provide organisational resilience for the Chief Executive position.
- 3.10 The rationale which led to the designation of these posts in 2013 is as relevant now as it was then. At the present time, the lack of any Strategic Director capacity means that as an organisation, we are able to maintain core service delivery, which we do very well. However, there is no capacity to drive innovation; no ability to cope with large scale problems and issues without other aspects of the business being adversely affected and no capacity to pursue important corporate priorities such as climate change, regeneration, commercialisation and innovation in service delivery. Our new Corporate Plan sets out an ambitious agenda which is to be welcomed, however in order to deliver on the expectations that have been raised, we need to have the strategic capacity in place, otherwise the Council's ability to deliver on the Corporate Plan will be severely restricted.
- 3.11 The November 2019 floods, the February 2020 floods and the Covid-19 situation have further demonstrated the lack of strategic capacity to respond to challenging, unanticipated external events which demand significant resources

and commitment. If left unaddressed, eventually this pressure will have an impact upon employee health and wellbeing. The District Council as a responsible employer, has a duty of care to its staff and must respond to legitimate concerns when they are raised.

4. CORPORATE LEADERSHIP TEAM OPTIONS APPRAISAL

4.1 The Corporate Leadership Team (CLT) currently comprises the Chief Executive and 6 Directors (Resources; Regeneration and Policy; Corporate Services; Regulatory Services; Community and Environmental Services; and Housing Services). The current structure is attached (*Appendix 2*).

4.2 At the meeting of Council on 16th January 2020, Members resolved to support the principle of appointment to the post of 'Corporate Director' and that the costs of such an appointment be included within the draft budget for 2020/21. This cost has now been incorporated into the 2020/21 budget at a cost of £101,259 (bottom of grade including on-costs). For budgeting purposes, employee costs for vacant posts are always calculated at the bottom of the grade. The current salary including on costs at the top of the grade (which in this case would not be reached for 4 years) would be £109,703.

4.3 In reviewing the future organisational needs and resources, two options have been considered with a change in the designation of the post from Corporate Director to Strategic Director.

Option 1: The appointment of a single, Strategic Director (Grade CO1).

Option 2: The deletion of an existing Head of Service post, a reduction from 6 service departments to 5 with a redistribution of functions and responsibilities, and the creation of 2 Strategic Director posts (Grade CO1).

Option 1 Evaluation

4.4 The appointment of one Strategic Director restores CLT capacity to January 2015 levels. Whilst this option would enable much needed additional support to be provided to the Chief Executive and the Corporate Leadership Team, it would not provide for the concurrent management and delivery of a number of large scale strategic projects simultaneously i.e. Clean and Green service review, climate change, commercialisation, Local Plan review. It also reduces the capacity to deliver innovation and change across the organisation through time constraints and capacity.

4.5 Whilst this option would be workable, it would require clear corporate prioritisation from members to determine the timing of corporate projects.

Option 2 Evaluation

- 4.6 Option 2 is more fundamental and would involve:
- The creation of 2 x Strategic Director posts aligned to the Council's Corporate Plan priorities of *'People, Place and Prosperity'*.
 - The deletion of an existing Director in order to part-finance one of the Strategic Director positions.
 - A reduction in the number of service Departments from 6 to 5 and a redistribution of functions and responsibilities.
 - The internal recruitment to one of the Strategic Director positions in accordance with the Council's Change Management Policy.
 - The external recruitment to the second Strategic Director position.
- 4.7 The deletion of an existing Director and the creation of 2 x Strategic Director posts are proposed at a grade lower than that considered by Council on 16th January 2020 (Grade CO1) and will still result in the creation of only 1 new position.
- 4.8 The two Strategic Directors would be required to work flexibly across the organisation as demands dictate and in response to available capacity. However, in accordance with the recently approved Corporate Plan priorities, there are specific projects which generally (but not rigidly) align with the Strategic Director responsibilities such as:-

STRATEGIC DIRECTOR (PEOPLE)	STRATEGIC DIRECTOR (PLACE AND PROSPERITY)
<ul style="list-style-type: none"> ▪ Transformation Programme ▪ Corporate Plan ▪ Performance Management Framework ▪ Customer Services Strategy ▪ Health and Wellbeing Strategy ▪ Corporate Health and Safety ▪ Electoral Boundary Review ▪ Peer Review Action Plan 	<ul style="list-style-type: none"> ▪ Capital Programme Delivery ▪ Asset Management ▪ Commercialisation • Vision Derbyshire Project • Climate Change Strategy • Clean and Green Service Review • Community Development • Community Grants Review • Waste Contract Implementation • Ashbourne Airfield Project

5. FINANCIAL IMPLICATIONS

- 5.1 The cost of Option 1 would be £95,350 in year 1 rising to £102,323 (top of grade in 4 years' time including on-costs). For year 1, this would be a saving of £5,909 against the current 2020/21 budget of £101,259. At the top of the grade in 4 years' time, there is a cost of £1,064 against the current 2020/21 budget.
- 5.2 The cost of Option 2 would be £106,718 in year 1 rising to £119,600 (top of grade in 4 years' time including on-costs). For year 1, this is an additional

cost of £5,459 against the current 2020/21 budget of £101,259. At the top of the grade in 4 years' time, there is a cost of £18,341 against the current 2020/21 budget.

- 5.3 At the top of the grade in 4 years' time, Option 1 can generally be accommodated within the budget approved by Council for 2020/21. Option 2 in 4 years' time, would result in an increase in the approved 2020/21 budget of £18,341. If approved, it is proposed that this additional cost of Option 2 should be met from the Council's Job Evaluation Reserve which currently stands at £150,000 and is specifically set aside for adjustments in employee grades. There is, therefore, no need to identify further resources to support the proposals.

6. RECOMMENDATION

- 6.1 The proposals outlined at Option 2 are the favoured recommendation as they present a number of distinct advantages to the Council, namely:-
- They respond positively to the Peer challenge recommendations.
 - They increase strategic capacity back to the level approved in 2013.
 - They allow the redistribution of functions among Heads of Service to ensure a more equitable split of responsibilities.
 - They provide sufficient strategic capacity to address the Council's new corporate Plan priorities.
 - They provide sufficient resources to lead on some of the major projects still to be implemented (Section 7 below)
 - They are affordable within existing approved budgets and reserves.

7. MAJOR PROJECTS AND WORK PROGRAMME

- 7.1 In addition to the day-to-day delivery of services and progressing corporate priorities such as climate change, affordable housing and economic regeneration, there are a number of significant projects during the next 12-18 months which Members need to be aware of, all of which will consume time and resources. These include:-

Implementation of the Waste and Recycling Contract

- 7.2 The recent decision of Council to award the Waste and Recycling contract to SERCO in August 2020 has triggered a seven month mobilisation period which will involve devoting extensive resources to the development and promotion of the new chargeable garden waste service which is critical to the financial affordability of the new contract.

Revenues and Benefits Contract

- 7.3 The Revenues and Benefits service for Derbyshire Dales is currently provided by Arvato who also provide the Chesterfield Borough Council (CBC) service. The majority of staff associated with the service are located in CBC offices. The current contract between Arvato and Derbyshire Dales expires on the 17th January 2021. CBC have signalled their intention not to renew their contract

with Arvato and, following a decision taken by the Governance and Resources Committee (11th July 2019), a new hybrid service delivery model is to be pursued in partnership with CBC. An exit plan has been agreed with Arvato for the expiry of their contract and an agreement with CBC is being finalised.

Review of Clean and Green Service Standards

- 7.4 The Council has recently appointed a new Environmental Services Manager (Samantha Grisman), who joined us on the 20th January 2020. This follows a decision by CLT to create more capacity in Environmental Services by separating the previously combined roles of Environmental Services Manager and Waste Manager. Sally Rose, who has been undertaking the joint role for the last 2 years, is now solely focussing on the role of Waste Manager given her significant experience in that field which will be critical to the successful implementation and management of the new waste contract.
- 7.5 The Head of Community and Environmental Services has already committed to undertaking a review of service standards during the next 12 months that will take account of resources as well as Member aspirations. This will be a very significant and challenging piece of work which will involve stakeholder and Member consultation and involvement. The scope and details of this review will be brought to a future meeting.

Derbyshire Dales Local Plan Review

- 7.6. During 2020/21, work will commence on a review of the Local Plan. The existing Plan was adopted in December 2017, so the review is required to have concluded with a new Local Plan in place by December 2022. As well as requiring significant work by the Planning Policy Team with support from specialist consultants, the review will entail extensive public and member engagement.

Climate Change

- 7.7 At its full Council meeting on 30th May 2019, the District Council resolved to declare a climate emergency; to make Derbyshire Dales District Council carbon neutral by 2030; to call upon the UK Government to provide the powers and resources to make the 2030 target possible; to work with partners across the county and region to deliver this new goal through all relevant strategies; and to report back to Council within six months with the actions the Council will take to address this emergency.
- 7.8 On 26th September 2019 Council received a report setting out a 'road map', which identified those areas of Council work and influence that the Climate Change Working Group believed were most relevant to this subject. Since that time, the Group has concentrated on setting out those actions that support the 4 priorities identified in the road map which they believe can be delivered, or initiated, by 31 March 2020 and the Council has approved the preparation of a Climate change strategy and Action Plan. This work is currently in progress.

7.9 However moving forward, in order to progress the implementation the work of the Climate Change Working Group and to realise the Council's carbon neutral ambitions, there will be a need to commit dedicated resources either in partnership with other Derbyshire authorities or within the Council itself.

8. RECRUITMENT PROCESS

8.1 In light of the specialist nature of these positions, it is considered necessary to appoint external recruitment consultants to assist in undertaking a recruitment exercise in order to target and attract candidates of the calibre required. The appointed consultants would also assist in the shortlisting and technical interview process. In accordance with the Council's Financial Regulations, quotations will be obtained from three specialist recruitment consultants. As the costs of recruitment are one-off costs, these would normally be met from savings accrued across the organisation through delayed recruitment.

8.2 In accordance with Part 4(4) of the Council's Constitution (Officer Employment Procedure Rules), the new appointments will be made by a Member Panel with appropriate external support, following a shortlisting selection and technical interview process.

9. SUMMARY

9.1 In summary, as Head of Paid Service it is my responsibility to inform Council of the staffing resources required to discharge the functions of the authority. It is also my responsibility to reflect upon the future ambitions of the Council and advise whether we have the resources in place to deliver on that collective ambition. The recommendations of the 2019 Peer Review, the 2013 Peer Review and the Covid-19 emergency situation have clearly highlighted that at the present time, we simply do not have the resources to deliver on the expectations of Council.

9.2 All Town Hall based employees are generally contracted to work 37 hours per week. Without exception, none of the Corporate Leadership Team work 37 hours per week. Every member of CLT works considerably more hours per week and in some cases, the Council benefits from as much as an additional weeks' work per month that is contractually unpaid. All additional hours worked above 37 hrs/wk are unpaid and whilst every employee (excluding the Chief Executive), is able to claim TOIL (time off in lieu) for hours worked beyond 6pm, the reality is that senior staff accumulate more time that it is possible to take. A lot of time is therefore lost to the employee, but gained by the organisation. Whilst there is a general acceptance that staff in senior positions often have to work longer hours in order to meet the demands of the organisation, there is a limit as to what is fair and reasonable. At the present time, it is my view that we are well beyond what is fair and reasonable and the demands placed upon individuals will, if left unaddressed, start to have an impact upon the long term health and wellbeing of our employees. As a responsible employer, the Council has a duty to mitigate and address such risks.

- 9.3 The Council therefore has a decision to make. We can either increase resources to accommodate the current and future demands and expectations in order to deliver on the Council's priorities and programmes, or we need to be more realistic in what our senior managers are able to achieve within the time they are contractually required to work. Either way, the current situation cannot reasonably be allowed to continue.
- 9.4 Providing sufficient resources to the authority in order that the work of the authority can be undertaken efficiently and effectively is not a political issue. Officers of the authority work for the whole of the Council and implement the priorities outlined in the Corporate Plan. As such, it is important that members understand and acknowledge the capacity of the organisation to deliver on the council's stated ambitions.

10. RISK ASSESSMENT

10.1 Legal

The Head of Paid Service is required by Section 4 of the Local Government and Housing Act 1989 to report to Council on proposals concerning the organisation of the Council's staff and appointment and proper management of the Council's staff. The legal risk is therefore assessed as low.

10.2 Financial

The additional costs associated with the proposed organisation structure are set out in section 5 of this report. If approved, the Option 2 additional cost of £18,341 in 4 years' time could be met from the Council's Job Evaluation Reserve which currently stands at £150,000 and is specifically set aside for adjustments in employee grades. The financial risk is assessed as low.

11. OTHER CONSIDERATIONS

In preparing this report the relevant of the following factors has also been considered; prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

12. CONTACT INFORMATION

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13. BACKGROUND PAPERS

16th January 2020 Report to Council 'Resilience, Resources, Priorities'

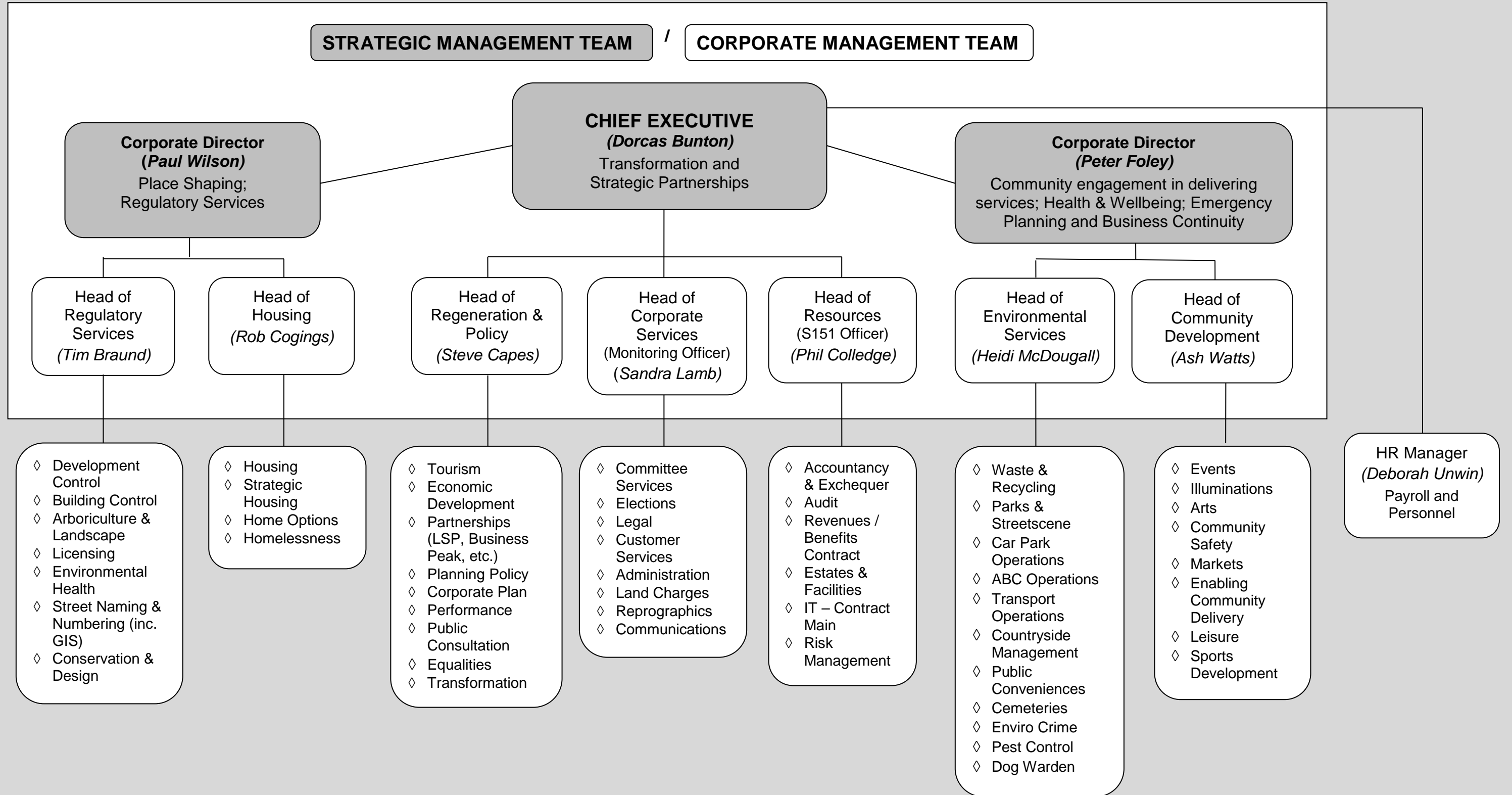
14. ATTACHMENTS

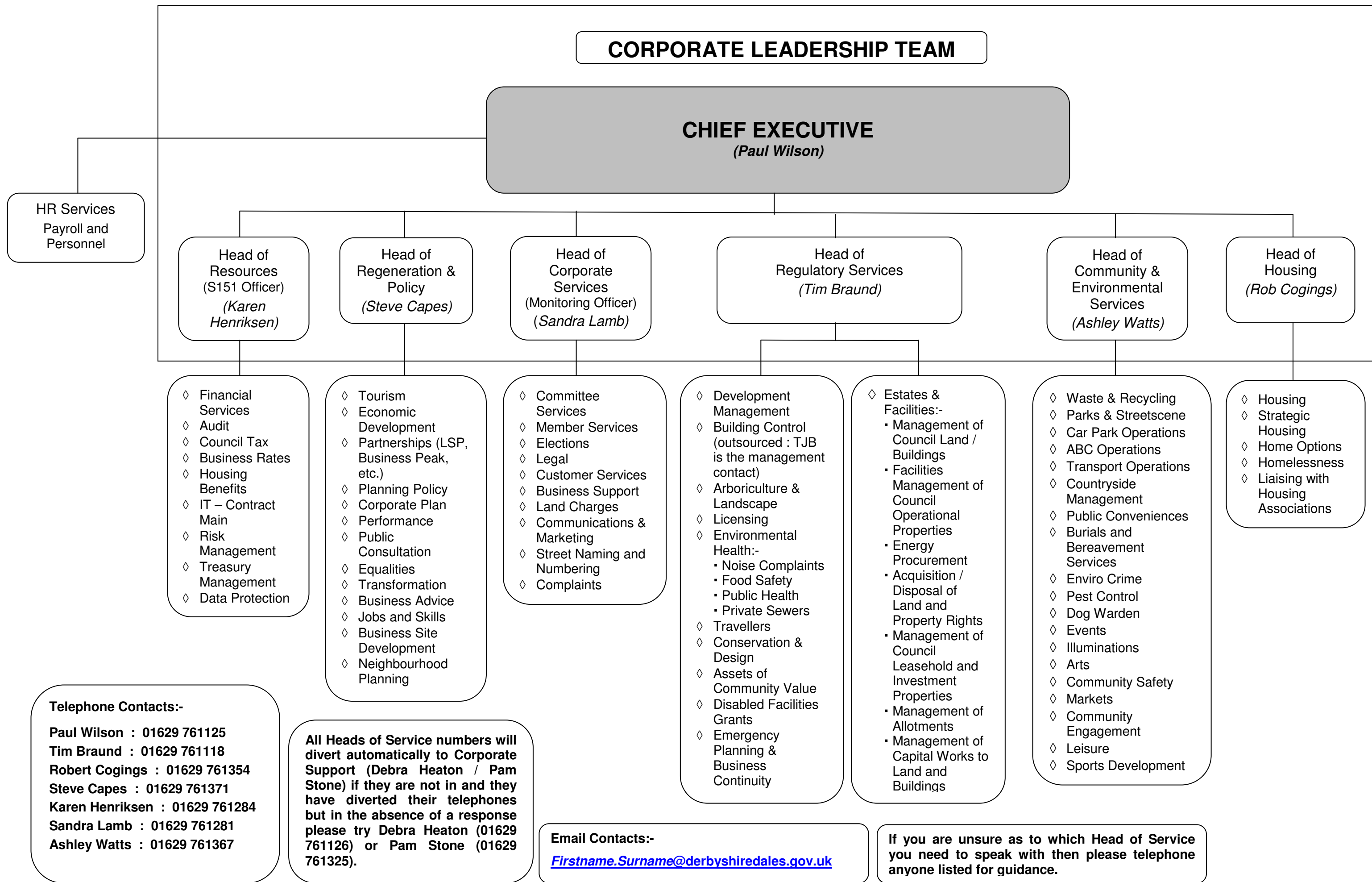
Appendix 1 – DDDC Structure (February) 2014

Appendix 2 – DDDC Structure (June) 2018

Appendix 3 – Proposed Structure

STRUCTURE EFFECTIVE FROM 1ST FEBRUARY 2014





ONE TEAM, ONE COUNCIL, ONE PURPOSE



COUNCIL
2 JULY 2020

Report of the Director of Corporate Services

DECISION MAKING RECOVERY PLAN

PURPOSE OF REPORT

To agree the resumption of decision making through the full committee system.

RECOMMENDATION

1. That decision making as discharged by Council to its policy Committees resumes in accordance with the agreed calendar of meetings following the Annual Meeting on 22 July 2020.
2. That meetings of the Planning Committee are called when required by the Chairman of that Committee prior to the Annual Meeting and thereafter in accordance with the programme of meetings.
3. That to safeguard all Committee members and employees alike, group site visits are suspended until such time as the law permits such events and that photographic or video footage is presented where the relevance of on-site characteristics are required to enable robust decision making.
4. That the interim scheme of Public Participation, agreed by Council on 12 May, continues until such time as the law permits the Council to invite submissions in person.
5. That the extended scheme of delegation to officers on Licensing matters expires on 22 July and all matters requiring a decision are put before the Licensing Committee, or sub-committee as appropriate.
6. That all meetings of the Council and its Committees continue to operate on a virtual platform until such time as the law permits meetings in person or a combination of in person and virtual.
7. That the Emergency Committee reverts to a non standing committee from 22 July, 2020 and is only called to stand when appropriate in accordance with the agreed terms of reference.

WARDS AFFECTED

All

STRATEGIC LINK

An effective decision making structure, which is based on a democracy, underpins the Council's ability to fulfil its Corporate Plan.

1 BACKGROUND

- 1.1 At its meeting on 12 May, the Council agreed to suspend normal business through the Committee system and established the Emergency Committee to deal with

urgent decision making during the Covid, 19 pandemic. The Committee has met on 3 occasions to date to deal with significant issues in adapting policy and procedures as necessary during these challenging times.

- 1.2 Public Participation as prescribed in the Constitution was also suspended and an interim scheme approved in its place to provide a means of engaging with the public by remote means, without disadvantaging those without access to technology.
- 1.3 Meetings of the Planning Committee were similarly suspended but with authority delegated to Officers and the Chairman of the Committee to call a meeting when required to deal with “significant planning applications which attract significant public opposition, and where public participation is desirable”. A meeting has not been required to date but arrangements need to be agreed.
- 1.4 This report deals with a recovery plan to bring about the resumption of business within safe and lawful parameters.

2 CONSTRAINTS

- 2.1 Resumption of ‘normal’ business’ needs to comply recent legislation. The Police and Crime Panel Meetings) (England and Wales) Regulations 2020 enable a local authority to convene meetings virtually using appropriate technology, provided that the technology permits the participants and the public at large to hear, and preferably see the proceedings. Meetings of the Council and the Emergency Committee have been successfully held using that technology and are permitted to do so until 7 May 2021 (subject to any change or extension of that power).
- 2.2 The lawful principles guiding meetings in person is covered by the Health Protection (Coronavirus, Restrictions) (England) Regulations 2020 (“the Regulations”) as amended (most recently) by the Health Protection (Coronavirus, Restrictions) (England) (Amendment) (No. 3) Regulations 2020. These Regulations prescribe that during the emergency period, unless certain conditions apply, no person may participate in a gathering which takes place in a public or private place indoors, consisting of two or more persons. An indoor gathering is defined as being in any place for any purpose. And, following the receipt of legal advice, meetings of a local authority do not warrant any exemption to the provisions. There is no exception of the 2 metre rule, whereby the Government has advised people to keep 2 metres apart to reduce the chances of infection. The Regulations refer to no such rule.
- 2.3 The concept of a hybrid meeting where a number of Councillors might convene in the Council Chamber whilst others participated at home is therefore not lawful. By the same token members of the public are not allowed to assemble indoors to take part in a meeting, except with members of their own household at home.
- 2.4 The final pieces in the jigsaw to consider relates to an individual’s choice given that some Councillors may wish to protect themselves from unnecessary exposure to others and the number of people that may assemble outdoors whilst social distancing. That number is 6. This is particularly relevant to site visits that may be required in order to fully assess a planning application.

3 WAY FORWARD

3.1 With all those constraining factors, consideration has been given as to how to reintroduce a sense of normality to decision making through the full Committee structure.

3.2 Meeting Format

The 2020 Regulations referred to in the opening paragraphs which restrict the number of people allowed to meet internally last until September 2020. All meetings will therefore be run on Zoom until such time as the legislation permits otherwise.

3.3 Council Meetings

Two meetings of Council have been held since the restrictions were imposed and are recommended to resume the 6 weekly pattern of business given that Council needs to address decision making in a timely manner and specific items cannot be delegated. The 6 weekly cycle is recommended to commence after the Annual Meeting on 22 July 2020

3.4 Emergency Committee

The Emergency Committee has met on 3 occasions since its inception to deal with significant matters that required an urgent response to review current policy/procedure and to approve additional finance to deal with the emergency situation. It has not been required to deal with routine business of the Council or the policy committees and it is envisaged that the emergency workload will reduce significantly in the coming weeks and is recommended to revert to a non standing Committee at the Annual Meeting.

3.5 Policy Committees

The Corporate Timeline of decision making has been reviewed and it is considered that the resumption of normal business can be accommodated within a regular 8 weekly cycle from the Annual Meeting.

3.6 Planning Committees

There may be a need to convene a meeting of the Planning Committee before the date of the Annual Meeting to determine a small number of applications, which have attracted significant opposition. The format of the Committee is currently being considered in terms of replicating for the public's benefits, key information which will aid their understanding of the matter under discussion and as a guide for members of the Committee. It is therefore recommended that the need for meetings prior to the Annual Meeting are left to the Chairman's discretion to call (on officer advice) and then revert to a regular meeting pattern following the Programme of Meetings set at the Annual Meeting.

3.7 Licensing

Interim delegation arrangements were approved at the 12 May meeting to avoid the need to hold hearings for taxi and private hire vehicle matters. It is considered that

by using video technology those matters can now be brought back for Councillors to determine under the remit of the Licensing Committee.

3.8 Public Participation

The interim Public Participation scheme is recommended to continue until such time as members of the public have the ability to observe meetings in person. This is considered to be the fairest means of treating everyone equitably and not disadvantaging anyone without the technology to participate remotely. It would also shorten the meeting duration whilst proceedings are being streamed live.

3.9 The interim scheme offers a distinct advantage in that the public are now requested to formulate their question in advance and receive an answer in the majority of occasions. Compared to the existing scheme which relies on a certain amount of spontaneity where the public can ask whatever they like without notice of line of questioning. The interim scheme also allows Committee members to consider the issues in advance of the meeting, rather than attempt to take on board issues on the night.

4 RISK ASSESSMENT

4.1 Legal

The content and recommendations of this report reflect the current legislation regarding Virtual meetings. The legal advice is therefore low.

4.2 Financial

The additional costs of videoconferencing software can be met by savings in travel expenses. The financial risk is therefore assessed as low.

5 CONTACT DETAILS

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COUNCIL
2 JULY 2020

Report of the Director of Regulatory Services

EXTENSION OF EMERGENCY DECISIONS MADE UNDER EXTENDED DELEGATION ARRANGEMENTS

PURPOSE OF REPORT

This report informs the Council of 2 decisions made under delegated arrangements during the initial stages of lockdown that allowed temporary deviations from the Council's Taxi Licensing Policy. The report goes on to request that both deviations be extended for a further period.

RECOMMENDATION

1. That the decision to suspend routine 6 month testing for taxis be extended by a further 4 months, until 31 October 2020;
2. That the decision to waive the requirement to replace a taxi vehicle when it reaches 10 years of age be extended by a further 2 months, until 31 August 2020;
3. That the decision to offer a rent free period to Hall Leys Park tenants be extended by a further 1 month, until 22 July 2020;
4. That the decision to offer a rent free period to ABC kiosk tenants be extended by a further 1 month, until 22 July 2020;
5. That the ABC café be offered a rent reduction equivalent to a 4 month rent free period, in line with other Council tenants;
6. That the operator of the boating rights on the River Derwent be offered a rent reduction equivalent to a 4 month rent free period, in line with other Council tenants.

WARDS AFFECTED

All

STRATEGIC LINK

'Prosperity' is highlighted in the Corporate Plan 2020-24 as a District Council priority due to low local wages and high local house prices. With regard to the recommendations in this report, the District Council specifically aims to: *Support businesses to encourage productivity, growth, and higher wage jobs in rural and urban locations.* The recommendations in this report would support local businesses during the Coronavirus pandemic.

1 BACKGROUND

- 1.1 At its meeting on 19 March, the Council agreed to extend delegated authority to make urgent decisions, on a temporary basis, to ensure business continuity during the pandemic emergency situation. It was agreed that members of the Corporate Leadership Team would be delegated authority to deal with urgent policy matters in

consultation with the relevant Policy Committee Chairman, Vice Chairman and Ward Members (where the matter was Ward specific). These arrangements were subsequently replaced with the Emergency Committee from 12 May 2020.

- 1.2 Two decisions were made in relation to taxi licensing issues under the initial arrangements: to exempt taxi vehicles to be tested for an initial period of 3 months during the pandemic, and to exempt taxi operators from the requirement to replace their vehicles once they pass 10 years old for an initial period of 3 months during the pandemic. These exemptions were necessary as the Council was unable to safely operate its testing depot at that time and car showrooms were closed as non-essential businesses during the pandemic.
- 1.3 Decisions were also made in relation to some businesses that were tenants of the Council. Some of these businesses did not have their own rateable values and so were unable to access the initial Government support grants. The businesses that were identified as being affected at that time were the café and the boat and train operator in Hall Leys Park, Matlock, and the tenants of the kiosks at the Agricultural Business Centre (ABC), Bakewell. These businesses were offered a rent reduction equivalent to a rent free period of 3 months, which expires on 22 June 2020.

2 REPORT

- 2.1 These exemptions have now been reviewed. In respect of taxi testing, the depot is being reopened, but at the moment does not have the capacity to resume full 6 month testing. It is recommended that the current capacity should be used to concentrate on the 12 month tests that are now due, with 6 month testing being suspended for a further 4 months, until the end of October 2020. This will enable the depot to catch up with its routine work and ensure that the most important testing, undertaken as part of the licence renewal process, is undertaken.
- 2.2 In relation to the replacement of vehicles, car showrooms are now allowed to be open. However, it is considered to be appropriate to allow drivers a reasonable time to renew their vehicles as the country settles into a 'new normal'. Therefore it is recommended that this exemption is extended by a further 3 months, until the end of September. This will give operators sufficient flexibility as they are returning to full working, whilst ensuring that the quality of the District's taxi fleet is not diminished in the medium term.
- 2.3 In relation to the businesses that have been offered a rent reduction, it is evident that the difficult trading circumstances that gave rise to the offer have not gone away. Although some of the businesses have been able to commence trading in a limited way, they have not been able to return to full capacity. Some of these businesses may be able to access the discretionary grants now being offered by the District Council, but it is unlikely that these will cover the full extent of the losses they have suffered. Therefore it is considered appropriate to offer a further rent reduction equivalent to an additional 1 month rent free period to these businesses.
- 2.4 In addition to those businesses that were initially identified as requiring rent reductions, two further businesses have subsequently been found to have been adversely affected by lockdown requirements. These are the café at the ABC and the boat operator on the River Derwent at Matlock Bath. Whilst the café does have its own rateable value and is therefore eligible to apply for Government grants, it is

evident that the inability to trade as a café and the absence of visitors from the area during lockdown, has made its position very difficult. Equally, the boat operator has missed a number of important trading opportunities during lockdown. Therefore it is considered appropriate to offer both of these businesses a rent reduction equivalent to a 4 month rent free period, in line with the other Council tenants outlined above.

3 RISK ASSESSMENT

3.1 Legal

The report updates the Council on decisions delegated to Officers under Section 101 of the Local Government Act 1972. The legal risk is therefore low.

3.2 Financial

Extending the suspension of routine 6 month testing for taxis by a further 4 months, until 31 October 2020, will result in lost income for the Council of around £2,712 on top of the £2,034 for April to June, or an average of around £678 per month.

The extension until 31 August 2020 of the decision to waive the requirement to replace a taxi vehicle when it reaches 10 years of age does not have any impact on the Council's financial position, though it will benefit taxi owners' finances.

The offer of rent free periods to assist businesses with recovery will result in additional lost income for the Council of around £7,144.

There is no provision in the 2020/21 revenue budget for the estimated lost income. However, the Council has received a government grant of £744,150 to assist the Council in meeting the additional costs and lost income arising from the coronavirus pandemic. The lost income arising from this recommendation could be financed by using part of the government grant or, if the grant is insufficient to meet all additional expenses and lost income, it would be financed from the General Reserve. The financial risk to the Council is assessed as low.

4 CONTACT DETAILS

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5. BACKGROUND PAPERS

Urgent Decision Records – Taxi Vehicles Requiring Routine 6 Month Tests, Taxi Vehicles Requiring Replacement at 10 Years Old, Rent Free Periods

COUNCIL

2nd JULY 2020

Report of the Chief Executive

NEW VISION FOR DERBYSHIRE – NON STRUCTURAL REFORM (PHASE 2)

PURPOSE OF REPORT

To provide a further update on work taking place with all Derbyshire Councils on non-structural reform and the development of a new vision for Derbyshire.

RECOMMENDATION

1. That the progress on the development of a new vision for Derbyshire and work to take forward non-structural reform be noted.
2. That the Council's active participation in Phase 2 and the associated costs of supporting PWC proposals be approved.

WARDS AFFECTED

All

STRATEGIC LINK

The non-structural reform initiative will enable the Council to explore more collaborative forms of working across traditional boundaries in an effort to improve the outcomes for Derbyshire Dales' residents and businesses.

1. INTRODUCTION

- 1.1 At the meeting of Council on 16th January 2020, Members were appraised of the work commissioned by all Derbyshire Councils, to work in partnership with Price Waterhouse Coopers (PwC) to undertake a programme of work to explore the appetite for future collaborative working in Derbyshire. It was agreed that the new approach should look beyond traditional partnerships towards a new collective and ambitious vision and model of collaboration, integration and shared leadership focused on achieving the greatest public value for local people and communities.
- 1.2 At the meeting of the Leaders' Advisory Group on 11th February, the Council's participation in Phase 2 of the project and the associated costs (circa £17,000) were agreed, in principle, subject to a retrospective report being presented to a future meeting of Council. The Covid-19 pandemic has prevented this matter being considered by Council to date, however, work has continued on the project and a further update is summarised in the remainder of this report.

2. PHASE 1 PROJECT SUMMARY

2.1 The key aims of the Phase 1 study were to:

- Identify and explore the existing level of ambition and appetite of stakeholders to progress non-structural reform in Derbyshire.
- Establish the purpose and potential value of progressing the approach in Derbyshire and the conditions which would need to be in place to support future collaboration.
- Identify and develop short, medium- and long-term options for collaboration.
- Scope and establish the parameters for Phase 2.

2.2 All Derbyshire Councils agreed to participate in, and contribute financially to, the study. Derbyshire Chief Executives, and a sub-group comprising a small number of Derbyshire Councils (including Derbyshire Dales), have led the work throughout this process to guide the work and future phases.

2.3 The study commenced in August 2019 through a series of semi-structured interviews with Leaders and Chief Executives, led by a team from PwC. Key interview topics for discussion, included:-

- Derby / Derbyshire as a place
- Existing level of alignment, successes and challenges
- Ambitions for future collaboration
- Potential outcomes and themes for collaboration
- Ways of working, culture and behaviours, enablers and barriers

2.4 Two exploratory workshops, held on 6th September 2019 and 4th October 2019, subsequently took place. The workshops started to explore the vision of place for Derbyshire with the first workshop exploring the “why” (why should Councils work together). The second workshop focused on the “what” (what should Councils work together on) with a small number of themes starting to emerge.

2.5 The third and final workshop took place on 25th October 2019 and sought to confirm priority themes and identify both barriers and enablers moving forward. The final workshop also explored how the Councils could collectively maintain the momentum, energy and enthusiasm for joint working that has been built through the process and next steps.

2.6 All workshops, and the process of developing proposals, have been well received and have provided a space for an honest conversation about the opportunities and challenges for future collaboration. PwC have now set out, for consideration by the Councils, proposals for future action together with a draft timeline. A number of principles for collaboration to guide future working have also been identified as follows:

- **Improve outcomes** - collaboration must enable us to improve outcomes for people and place.
- **Speak with one voice** - collaboration must support us to speak to our residents, business, regional and national stakeholders with one voice.
- **Better coordination** - collaboration must enable better coordination and use of resources, allowing us to make strategic choices according to the need of our place.
- **Provide a visible alternative to unitarisation** - collaboration needs to represent a viable alternative to unitarisation, with greater flexibility to deal with strategic challenges of the future whilst maintaining appropriate local control.
- **Deliver to be sustainable** - collaboration should be delivered within the means, both resource and financial, of all Councils, to be sustainable.

2.7 During workshop activities a number of areas for future collaboration emerged. These, whilst not exclusive, provide a potential focus for future working and include:

- Climate Change
- Development of a strategic narrative
- Tourism
- Skills and employment
- Thriving communities/social mobility
- Economic prosperity

2.8 The ambition to work collectively together moving forward has revealed a number of success factors which Councils acknowledged were critical. These indicate a step change in approach and ways of working to drive a truly different model of local government in Derbyshire and include:-

- Working at pace, building on the momentum achieved through the accelerated phase.
- Working as a collective in a different physical and mental space from business as usual.
- Continuing to strengthen and role model collaborative, collective leadership behaviours.

2.9 The work undertaken as part of the study marks a statement to develop a fundamentally new way of working together to deliver differently for the people of Derbyshire. Following discussions at Derbyshire Chief Executives meetings and the D2 Committee for Economic Prosperity in November 2020, PWC were asked to develop and submit proposals for Phase 2 which are set out below.

Phase 2 Proposal

2.10 Phase 2 non-structural reform proposals aim to progress a new model of local government collaboration for Derbyshire. Detailed proposals build on the work carried out to date, with a view to:

- maintaining the momentum successfully built up during Phase 1 and extending engagement to a broader range of members, employees and partner organisations;
- developing a case for change and a proposition to Government; and
- designing and mobilising a dedicated team and delivery programme in order to accelerate implementation.

2.11 Phase 2 will enable Councils to:-

- foster even closer working relationship between Councils in Derbyshire through a clear understanding of how a new model of local collaboration will work and deliver benefits;
- persuade central government to back the new model; and
- establish the operations of the new model and begin to deliver tangible results through enhanced collaboration across specific areas/themes, with climate change being the potential first theme to take forward.

Proposed Approach

2.12 To deliver identified outcomes, PWC have proposed the adoption of two workstreams, with a number of identified deliverables as follows:-

Workstream	Activity
1. Development of case for change and proposition to government	<ul style="list-style-type: none"> • Confirm scope and structure of case for change with Steering Group • Collect and analyse baseline data • Interviews and engagement with Leaders and Chief Executives • Engagement events • Develop a functional model for collaborative working in Derbyshire • Develop the strategic narrative that will underpin collaborative working in Derbyshire • Assess potential financial and non-financial benefits • Write up the case for change • Produce a formal proposition for government • Support Council in their discussions with Government
2. Delivery programme mobilisation and acceleration	<ul style="list-style-type: none"> • Mobilise and provide both 1:1 and group coaching for the cross-Council delivery team • Support the design of the delivery programme for the new model of collaboration • Provide embedded support for a period of three months, including running workshops to begin delivery of tangible results through the programme

2.13 An indicative project plan alongside detailed activities and deliverables for each workstream has also been developed and seeks to both focus and direct the work of both PWC and participating Councils during the implementation period, which is anticipated to last six months.

2.14 Whilst the proposed areas for future collaboration outlined at paragraph 2.7 remain valid, the steering group working with PWC has determined that a more relevant, and cogent demonstration of extensive collaboration, can be better articulated by the response to the current Covid-19 pandemic. It is proposed that this work is used as part of the case for change to be presented to Government.

2.15 An updating report on the outcome of Phase 2 will be reported to a future meeting of Council.

3. RISK ASSESSMENT

3.1 Legal

The report seeks retrospective authority to participate in discussion to investigate and develop proposals for collaborative working within the Derbyshire Area for the benefit of Residents. As this project is in a formative stage the legal risk is low.

3.2 Financial

The cost of supporting PWC proposals for the District Council is estimated to be circa. £17,000. Subject to retrospective approval on the Council's active participation in Phase 2, the sum of £17,000 will be financed from the General Reserve.

4. OTHER CONSIDERATIONS

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

5. CONTACT INFORMATION

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6. BACKGROUND PAPERS

A New Vision for Derbyshire – Non Structural Reform Report, PWC (November 2019)

COUNCIL

2nd JULY 2020

Report of the Chief Executive

CORPORATE PEER CHALLENGE - ACTION PLAN

PURPOSE OF REPORT

To present the Draft Corporate Peer Challenge Action Plan for consideration and approval.

RECOMMENDATION

That the Corporate Peer Challenge Action Plan be approved.

WARDS AFFECTED

All

STRATEGIC LINK

The Corporate Plan sets out the District Council's priorities and areas for improvement and identifies targets to be achieved. Service Plans, policies and strategies supplement the Corporate Plan. The Corporate Peer Challenge has informed the formulation of the Council's Corporate Plan (2020-2024).

1. BACKGROUND

- 1.1 The final feedback report following the Local Government Association (LGA) Corporate Peer Challenge undertaken 22nd – 24th October was received and circulated to all Members on 21st January 2020. A copy of the feedback report is attached at Appendix 1.
- 1.2 At the meeting of the Leaders Advisory Group held on 11th February 2020, Leaders' were informed that, in response to the feedback report, the Corporate Leadership Team (CLT) would commence work on the drafting of an Action Plan which would outline the proposed actions to be taken in response to the CPC recommendations, together with a timescale for implementation.
- 1.3 A draft Action Plan was presented to, and considered by, the meeting of the Leaders Advisory Group held on 18th May 2020. In light of comments received, this has been further revised and is attached at Appendix 2.

2. ACTION PLAN

- 2.1 As part of their final presentation, the LGA team reported that the district council has a good understanding and appreciation of its local context and is focussing on continually improving local community relationships. The Council is also regarded as an effective leader of the district by partners who attest to the authority being a good partner to work with. Underpinning all of our activities is a consistent record of good financial management. The Council therefore has a very strong foundation despite the ongoing long term financial uncertainty that exists.

2.2 However, the key recommendations outlined to the Council as part of the LGA Peer Challenge presentation also offer a series of constructive challenges on the Council's need to:-

- Develop a strong narrative and vision for the area that is owned and understood by members, officers and key stakeholders;
- Ensure the new Corporate Plan is forward looking and takes account of the potential for a fresh approach which is collectively owned and resourced;
- Ensure that our commercialisation approach is sufficiently clear, ambitious and realistic;
- Consider its own skills base and investment capability to promote jobs and business growth;
- Engage with strategic and local organisations to build trust and community capacity to advocate for and deliver on important initiatives.

2.3 The Action Plan outlined at Appendix 2, seeks to respond positively to the challenges identified and identifies a series of specific, measurable, achievable and time-bound (SMART) actions over the coming months to deliver sustained improvement.

2.4 The Action Plan was agreed by the Leaders Advisory Group and is now presented to Council for formal approval.

3. RISK ASSESSMENT

3.1 Legal

There is no legal obligation for the Council to undertake a Peer Review, however, a Peer Review is a useful tool to ensure that the Council is complying with all its legal duties in the most efficient manner.

3.2 Financial

There are no direct costs of undertaking a Peer Review, other than staff time that has been met from existing budgets. Some of the items in the Action Plan have financial implications but, where these cannot be contained within existing budgets, further reports will be presented to Members for approval of additional spending. The financial risk is assessed as low.

The review of financial planning and viability, which formed part of the peer challenge, has provided a useful assessment of the Council's arrangements for financial management and financial sustainability.

4. OTHER CONSIDERATIONS

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder, equalities, environmental, climate change, health, human rights, personnel and property.

5. CONTACT INFORMATION

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6. BACKGROUND PAPERS

LGA Corporate Peer Challenge Position Statement (September 2019)
Corporate Peer Challenge Feedback Report (January 2020)

7. APPENDICES

Appendix 1 : Corporate Peer Challenge Feedback Report
Appendix 2 : Corporate Peer Challenge Action Plan



Corporate Peer Challenge Derbyshire Dales District Council

22-24 October 2019

Feedback Report

1. Executive Summary

There is a real sense of ambition and commitment to continuous improvement at Derbyshire Dales District Council (DDDC).

There is a positive supportive culture which has dedicated loyal staff at its centre. The general sense is that the council is seeking to be more forward-thinking and this is very much shared by staff.

The council's core services are performing well. Through focused and prudent management, the council has a strong financial position which provides a foundation for the council's future ambition. As has been the case in recent years for all councils, DDDC has needed to focus on achieving savings and efficiency targets. However financial constraint should not be the overriding driver for all future decisions. A question for the council to consider is how much of an appetite it has for managing risk in order to utilise the many opportunities DDDC has.

The council's plans to develop a new corporate plan for the district provides an important opportunity which must be seized as a means of clearly spelling out the ambition and future vision for Derbyshire Dales as a place. The new corporate plan will also provide opportunities for the council to ensure these messages are clearly articulated to ensure its aspirations are clearly understood. There is clearly an opportunity for this plan to be widely shared to secure greater buy-in from stakeholders and partners across the district as a whole.

There seems a clear opportunity for the council's role in place leadership for the district to be strengthened through the new corporate plan. This work would also give DDDC the chance to provide clarity and focus about its commercialisation aspirations. There is also a good opportunity for the new corporate plan to review and address the council's capacity issues in terms of assuring itself that it has the right levels of staff with the skill required to deliver its ambitions for the future.

It will also be a chance for the council to clearly define its ambitions for economic development and place making whilst reflecting the importance of doing this in sustainable ways. The natural environment of Derbyshire Dales is widely recognised as a significant asset for the council and the communities of the district so the importance of balancing these various considerations will be important.

The Council has good internal and external communications but needs to widely celebrate success. The peer review team would encourage the council to ensure that its communications focus more clearly on reflecting DDDC's desire to continue to build local trust and reach out into its communities effectively. There appears to be an opportunity for the role of elected members to be reviewed to ensure councillors can play a full role in DDDC effectively undertaking this community leadership role.

In taking forward its ambitions for the future the council needs to fully embrace the modernisation agenda for example through systematic approach to digital technology.

2. Key recommendations

There are a range of suggestions and observations within the main section of the report that will inform some 'quick wins' and practical actions, in addition to the conversations onsite, many of which provided ideas and examples of practice from other organisations. The following are the peer team's key recommendations to the Council:

Develop a strong narrative and vision for your area that is owned and understood by members, officers and key stakeholders. Consider how to further broaden members' understanding of the whole district.

Ensure the new corporate plan is an opportunity to look forward and takes account of the potential for a fresh approach. It will need to be collectively owned and appropriately resourced to deliver.

Ensure you understand and maximise the benefits for the district as a whole. Judgement of the value of the council's intervention should not only be based on cost.

Ensure the council's commercialisation approach is sufficiently clear, ambitious and realistic. Make sure this will provide income to support the delivery of quality services and the ambitions of the council.

Further strengthen relationships with key stakeholders especially where delivery of practical and mutual benefits to the district can be achieved.

Review the role description for members to ensure they can fully contribute to the future direction of the council and the district.

Utilise group leaders to ensure all members are fully informed. Ensure information is easily accessible to all members. Consider a single log for member enquiries and have options for self-service.

The council should consider its own skills base and investment capability to promote jobs and business growth. The draft economic plan drives an ambitious direction at a time when site delivery and wider economic circumstances are challenging and suitably skilled staff are needed.

Consider whether your affordable housing offer needs to be diversified in light of the range of local housing need.

Further engage with strategic and local organisations to build trust and community capacity to advocate for and deliver on important initiatives (for example. climate change).

Ensure that the council fully understands what a 2030 carbon neutral target means in impact and cost terms. Good growth and carbon neutrality should both be core to the council's climate change plan.

Share the narrative and celebrate success.

3. Summary of the Peer Challenge approach

The peer team

Peer challenges are delivered by experienced elected member and officer peers. The make-up of the peer team reflected your requirements and the focus of the peer challenge. Peers were selected on the basis of their relevant experience and expertise and agreed with you. The peers who delivered the peer challenge at Derbyshire Dales District Council (DDDC) were:

- Norman Proudfoot (Harborough District Council Joint Chief Executive)
- Councillor Linda Robinson (Former Leader, Wychavon District Council)
- Councillor John Boyce (Leader, Oadby and Wigston Borough Council)
- Richard Cohen (Deputy Chief Executive, East Devon District Council)
- Rob Andrew (Strategic Place-Shaping and Localism Lead, Cornwall)
- Priya Thethi (LGA Policy Adviser)
- Ernest Opuni (LGA Review Manager)

Scope and focus

The peer team considered the following five questions which form the core components looked at by all Corporate Peer Challenges cover. These are the areas we believe are critical to councils' performance and improvement:

1. Understanding of the local place and priority setting: Does the council understand its local context and place and use that to inform a clear vision and set of priorities?
2. Leadership of Place: Does the council provide effective leadership of place through its elected members, officers and constructive relationships and partnerships with external stakeholders?
3. Organisational leadership and governance: Is there effective political and managerial leadership supported by good governance and decision-making arrangements that respond to key challenges and enable change and transformation to be implemented?
4. Financial planning and viability: Does the council have a financial plan in place to ensure long term viability and is there evidence that it is being implemented successfully?

5. Capacity to deliver: Is organisational capacity aligned with priorities and does the council influence, enable and leverage external capacity to focus on agreed outcomes?

Under these headings you asked the peer team to provide feedback on the following specific questions:

- How well does the council understand its local context and place and how has that been used to inform a clear vision and set of priorities?
- How well is the Council achieving against those ambitions? For example, as it reaches the end of the 2015-2019 Corporate Plan has the Council got a clear idea of where to go from here?
- The extent to which the Council's affordable housing ambitions are stretching enough and realistic.
- Does the council provide effective leadership of the District within and beyond through its elected members, officers and constructive relationships and partnerships with external stakeholders?
- How well is the council balancing its growth aspirations with the considerations of the need to deliver wider 'green' outcomes such as carbon reduction?
- Does the council have a financial plan in place to ensure long term sustainability and is there evidence that it is being implemented successfully?
- How aware is it of its costs compared to similar councils?
- Is the Council maximising appropriate sharing and "commercial" opportunities to enable reinvestment in services and to contribute further to self-sufficiency?
- Are the Council's commercial aspirations reasonable and realistic given what it considers to be its limited cash and assets?
- Does its new "Commercial Board" provide- and allow- the focus and leadership needed?
- Is there effective political and managerial leadership supported by good governance.
- Are decision-making arrangements fleet of foot, responsive to key challenges and opportunities and enable change and transformation to be successfully implemented?
- Are elected and officer roles clearly defined and relationships constructive?
- Is the way the Council operates its Committee system model fit for purpose?
- Are resources aligned with priorities?
- Does the council influence, enable and leverage external capacity to focus on agreed outcomes?
- Is the culture one where residents and other stakeholders feel fully engaged and involved in the decisions that are being made on their behalf?
- Is the strategic capacity within the council sufficient for current and future challenges?
- Is the Council making the most of new technology, including artificial intelligence, to reduce demand, improve efficiency and to deliver outcomes?
- To follow the housing theme, is the Council making use of all possible opportunities and taking the right steps to deliver its affordable housing ambitions

The peer challenge process

It is important to stress that this was not an inspection. Peer challenges are improvement focussed and tailored to meet individual councils' needs. They are designed to complement and add value to a council's own performance and improvement. The process is not designed to provide an in-depth or technical assessment of plans and proposals. The peer team used their experience and knowledge of local government to reflect on the information presented to them by people they met, things they saw and material that they read.

The peer team prepared for the peer challenge by reviewing a range of documents and information in order to ensure they were familiar with the Council and the challenges it is facing. The team then spent 3 days onsite at Derbyshire Dales District Council during which they:

- Spoke to more than 85 people including a range of council staff together with councillors and external partners and stakeholders.
- Gathered information and views from more than 43 meetings, visits to key sites in the area and additional research and reading.
- Collectively spent more than 180 hours to determine their findings – the equivalent of one person spending more than 5 weeks in Derbyshire Dales.

This report provides a summary of the peer team's findings. It builds on the feedback presentation provided by the peer team at the end of their on-site visit on 24 October 2019. In presenting feedback to you, they have done so as fellow local government officers and members, not professional consultants or inspectors. By its nature, the peer challenge is a snapshot in time. We appreciate that some of the feedback may be about things you are already addressing and progressing

4. Feedback

4.1 Understanding of the local place and priority setting

Derbyshire Dales District Council (DDDC) has a good understanding and appreciation of its local context and is focusing on continually improving local community relationships. The council's efforts to establish a clear link between what it delivers and clearly identified community priorities is a clear driver of much of what it delivers. The result of the council's 2019 staff survey indicates an improved understanding of the relevance of plans and strategies. This means council's priorities are clear and being operationalised because the key themes for the new Corporate Plan -People, Place, Prosperity- are well understood in the organisation

Members are largely united on council's purpose to provide a positive place to live, work and grow up. Although the council's priority in relation to leading on climate change is in its early days, councillors are positive about the council working to setting an example by making the council a leader in relation to the green agenda. The new corporate plan represents an opportunity for DDDC to develop more fully worked up plans focused on delivering clear outcomes.

There is a strong understanding within the authority about rural pressures and the need for the council to take the lead locally. There is consensus from political and managerial leadership that 'a focus for the future is to deliver services for the benefit of local communities including high value jobs. The emerging Corporate Plan needs to be clear and directive and owned by the whole council. While recent years have by necessity, focussed on achieving savings targets, there is now an opportunity in the new corporate plan for the future direction to include opportunities to invest whilst managing risk effectively.

Affordable housing delivery has been prioritised and resourced. The affordable housing need is clearly evidenced and is a current pressure, exacerbated by lack of suitable land. The council recognises the challenges associated with this and is seeking to maximise off-site contributions by working in partnership with Housing Associations to deliver units. There are good working relationship between Rural Housing enabler and Registered Housing Associations providing a positive foundation on which to progress with delivery into the future. The approach of utilising offsite Section 106 contributions and working with Registered Providers is moving in the right direction but there is more for DDDC to do to ensure future needs can be met.

The established format of the Derbyshire Dales Community Forums could act as a foundation for wider conversations in relation to agendas such as climate change. Now is the time for further engagement with these forums as a vehicle for taking forward much of the local aspirations. The peer review team would encourage the council to review its internal capacity to ensure it is placed to deliver effectively on this agenda.

The council is investing in strategic planning capacity to improve use of sites and improve developer negotiations and the council's understanding of its sites. There is an opportunity for the council to review its empty homes strategy, local housing need and demand. DDDC could also consider the choice of different tenures and whether the Council could itself be a direct investor.

4.2 Leadership of Place

DDDC is credited with being an effective leader of the district by partners who attest to the authority being a good partner to work with which makes positive contributions to collaboration. Relationships with partner organisations to promote the district are strong and the council is actively looking to work more closely with other districts.

DDDC's induction programme for its new councillors is positively regarded by local councillors. Members are also positive about potential for innovation in the area and are keen to take this forward as part of the council's new Corporate Plan including effective delivery of infrastructure projects for the future

There is a good relationship between DDDC's and the County Council as evidenced by the Ashbourne Airfield redevelopment, collaboration on transport and the work that has been done in relation to parking enforcement. These are all contributing positively to DDDC delivering more effectively in its place leadership role. Where possible the council should seek to lead joint initiatives where the benefits are going to be realised locally as this will ensure that infrastructure projects are delivered more effectively.

The council's building control partnership service is working well and benefits from effective reporting and governance structures which allows it to identify and respond to effectively to future works. This shared service has very strong support from DDDC officers which will be key in addressing the development aspirations and associated future challenges this may bring.

There is evidence of good leadership such as the climate change initiative. This will be important if the council is to fully utilise its natural environment as the asset it could be. The peer review team would encourage continued closer collaboration between officers and the member working group set up to develop ideas for delivering on this agenda into the future. Taking this forward effectively will contribute positively to the council identifying resources from the D2N2 Local Enterprise Partnership (LEP) for example.

DDDC is one of the districts within the county best placed to lead on the delivery of improved rural outcomes in Derbyshire. DDDC can create scope for investment in this agenda due to its unique location and positive reputation as a tourist destination.

The council is exceptionally well placed to build on its good relationships with external partners to highlight and tackle issues that rural councils have such as housing provision when substantial parts of the district are within National Parks. There would seem to be mutual benefits to jointly have a constructive dialogue with central government to explain the difficulties and seek support to address the perceived inequalities of the government's current approach. The council clearly has a strong relationship with the National Park however it needs to ensure that the council's representatives on the National Park board are able to promote the council's position and robustly challenge where necessary.

Town Councils and Parish Councils view DDDC as being more responsive and welcome the prospect of a place-based approach. There is a will and opportunity for yet closer working between DDDC and the Derbyshire Association of Local Councils (DALC) which could yield real benefit through sharing resources and expertise. The foundations for effective collaboration are in place but there remain further opportunities to continue to improve local engagement and understanding. There will be a need for the council to review its capacity to support this work in that DDDC can be assured of its ability to deliver its future ambitions.

DDDC would benefit from having a stronger voice and greater visibility on the regional stage to promote rural businesses and diversification. Key to this will be a clear narrative on what DDDC is able to contribute to achieving LEP priorities. DDDC is regarded by the LEP as one of the better districts to work which provides further opportunity for yet more effective delivery at this level.

DDDC's Economic Strategy is seeking to achieve a shift from tourism promotion to higher value and rural economy focus which would help contribute to ambitions of the LEP. Through this greater alignment there are likely to be enhanced opportunities to secure the kind of resources which could contribute to accelerating the delivery of important projects focusing on economic growth sectors and frontline services to local businesses. The peer review team would encourage DDDC to consider even more structured engagement with Businesses by sector and place and how this work might support manufacturing and engineering firms for example.

Historically it appears that the Council has overseen the delivery of site development such as Marks and Spencer, Wilkinson's and ABC premises. There is a clear desire to deliver economic development however employment sites are complex and difficult to develop in this area. There may be value in the council considering if it could be an investor in potential sites which may help unlock these developments.

DDDC is an integral part of strong partnerships focused on delivering to the wider the health and wellbeing agenda. This is being achieved through promoting health and active life style activities through its active communities' strategies. These are contributing positively to better community outcomes.

The positivity of the council about climate change and the potential for strong local partnerships could contribute positively to achieving the LEP's rural agenda. In order to maximise these opportunities, it will be important for the new Corporate Plan to address and clearly define what outcomes are sought for the towns in the district and how delivery could contribute to LEP objectives.

DDDC core service delivery is well regarded particularly in areas such as waste collection and recycling.

4.3 Organisational leadership and governance

The Council needs to identify a clearer strategic direction and then the capacity to deliver. There needs to be a better balance between strategic and operational delivery. A clearer strategic direction from the Members will enable the Corporate Leadership Team to more effectively deliver.

Member and officer relationships have changed since the election and there needs to be a better mutual understanding of roles. Members and officers are a team, working on behalf of the residents in the district and it is important that there is clarity on behaviours, responsibilities, roles and delegation. The members role is crucial as there is evidence of the members becoming involved in operational matters which is clearly not their role.

There can be a tendency for some members to be too parochial forgetting their wider district councillor role. The peer review team's view is that the role of councillors is also a strategic one in which they use their local knowledge and experience as elected representatives to take decisions that set the direction of the council across the whole district. Members developing and communicating a long-term vision would be a strong message for the community and for partners.

Internal corporate communication as evidenced by the 2019 staff survey, seems to be effective. There is however some recognition that internal communications across the organisation between various departments requires attention to address future challenges and prevent silo working.

The transformation of the business support service has been successful in delivering efficiencies and is the success of this approach a template for similar change.

There is an opportunity to review the constitution to encourage fleet of foot decision making and more empowerment. Currently it would appear that decisions are sometimes delayed as they are required to go through the committee system. In reality many of these decisions should not require a committee approval so would benefit from the officers having delegated powers or where relevant a swifter member involvement. This will undoubtedly become more important as the Council's commercial approach develops and there will be a need to adapt to changing market conditions. Reviewing the constitution will enable the scheme of delegation to be developed to encourage swift and effective decision making.

The council is working well with the other district councils and the county council to identify better ways of collaboration and joint working through non-structural reform. This may prove to be a useful approach to deliver efficiencies and the council needs to be flexible to adapt its approach where necessary to ensure the partnership working is successful.

4.4 Financial planning and viability

Derbyshire Dales has a budget of just under £10m. The authority receives relatively little government grant support and is therefore now heavily dependent on generating income from Council Tax, Business Rates and local fees and charges.

There is evidence of strong finances and good financial management and the Council has a good record of staying within its budget. Reserves are healthy and the Council plans well for the future. Financial reporting to elected members is of a high standard and it is clear the Council understands its financial position and recognises its risks. There appears a need to develop savings plans to address budget shortfalls over the next three years.

The Council has a Medium Term Financial Strategy (MTFS) that includes a Medium-Term Financial Plan (MTFP) which projects DDDC's finances to 2023/24. The Strategy is well set out, detailed and thorough, demonstrating that the council understands their financial challenge well. It is underpinned by a set of principles the first of which is:

“to have a balanced sustainable budget in the medium-term to ensure that the Council remains in good financial health and meets the statutory requirement to set a balanced budget.”

The MTFs and MTFP address significant risks, such as loss of New Homes Bonus, reductions in business rates and the impact of contract renewals. This means the council is well placed to anticipate and plan effectively for the future.

DDDC is managing its finances well. The council holds a healthy level of reserves and have prudently set aside money to deal with in-year variations in their budget. There is a risk-based reserves strategy which sets out the purpose for which they are held.

The council has a five-year Medium-Term Financial Plan which recognises financial risks and opportunities. The MTFP is a good document and shows that the council understands its finances well.

DDDC has been successful in generating savings over the last five years to sustain the council financially. There is clearly some uncertainty over the future due to the delay in the government’s review of local government finance but DDDC has set out projections based on a reasonable set of assumptions. This shows that it will need to identify further recurring savings (or additional income) after 2020/21 which amount to approximately £400,000 per annum. As yet the Council have not published their ideas beyond some thematic areas and this represents an area the council would benefit from focusing on further.

In 2020/21 the Council faces significant risks around contract renewals, in particular the waste contract (an additional £300k per annum. has been included in the MTFP), and from the revaluation of the pension fund (£150k per annum included in the MTFP).

The Council has low levels of debt (£5.4m) and has a strategy to provide resources from revenue to support the repairs and renewal of assets. This capital programme reserve stood at £2.25m at 31st March 2019.

The Council has a commercial investment strategy in order to generate income. This strategy is supported by an investment reserve of £570k. The strategy recognises the risks of this kind of investment and sets out a clear set of parameters within which the Council works to mitigate against such risks. However it is unclear how the strategy is being used to determine potential investments and whether there is additional funding available to maximise financial returns.

The council is in a strong financial position given the current climate. There has been a strong focus on financial sustainability around savings and efficiencies but needs to include a clear drive for increasing income generation. Coupled with a drive to generate income there should be more clarity around the true costs of services so that managers can robustly assess the commerciality of their services. The commercial ambition for the council needs to be clearly defined as a whole including the role of core services. The Commercial Board needs to be willing and to make timely investment decisions. The council’s strong financial position should enable it to be more ambitious with commercial

investments underpinned by robust management rather than avoidance of risk. It may help if the council considers a target which is derived from return on capital invested. The peer review team noted that the establishment of the Limited Liability Partnership was not being progressed and suggests that other delivery models are investigated to enable the council to operate with a more commercial approach for the relevant projects.

The use of assets to generate income for the Council should be a clearer priority emerging from the Asset Management plan. It is clear that DDDC has taken up the challenges of rationalising the asset base, a key recent example being leisure centres and public toilets. To continue the optimisation of its significant number of assets a swift governance process needs to be in place.

4.5 Capacity to deliver

DDCC has good, dedicated staff who are well thought of, enjoy working for the council and are clearly dedicated and passionate about working here. The peer team heard positive feedback from members and partners about officers. Staff expressed that they are happy with the current management arrangements and approach. There was however evidence of risks around recruitment, retention, staff progression and succession planning which have been highlighted by staff.

Once the new corporate plan priorities have been confirmed, there will be the need to further review capacity and skill requirements to deliver – “step up from enabling to delivery”

There is recognition amongst all parts of council (including members) of a lack of strategic capacity with CLT drawn into operational delivery. A suggestion from members is to reintroduce the Corporate Director role and the peer review team would support this action to provide additional strategic input and resilience for the Chief Executive.

Both procurement and asset management were seen as areas which would benefit from additional professional capacity.

Some of the shared services are working well and returning financial benefits such as the Building Control Company. There appears however to be some confusion amongst staff between the role of the ICT partnership and the digital transformation programme.

The council currently has flexible working in place and staff recognise the benefits that this brings. There is evidence that there is a demand for more flexible working policies across the council and not just in specific services. As many staff travel from other districts and there is limited public transport there is a potential to improve efficiencies and reduce the carbon footprint through the expansion of this approach.

5. Next steps

Immediate next steps

We appreciate the senior managerial and political leadership will want to reflect on these findings and suggestions in order to determine how the organisation wishes to take things forward.

As part of the peer challenge process, there is an offer of further activity to support this. The LGA is well placed to provide additional support, advice and guidance on a number of the areas for development and improvement and we would be happy to discuss this. Mark Edgell, Principal Adviser is the main contact between your authority and the Local Government Association (LGA). His contact details are: mark.edgell@local.gov.uk

In the meantime we are keen to continue the relationship we have formed with the Council throughout the peer challenge. We will endeavour to provide signposting to examples of practice and further information and guidance about the issues we have raised in this report to help inform ongoing consideration.

Follow up visit

The LGA Corporate Peer Challenge process includes a follow up visit. The purpose of the visit is to help the Council assess the impact of the peer challenge and demonstrate the progress it has made against the areas of improvement and development identified by the peer team. It is a lighter-touch version of the original visit and does not necessarily involve all members of the original peer team. The timing of the visit is determined by the Council. Our expectation is that it will occur within the next 2 years.

Next Corporate Peer Challenge

The current LGA sector-led improvement support offer includes an expectation that all councils will have a Corporate Peer Challenge or Finance Peer Review every 4 to 5 years. It is therefore anticipated that the Council will commission their next Peer Challenge before 2024.

	KEY RECOMMENDATION	PROPOSED ACTIONS	RESPONSIBILITY	DEADLINE
1	Develop a strong narrative and vision for your area that is owned and understood by members, officers and key stakeholders. Consider how to further broaden members' understanding of the whole district.	<p>Publish slimmed down and plain English version of Corporate Plan evidence base</p> <p>Member corporate governance training on the back of the new Corporate Plan that guides Members to think corporately</p> <p>Bi-Annual Tour of the District to reinforce corporate priorities?</p> <p>Training to ensure that Members understand the strategic financial position</p>	<p>Mike Hase</p> <p>Member Development Working Group (MDWG)</p> <p>MDWG</p> <p>Karen Henriksen to lead, but determined by MDWG</p>	<p>August 2020</p> <p>Summer 2020</p> <p>September 2020</p> <p>November 2020</p>
2	Ensure the new corporate plan is an opportunity to look forward and takes account of the potential for a fresh approach. It will need to be collectively owned and appropriately resourced to deliver.	<p>Annual review of Corporate Plan objectives (not just performance indicators)</p> <p>Analyse budget and capital programme in line with new corporate plan priorities</p> <p>Review and simplify format of Service Plans to show links to Corporate Plan and resources, include both qualitative and quantitative information, and refer to core statutory duties</p>	<p>Corporate Leadership Team (CLT), Council</p> <p>Karen Henriksen</p> <p>Mike Hase, CLT</p>	<p>November 2020</p> <p>November 2021</p> <p>November 2022</p> <p>September 2020</p> <p>September 2020</p>
3	Ensure you understand and maximise the benefits for the district as a whole. Judgement of the value of the Council's intervention should not only be based on cost.	<p>Consider defining a key decision to demonstrate wider district community benefit, cost and desired outcomes (to distinguish from parochial outlook)</p> <p>Put more emphasis on different ways of working and engaging with our communities. We need to understand local needs and wants, and f work with local community groups, and Town & Parish Councils to achieve agreed objectives, including the development of a Community Asset Transfer policy</p>	<p>Sandra Lamb</p> <p>Rebecca Bryan</p>	<p>Annual Meeting</p> <p>March 2021</p>

	KEY RECOMMENDATION	PROPOSED ACTIONS	RESPONSIBILITY	DEADLINE
4	<p>Ensure the Council's commercialisation approach is sufficiently clear, ambitious and realistic. Make sure this will provide income to support the delivery of quality services and the ambitions of the Council.</p>	<p>Define clearly what DDDC means by commercialism, its scope, priorities, exclusions, risks and realistic income potential. (Take into account tradeable services e.g. market comparisons on service fees and charges, regeneration and investments)</p> <p>Produce an annual commercial work plan and monitor its success.</p> <p>Maximise Corporate Social Responsibility via procurement: encourage contractor investment aligned to DDDC priorities.</p>	<p>Strategic Director</p> <p>Strategic Director</p> <p>Strategic Director</p>	<p>TBC – subject to resources being made available</p> <p>TBC - subject to resources being made available</p> <p>TBC - subject to resources being made available</p>
5	<p>Further strengthen relationships with all key stakeholders especially where delivery of practical and mutual benefits to the district can be achieved.</p>	<p>Continue to use our influence via D2N2 Boards, PDNPA and DCC. Continue to play a leading role in the non-structural reform agenda</p> <p>Review significant partnerships and outside body representation based on their fit with our corporate themes</p> <p>Ensure feedback mechanism to Council from elected representatives on outside bodies to ensure organisational learning</p> <p>Review mechanism for engaging with 70 Parish Councils in the District – perhaps a Ward approach or within established community identifies e.g. Hope Valley. Consider rolling out key contact scheme with Parish Councils on a rolling programme (along lines of Closer Working relationships with Town Councils).</p> <p>Reconsider format of Community Forums to be less combative; include a Question time session with the Leader. Reach out to communities on their terms as a listening session not a broadcast event.</p>	<p>Paul Wilson / Steve Capes</p> <p>Sandra Lamb / James McLaughlin</p> <p>Sandra Lamb / James McLaughlin</p> <p>CLT</p> <p>LAG</p>	<p>Ongoing</p> <p>Annual Meeting and for Member Workshop discussion</p> <p>Annual Meeting and for Member Workshop discussion</p> <p>May 2021</p> <p>Annual Meeting</p>

KEY RECOMMENDATION	PROPOSED ACTIONS	RESPONSIBILITY	DEADLINE	
6	<p>Review the role description for members to ensure they can fully contribute to the future direction of the council and the district.</p>	<p>Review to focus on community leadership role and to stress need to put district ahead of ward Organise facilitated workshop by EMPC to focus on community leadership in redrafting role profiles</p> <p>Re-purpose the Member Development Working Group to consider a competency framework for newly elected Councillors with a training plan to fit.</p> <p>Instruct the IRP to include diversity of members, as part of the review of allowances.</p> <p>Create a forum for ideas and initiatives from all Councillors which can then be assessed against the Corporate Plan</p> <p>Develop a succession plan for political groups to use to invest in promoting talent within the group system. Small budget perhaps for Groups to disperse?</p>	<p>MDWG</p>	<p>Annual Meeting</p> <p>Revised ToR Agreed First meeting Autumn 2020</p> <p>Review commenced. Revised target following suspension Sept 2020</p>
7	<p>Utilise group leaders to ensure all members are fully informed. Ensure information is easily accessible to all members. Consider a single log for member enquiries and have options for self-service.</p>	<p>CRM system to be used to log and manage Member requests for service. Reduce email communications for routine business by more self-serve options, e.g. apologies and invitations to workshops</p> <p>Review Members Portal to segment information which can be viewed without the email traffic.</p> <p>Member monthly bulletin with contributions from Councillors</p> <p>Consider scheduling meetings of LAG to keep senior politicians up to date on strategic matters generally</p> <p>Member briefings pre Committee and/or Quarterly area focused meetings</p> <p>Programmed quarterly member Q&A (with Leaders and CLT)</p>	<p>Glenn Burton</p> <p>James McLaughlin</p> <p>MDWG</p> <p>MDWG</p> <p>MDWG</p> <p>MDWG</p>	<p>October 2020</p> <p>December 2020</p> <p>For Member Workshop discussion</p> <p>For Member Workshop discussion</p> <p>For Member Workshop discussion</p> <p>For Member Workshop discussion</p>

	KEY RECOMMENDATION	PROPOSED ACTIONS	RESPONSIBILITY	DEADLINE
8	The Council should consider its own skills base and investment capability to promote jobs and business growth. The draft economic plan drives an ambitious direction at a time when site delivery and wider economic circumstances are challenging and suitably skilled staff are needed.	<p>Recruit skilled commercial development staff to deliver sites. Ensure organisational review of capacity alongside strategic succession planning policy for employees</p> <p>Further utilise staff whose day jobs involve routine interaction with business, in addition to business advice service, e.g. Environmental Health and Licensing</p>	<p>Place Shaping Hub</p> <p>CLT</p>	<p>October 2020</p> <p>Ongoing</p>
9	Consider whether your affordable housing offer needs to be diversified in light of the range of local housing need.	<p>Ensure our Housing function delivers on a range of housing needs and tenures for residents as a whole, as well as social rented housing.</p> <p>Workshop with elected members to scope potential and resources required to expand (or not) from affordable rental market</p> <p>Properly consider the role of the private rented sector in this respect</p> <p>Promote the work of Community Land Trusts and Almshouse charities who provide affordable housing</p>	<p>Rob Cogings</p> <p>Rob Cogings</p> <p>Tim Braund / Rob Cogings</p> <p>Rob Cogings</p>	<p>March 2021</p> <p>Housing Workshop (Autumn 2020)</p> <p>Housing Workshop (Autumn 2020)</p> <p>June 2020</p>
10	Further engage with strategic and local organisations to build trust and community capacity to advocate for and deliver on important initiatives (for example. climate change).	<p>Consider co-option of voluntary sector on working groups e.g. climate change.</p> <p>Allocate some of the LPF or Better DD's fund for larger/strategic community initiatives</p> <p>Work with Derbyshire based agencies to support community initiatives, e.g. Community Payment Scheme</p>	<p>Ashley Watts</p> <p>Ashley Watts</p> <p>Ashley Watts</p>	<p>Summer 2020</p> <p>Summer 2020</p> <p>Summer 2020</p>

	KEY RECOMMENDATION	PROPOSED ACTIONS	RESPONSIBILITY	DEADLINE
11	<p>Ensure that the Council fully understands what a 2030 carbon neutral target means in impact and cost terms. Good growth and carbon neutrality should both be core to the Council's climate change plan.</p>	<p>Commit to the development of a Climate Change Strategy with clearly defined targets and actions which do not prevent sustainable economic growth.</p> <p>Prepare Climate Change SPD</p> <p>Climate Change Task Group Annual Action Plan to Council</p> <p>Assessment of carbon footprint in committee reports (basic level)</p> <p>Consider co-opting expertise and local interest groups to join the Task Group</p> <p>Development of strategy with clear action plan leading to 2030. Delivery against those targets. Consider role of SMT in helping with this. Consider role in wider community in this respect</p>	<p>Climate Change Working Group (CCWG)</p> <p>Mike Hase</p> <p>CCWG</p> <p>CLT</p> <p>CCWG</p> <p>CCWG</p>	<p>Summer 2020</p> <p>June 2021</p> <p>Autumn 2020</p> <p>Annual Meeting</p> <p>Ongoing</p> <p>Ongoing</p>
12	<p>Share the narrative and celebrate success.</p>	<p>Maximise opportunities for PR and encourage good news stories to be raised with JF from across the whole of the organisation: invite staff to share their stories of how they have made a difference for promotion through Paul's Post and external if relevant i.e. open up Departmental blog's to run alongside Paul's Post. Develop a council-wide culture so that staff willingly share their successes</p> <p>Increased promotion of Local Projects Fund</p> <p>Encourage success to be shared across professional networks e.g. LinkedIn</p> <p>Pursue opportunities for national awards e.g. MJ / Housing / APSE</p>	<p>Jim Fearn / CLT</p> <p>Rebecca Bryan</p> <p>CLT / Senior Management Team (SMT)</p> <p>CLT / SMT</p>	<p>Autumn 2020</p> <p>Autumn 2020</p> <p>Summer 2020</p> <p>Ongoing</p>

COUNCIL
02 July 2020

Report of the Director of Regulatory Services

MATLOCK TOWN HALL – BUILDING ADAPTATIONS RELATING TO COVID 19

PURPOSE OF REPORT

To outline a number of proposed adaptations to the Town Hall building to allow safe use by staff and the public in line with Government guidance during the COVID-19 pandemic.

RECOMMENDATION

1. That the work already undertaken and approve the proposed building adaptation works is noted.
2. That additional revenue expenditure of £40,000 is approved for the adaptation works.

WARDS AFFECTED

All.

STRATEGIC LINK

The 'Place' priority in the District Council's Corporate Plan highlights: *Keeping the Derbyshire Dales Clean, Green and Safe*. The proposals in this report seek to ensure that the Town Hall is configured in a way that keeps the public and staff as safe as possible from COVID-19 risks.

1. BACKGROUND

- 1.1 On 23rd March this year, the United Kingdom was placed into lockdown by the Government to lessen the spread of COVID-19. In addition, social distancing measures were introduced to help slow the spread of infection.
- 1.2 In order to support these measures, the Town Hall reception was closed to public visitors on 24th March 2020 and the majority of Town Hall based staff commenced working from home in accordance with Government guidance.
- 1.3 Throughout the main lockdown period, a core of key staff, mainly in the Business Support Unit supported by a member of Corporate Leadership Team, continued to work from the Town Hall to keep the switchboard running and to

support other staff working from home. Throughout this period, a maximum of 15 staff were present in the building.

- 1.4 Under normal circumstances, the Town Hall accommodates approximately 160 staff and tenants and public access is available to reception during normal opening hours.
- 1.5 On 10th May 2020 the Government announced the easing of lockdown which relaxed some of the restrictions but still contained the advice to work from home where possible. As a result, the Town Hall continues to operate with reduced staff numbers with some staff calling in to collect files etc. with a typical building occupancy of 15 – 20.
- 1.6 The current guidance issued by Government regarding the safe use of offices is included here <https://www.gov.uk/guidance/working-safely-during-coronavirus-covid-19/offices-and-contact-centres> which contains the following specific recommendations:-

Staggering arrival and departure times at work to reduce crowding into and out of the workplace, taking account of the impact on those with protected characteristics.

Reducing congestion, for example, by having more entry points to the workplace.

Using markings and introducing one-way flow at entry and exit points.

Providing handwashing facilities, or hand sanitiser where not possible, at entry and exit points and not using touch-based security devices such as keypads.

Maintaining use of security access devices, such as keypads or passes, and adjusting processes at entry/exit points to reduce risk of transmission. For example, cleaning pass readers regularly and asking staff to hold their passes next to pass readers rather than touching them.

2. REPORT

- 2.1 Following the Government's announcement regarding the phased reopening of non-essential retail/services throughout June and July, a risk assessment of the Town Hall has been undertaken which considers the risks to staff and tenants in normal operation and the additional risks introduced should the Town Hall be re-opened to the public. The risk assessment is attached at Appendix1 of this report.

2.2 The risk assessment identifies a number of areas for attention/adaptation in order to comply with the current Government guidance and these can be summarised as below

Entrance/Exit points	In normal operation all staff enter the building via main reception. Under the proposals below an additional 2 entry points would be provided.
Circulation within building	In order to maintain social distancing of 2m, a one way system would be required in main corridors. Even if social distancing is reduced to 1m this should still be considered as the Town Hall corridor width is 1.45m. A queuing system will be required to ensure safe public access to reception.
Screens in public areas	In order to reduce the risks presented by COVID 19, screens will be needed in reception and Interview rooms/booths.
Security doors	Existing system relies on a large number of mechanical keypad locks. It is proposed to replace this with 4 powered automatic doors operated by security fobs. This would make the non –public areas of the building secure and would negate the need for further security locks.
Fire doors	On the basis of the adaptation of the above, all other corridor doors in the building could be fitted with electronic hold open devices which would close should the fire alarm sound.

In order to mitigate against these risks to staff and visitors, the following points are noted for the Council's' consideration:

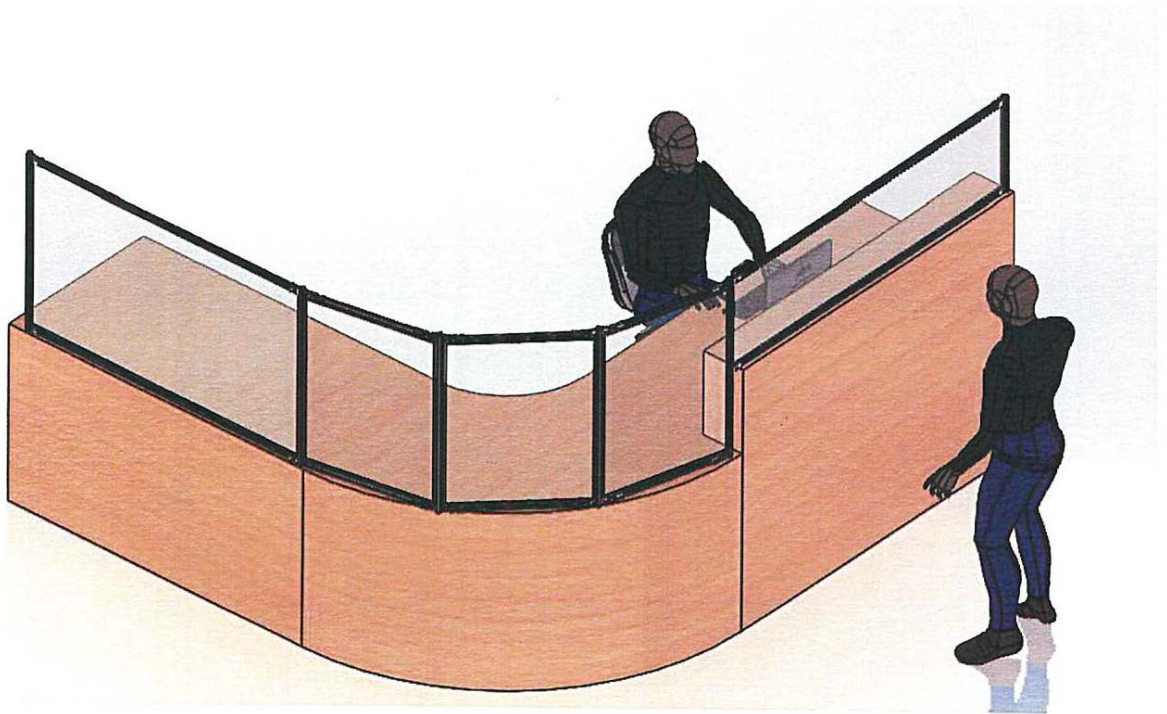
2.3 A number of adaptations have already taken place or have been ordered to avoid delays due to significant demand. A summary of the current position and the associated costs is given below:-

Entrance/Exit points	2 new entry points to the building included in security locks quotation below.
Circulation within building	Socially distancing carpet tiles ordered and new heavy duty carpet tiles installed in reception. Total cost £2,000 .
Screens/Queuing system in public areas	Appropriate aluminium framed screens have been ordered and are due to be installed in reception, interview booths and interview rooms later this month. Queuing barriers to be ordered. Total cost £5,000 .
Security doors	Installation of new powered security doors at 2 entry points and 2 internal doors from reception including associated building alterations and electrical works. Total cost £30,000
Fire doors	Installation of Doorguard hold open devices on all remaining fire doors. Total cost £3,000

- 2.4 In addition to our own staff, the Town Hall building is occupied with a number of partner organisations and tenants including Arvato, Citizens Advice Bureau, Rural Action Derbyshire, Adullam Housing, Age UK and the BBC. Our risk assessments and proposals for the building have been shared with these organisations.
- 2.5 The proposed works are designed to make the Town Hall building compliant with Government regulations in respect of COVID 19 but the main elements of the works relating to improvements to reception, new staff entrance points, new security doors and door hold open devices will result in an improved environment for staff and customers going forward.
- 2.6 The proposed changes to access/door arrangements will improve the circulation within the building such that, when the decision to open to the public is made, customers will have access to a safe and welcoming reception area and staff and tenants will have their own private entrances to the building rather than all access being via reception as at present.
- 2.7 The 2 new external access doors will give direct access to the Level 2/4/6 and 3/5/7 blocks for staff and tenants with 2 further doors linking reception to the private areas of the building. These doors will open automatically and will be fitted with electronic locks operable by security fobs. This will improve the security of the Town Hall and allow the removal of approximately 15 mechanical keypad locks throughout the building. These doors and the remaining corridor fire doors throughout the building will be fitted with Door guard hold-open devices linked to the fire alarm. The result of this is that staff will be able to freely circulate within the private areas of the building without constantly having to open doors.
- 2.8 The proposed improvements to circulation in the building include changes to floor finishes including replacement of the worn out carpet in main reception with a heavy duty carpet tiled finish. The carpet finish in main circulation areas in the building enables the temporary installation of “sign” carpet tiles and direction markings to inform social distancing. An example of how this may look in reception and building corridors is indicated below.



- 2.9 The proposed security screens are of aluminium framed Perspex construction to complement the existing surface finishes in reception. They contain a slot underneath to allow papers to be passed through and will have an appropriate cut out to allow operation of the card payment machine on reception. An example of how the installation may look is indicated below.



- 2.10 Of our tenants, the Citizens Advice Bureau has the largest number of external customers and have their own interview rooms situated off main reception. They are currently working with us to install matching screens in their areas of the building.
- 2.11 In addition to the works outlined above there will be various enabling minor building works including a minor configuration of the reception counter and the purchase of a barrier queuing system for use in reception.
- 2.12 The total cost of the works as outlined above is £40,000 and the suggested budgetary provision for this is included in the Financial Risk paragraph of this report.

3. RISK ASSESSMENT

3.1 Legal

The proposed works comply with Government advice and guidelines to protect the health and safety of employees and visitors alike. The goods and works required were procured in accordance with the Councils Contract Standing Orders. The legal risk is therefore low.

3.2 Financial

There is no provision in the 2020/21 revenue budget for the estimated additional expenditure of £40,000 associated with these adaptations. However, the Council has received a government grant of £744,150 to assist the Council in meeting the additional costs and lost income arising from the coronavirus pandemic. The additional expenditure arising from this recommendation could be financed by using part of the government grant or, if the grant is insufficient to meet all additional expenses and lost income, it would be financed from the General Reserve. The financial risk to the Council is assessed as medium.

4. OTHER CONSIDERATIONS

In preparing this report, the relevance of the following factors has also been considered: prevention of crime and disorder; equalities; environmental; climate change; health; human rights; personnel and property.

5. CONTACT INFORMATION

Mike Galsworthy – Estates and Facilities Manager
Tel: 01629 761207
Email: mike.galsworthy@derbyshiredales.gov.uk

6 BACKGROUND PAPERS

None

7 ATTACHMENTS

Appendix One - Risk Assessment

Risk Assessment for Area/Task – Offices and Common Areas

Completed by: CL/MG

Date: 05/06/20

Manager sign off:

All employers must conduct a risk assessment. Employers with five or more employees have to record the significant findings of their risk assessment

Identify significant hazards in the work area and complete the table. You can print and save this template so you can easily review and update the information as and when required. You may find HSE example risk assessments a useful guide at www.hse.gov.uk/risk/casestudies/ Choose the example closest to your area of interest.

Organisation name: Derbyshire Dales District Council

What are the hazards?	Who might be harmed and how?	What are you already doing? (Existing controls)	Calculate Risk Factor (RF) Likelihood x Severity = RF Is it Low / Medium / High risk?	Do you need to do anything else to manage this risk? (Aim for lowest RF possible). (Additional controls)	(Optional) Re-calculate RF L X S = RF What risk is it now?	Action by whom?	Action by when?	Completed date
Staff access and exit of the building	Staff Possible exposure to COVID19	Entrance and Exit points Reduced staffing within the building (max 30 staff) Access via one entrance route Exit via any available existing exit route	4x2=8 MEDIUM	Consider adapting doors to provide alternative entry points. Maintain reduced staffing with use of home working/staff rotas. Staff encouraged to use all available exit points.	4X1=4 LOW	CLT Estates & Facilities		
Staff use of common areas Staff access to: Corridors Toilets Kitchens Copiers Meeting Rooms (Reception Area)	Staff Possible exposure to COVID19	Corridors Currently limited number of staff within the building. No restrictions other than social distancing where possible	4x3=12 HIGH	Maximum attendance level set for building according to Service need with use of home working/staff rotas. Level TBD Introduce one way system in main corridors.	4X2=8 MEDIUM	CLT Estates & Facilities		
		Toilets One person at a time to use the facilities. System in place to ensure even use of toilets by allocating existing facilities to appropriate areas of the building Staff to: <ul style="list-style-type: none"> Sanitise hands on entry Use viricidal spray to clean seats, handles etc before and after use 	4X2=8 MEDIUM	Continue with existing procedure.	4X2=8 MEDIUM	All staff		

What are the hazards?	Who might be harmed and how?	What are you already doing? (Existing controls)	Calculate Risk Factor (RF) Likelihood x Severity = RF Is it Low / Medium / High risk?	Do you need to do anything else to manage this risk? (Aim for lowest RF possible). (Additional controls)	(Optional) Re-calculate RF L X S = RF What risk is it now?	Action by whom?	Action by when?	Completed date
		<ul style="list-style-type: none"> Wash hands on exit and dry with paper towels provided. 						
		<p>Kitchens Currently limited number of staff within the building.</p> <p>No restrictions other than social distancing where possible</p>	<p>4X2=8 MEDIUM</p>	<p>One person at a time to use the facilities. Staff to:</p> <ul style="list-style-type: none"> Sanitise hands on entry Use viricidal spray to clean work surfaces fridge and microwave handles etc before and after use Clean and wash hands on exit and dry with paper towels provided. 	<p>4X2=8 MEDIUM</p>	All staff		
		<p>Copiers One person at a time at the copier. Social distancing whilst queueing Sanitise hands before and after use Clean the copier before and after use</p>	<p>4X2=8 MEDIUM</p>	<p>Continue with existing procedure</p> <p>Use viricidal spray to clean surfaces before and after use</p>	<p>4X2=8 MEDIUM</p>	All staff		
		<p>Meeting Rooms (near Reception Area) Reduced staff within the building. Meetings Rooms not currently used</p> <p><i>Risk score assumes no controls</i></p>	<p>4x3=12 HIGH</p>	<p>Social distancing between attendees.</p> <p>Perspex divider screens.</p> <p>Sanitise hands on entry, clean work area with viricidal spray on entry and exit and sanitise hands on exit</p>	<p>4x2=8 MEDIUM</p>	Estates & Facilities All staff		
<p>Public access and exit of the building</p> <p>Uncontrolled public access to building leading to</p>	<p>Public Possible exposure to COVID19</p>	<p>The building is currently closed to the public</p> <p><i>Risk score assumes no controls</i></p>	<p>5x4=20 HIGH</p>	<p>If opening to the public consider:</p> <p>Social distancing between visitors</p> <p>Demarcation on floor tiles to identify waiting areas and flow on entry and exit to the Reception desk</p> <p>Perspex divider screens on both Reception and</p>	<p>4x2=8 MEDIUM</p>	Estates & Facilities All staff		

What are the hazards?	Who might be harmed and how?	What are you already doing? (Existing controls)	Calculate Risk Factor (RF) Likelihood x Severity = RF Is it Low / Medium / High risk?	Do you need to do anything else to manage this risk? (Aim for lowest RF possible). (Additional controls)	(Optional) Re-calculate RF L X S = RF What risk is it now?	Action by whom?	Action by when?	Completed date
contravention of social distancing guidelines				<p>Meeting booths</p> <p>Opening within Perspex screen to enable card payments to be made and documentation to be handed in/out</p> <p>Long handled paddle to allow for payment machine to be handed to customer</p> <p>Sanitise hand/wear gloves</p> <p>Consider closing customer toilets</p>				
Public access and exit of the building	Public/staff Possible exposure to COVID19	The building is currently closed to the public <i>Risk score assumes no controls</i>	5X4=20 HIGH	Access and exit via one entrance route	4X2=8 MEDIUM	Estates & Facilities/ BSU		
Public access to Reception	Public/staff Possible exposure to COVID19	Reception Not currently open to visitors <i>Risk score assumes no controls</i>	5X4=20 HIGH	<p>Consideration to be given to temporarily reducing opening times e.g 9-12 pm. Reducing possible cross contamination due to sharing work areas and equipment during toilet breaks, lunch breaks etc.</p> <p>Social distancing between visitors</p> <p>Demarcation on floor tiles to identify waiting areas and flow on entry and exit to the Reception desk to reduce congestion</p> <p>Perspex divider screens</p> <p>An opening within Perspex screen to enable card payments to be made and documentation to be handed in/out</p>	4X2=8 MEDIUM	CLT/ Estates & Facilities/ BSU		

What are the hazards?	Who might be harmed and how?	What are you already doing? (Existing controls)	Calculate Risk Factor (RF) Likelihood x Severity = RF Is it Low / Medium / High risk?	Do you need to do anything else to manage this risk? (Aim for lowest RF possible). (Additional controls)	(Optional) Re-calculate RF L X S = RF What risk is it now?	Action by whom?	Action by when?	Completed date
				Long handled paddle to allow for payment machine to be handed to customer Sanitise hands on entry and exit				
		Meeting Rooms and Booths Not currently open to visitors <i>Risk score assumes no controls</i>	5X4=20 HIGH	Social distancing between attendees. Perspex divider screens with opening to allow documentation to be handed in and out Sanitise hands on entry and exit, clean work area with viricidal spray after each attendee	4X2=8 MEDIUM	<i>Estates & Facilities</i> <i>All staff</i>		
		Toilets Not currently open to visitors <i>Risk score assumes no controls</i>	5X4=20 HIGH	Consider closing customer toilets. Toilet facilities still to be available for public attending meetings /interviews etc. Consider unisex toilet for customers One person at a time to use the facilities. To be escorted by member of staff. Customer to: <ul style="list-style-type: none"> Sanitise hands on entry Use viricidal spray to clean seats, handles etc before and after use Wash hands on exit and dry with paper towels provided.	4X2=8 MEDIUM	<i>CLT/</i> <i>Estates & Facilities/</i> <i>BSU</i>		
Staff use of offices	Staff Possible	Reduced staffing within the building.	4X2=8	If staffing were to increase, consideration be given to using alternative vacant offices to ensure	4X2=8	<i>CLT/All staff</i>		

What are the hazards?	Who might be harmed and how?	What are you already doing? (Existing controls)	Calculate Risk Factor (RF) Likelihood x Severity = RF Is it Low / Medium / High risk?	Do you need to do anything else to manage this risk? (Aim for lowest RF possible). (Additional controls)	(Optional) Re-calculate RF L X S = RF What risk is it now?	Action by whom?	Action by when?	Completed date
	exposure to COVID19	<p>Rota staff to reduce congestion</p> <p>Social distancing when interacting with colleagues</p> <p>Desks to be preferably 3 metres apart, but a minimum of 2 metres</p> <p>Staff to use only own allocated equipment e.g:</p> <ul style="list-style-type: none"> • Phone • Desk • Chair • <p>Hot desking where different staff use the same desk at different times to be discouraged and where unavoidable (such as on Reception) desk surface to be cleaned with viricidal spray before and after use</p> <p>Ensure office doors remain open</p>	MEDIUM	existing procedures can be followed.	MEDIUM			

KEY

LIKELIHOOD(L)	SEVERITY (S)	RISK (L X S)
5 Almost Inevitable	5 Potential for multiple people to be exposed to Covid19.	1-4 LOW - no action required
4 Very Likely	4 Potential for more than 1 person to be exposed to Covid19.	
3 Likely	3 Potential for a single person to be exposed to Covid19.	5-8 MEDIUM - justify/review for each item
2 Possible but unlikely	2 Little potential for exposure to Covid 19	
1 Negligible	1 No potential for exposure to Covid 19	9-25 HIGH - immediate action/further controls needed