

Public Document Pack

Mid Devon District Council

Cabinet

Thursday, 10 March 2016 at 2.15 pm
Phoenix House

Next ordinary meeting
Thursday, 7 April 2016 at 2.15 pm

Those attending are advised that this meeting will be recorded

Membership

| | |
|-----------------------|---|
| Cllr C J Eginton | Leader |
| Cllr R J Chesterton | Deputy Leader and Planning and Economic Regeneration |
| Cllr N V Davey | Environment |
| Cllr P H D Hare-Scott | Finance |
| Cllr C R Slade | Community Well Being |
| Cllr Mrs M E Squires | Working Environment and Support Services |
| Cllr R L Stanley | Housing |

A G E N D A

Members are reminded of the need to make declarations of interest prior to any discussion which may take place

- 1. Apologies**
To receive any apologies for absence.
- 2. Public Question Time**
To receive any questions relating to items on the Agenda from members of the public and replies thereto.
- 3. Minutes of the Previous Meeting (Pages 5 - 18)**
To receive the minutes of the meeting of 11 February 2016.
- 4. Pay Policy (Pages 19 - 34)**
To receive a report of the Head of HR and Development complying with the legislative requirements of the Localism Act 2011 relating to senior pay, in particular the role of the Chief Executive and senior staff. The Localism Act 2011 requires an annually published Pay Policy which has been adopted by full Council.
- 5. Partnership Working in Building Control with North Devon (Pages 35 - 72)**

To receive a report of the Head of Planning and Regeneration informing Members of the business case for delivering the Building Control Service through a Partnership between Mid Devon and North Devon councils for the purpose of gaining approval to prepare for a formal Partnership Agreement.

6. **Data Protection Policy** (Pages 73 - 84)
Report of the Head of BIS requesting that the revised policy be noted.
7. **Asset Management and Capital Strategy Plan (Corporate)** (Pages 85 - 136)
To receive a report of the Head of Housing and Property Services regarding the revised Asset Management and Capital Strategy Plan for 2016 - 2020
8. **Treasury Management Strategy and Annual Investment Strategy** (Pages 137 - 156)
Report of the Head of Finance outlining the proposed strategy for 2016/17.
9. **Performance and Risk for the Third Quarter of 2015-16** (Pages 157 - 182)
To receive a report of the Head of Communities and Governance providing Members with an update on performance against the Corporate Plan and local service targets for 2015/16 as well as providing an update on the key business risks.
10. **Notification of Key Decisions** (Pages 183 - 192)
To note the rolling plan containing key issues.
11. **Access to Information Act - Exclusion of Press and Public**
During discussion of the following item it may be necessary to pass the following resolution to exclude the press and public having reflected on Article 12 12.02(d) (a presumption in favour of openness) of the Constitution. This decision may be required because consideration of this matter in public may disclose information falling within one of the descriptions of exempt information in Schedule 12A to the Local Government Act 1972. The Cabinet will need to decide whether, in all the circumstances of the case, the public interest in maintaining the exemption, outweighs the public interest in disclosing the information.

To consider passing the following resolution so that financial information may be discussed.

Recommended that under Section 100A(4) of the Local Government Act 1972 the public be excluded from the next item of business on the grounds that it involves the likely disclosure of exempt information as defined in paragraph 3 respectively of Part 1 of Schedule 12A of the Act, namely information relating to the financial or business affairs of any particular person (including the authority holding that information)

12. **Wessex Partnership** (*Pages 193 - 208*)

Arising from a report of the Head of H R and Development, the Decent and Affordable Homes Policy Development Group had recommended that that the Council serves notice to withdraw from the Devon Wessex Home Improvement Loans scheme and does so no later than 31 March 2016.

Stephen Walford

Chief Executive

Wednesday, 2 March 2016

Anyone wishing to film part or all of the proceedings may do so unless the press and public are excluded for that part of the meeting or there is good reason not to do so, as directed by the Chairman. Any filming must be done as unobtrusively as possible from a single fixed position without the use of any additional lighting; focusing only on those actively participating in the meeting and having regard also to the wishes of any member of the public present who may not wish to be filmed. As a matter of courtesy, anyone wishing to film proceedings is asked to advise the Chairman or the Member Services Officer in attendance so that all those present may be made aware that is happening.

Members of the public may also use other forms of social media to report on proceedings at this meeting.

Members of the public are welcome to attend the meeting and listen to discussion. Lift access the first floor of the building is available from the main ground floor entrance. Toilet facilities, with wheelchair access, are also available. There is time set aside at the beginning of the meeting to allow the public to ask questions.

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If you would like a copy of the Agenda in another format (for example in large print) please contact Sally Gabriel on:

Tel: 01884 234229

E-Mail: sgabriel@middevon.gov.uk

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MID DEVON DISTRICT COUNCIL

MINUTES of a **MEETING** of the **CABINET** held on 11 February 2016 at 2.15 pm

Present

Councillors C J Eginton (Leader)
R J Chesterton, N V Davey, P H D Hare-
Scott, C R Slade and R L Stanley

Apologies

Councillor(s) Mrs M E Squires

Also Present

Councillor(s) Mrs F J Colthorpe, R M Deed, R Evans, F J Rosamond
and Mrs E J Slade

Also Present

Officer(s): Jill May (Interim Chief Executive and Head of HR and
Development), Andrew Cawdron (Finance Manager),
Jenny Clifford (Head of Planning and Regeneration),
Gordon Cleaver (Economic Development Manager) and
Sally Gabriel (Member Services Manager)

133. **APOLOGIES**

Apologies were received from Cllr Mrs M E Squires.

134. **PUBLIC QUESTION TIME**

Mrs Ferguson referring to Item 3 on the agenda (Minutes of Previous Meeting) stated that the minutes show that the county and district councils have worked together on details of road provision for an urban extension to Cullompton, and the Cabinet discussed road widths and existing traffic complaints. Why, then, have the county and district councils not worked together to provide any details of roads and access points needed for a quarry and processing plant at Penslade?

The minutes of the Cabinet meeting of 22nd October 2015 state that Devon County Council commissioned work to acquire additional technical evidence related to access arrangements to the proposed East Cullompton Urban Extension and that Mid Devon District Council's contribution would be approximately £100,00. Yet there is no information on access arrangements for a quarry and plant at Penslade. Why does a local plan for urban development need more technical evidence on roads in order to be legally sound but a local plan for minerals does not require any?

The Cabinet Member for Planning and Regeneration in response stated that Mrs Ferguson had raised concerns as she considered it is inconsistent that the District Council liaise so proactively with Devon County Council's Highway department on a number of planning proposals but have not done so with regard to minerals proposals at Penslade Quarry.

The fundamental difference between the Penslade Quarry proposal and the examples cited in Mrs Ferguson's question were that these examples related to the District Council's role as local planning authority. Whereas Devon County Council was the planning authority with respect to Minerals applications as well as acting as the Local Highways Authority with responsibility for roads. Therefore, the District Council's jurisdiction did not cover minerals applications or plans. Indeed, the District Council was a consultee only on the County's Minerals' Plan in a similar way to Parish Councils.

Mrs Ferguson had also raised specific concerns regarding the 'tests of soundness' which applied to the Local Plan and whether those also apply to the County's Minerals' Plan. Both plans were required to meet the tests of soundness as set out in the National Planning Policy Framework. The County Council will need to demonstrate the soundness of the Minerals' Plan to the satisfaction of an Independent Inspector. We were aware that Mrs Ferguson took the opportunity to make representation to Devon County with regard to their Minerals' Plan. Mrs Ferguson was aware that Mid Devon District Council also submitted representations to the County Council, which included transport related comments.

The key differences in the approach that we have to take in compiling our Local Plan were that we have to consult with Devon County as a Highway Authority. When Devon County Council compiled their Minerals Local Plan they worked with their own Highways Department to assess any issues.

We do have sympathy with Mrs Ferguson's concerns and we would recommend that she continued to direct her comments to Devon County Council who have responsibility for both Minerals Planning and Highways.

In addition with regard to the Local Plan, the highway network did involve the M5 and therefore we have to liaise with Highway England along with other statutory bodies.

Mr Marshall referring to Item 10 (Tourism Action Plan) on the agenda asked the following questions:

1. Nowhere within the text of Item 10 can I see any reference to the Mid Devon Tourism Study, would Members be aware of any obvious or other reason for the lack of information.
2. I would be interest to know as to whether any Cabinet Members have read the extremely comprehensive and independent 41 page Mid Devon Tourism Study commissioned by this Council?
3. The following question assumes that at least one Cabinet Member has read the Study – therefore in light of the information within the final Mid Devon Tourism Study, would Members consider it good value and good use of public money to carry out further market research into what is lacking in this Council's Tourism Strategy, when information from the last 20-30 years clearly indicates the reasons as to why Mid Devon is consistently the poor relation of tourism within the whole of Devon.

The Cabinet Member for Planning and Economic Regenerations stated that he would provide answers to the questions when the item was discussed however with regard

to question 2, he confirmed that he had read the G L Hearn document, which had formed part of a planning study within the auspices of the Local Plan.

135. **MINUTES OF THE PREVIOUS MEETING (00-11-11)**

The minutes of the previous meeting held on 14 January 2016 were approved as a true record and signed by the Chairman.

136. **MEETING MANAGEMENT**

The Chairman indicated that he would take Item 11 (Leisure Pricing) on the agenda as the next item of business.

137. **LEISURE PRICING (00-11-30)**

Arising from a report from the Interim Chief Executive and Head of HR and Development, the Community Well-Being Policy Development Group had recommended that the Leisure Pricing report be approved subject to the following:

- a) All basic fees, lets and charges be increased by 5% from 1 April 2016;
- b) That discounts for 60+ Zest membership be set at:
 - a. 30% for 2016/17
 - b. 20% for 2017/18
 - c. 10% for 2018/19
 - d. And from 2019/20 be as per the appropriate Zest membership fee;
- c) That concessionary Junior Zest memberships be discounted by 10% from the appropriate junior monthly Zest membership fee;
- d) That a full review of rents, lets and charges be undertaken with a view to further simplifying the tariff structure;
- e) That within six months a full review of Leisure Services income and resources be undertaken to ensure a positive long-term financial result for the service.

The Cabinet Member for Community Well-Being outlined the contents of the report stating that the Policy Development Group had discussed the matter fully and had acknowledged that the pricing scheme needed to be simplified. A variety of different membership tariffs had been introduced over a period of time, to increase sales and generate cash income. However the service could no longer afford to do this. A review of the current pricing literature and information had been undertaken which revealed a complicated structure.

Consideration was given to:

- A review of the whole structure of leisure looking at income and expenditure and that this take place within a period of 6 months and that a further report be presented to the Community Well Being Policy Development Group in September 2016.

- Cllr Deed's request that the wording of the recommendation from the Policy Development be corrected.

It was therefore

RESOLVED that

- a) All basic fees, lets, rents and charges be increased by 5% from 1 April 2016;
- b) That discounts for 60+ Zest membership be set at:
 - a. 30% for 2016/17
 - b. 20% for 2017/18
 - c. 10% for 2018/19
 - d. And from 2019/20 be as per the appropriate Zest membership fee;
- c) That concessionary Junior Zest memberships be discounted by 10% from the appropriate junior monthly Zest membership fee;
- d) That within a period of 6 months and by 27 September 2016, a full review of all fees, rents, lets and charges be undertaken with a view to further simplifying the tariff structure;
- e) That within six months a full review of Leisure Services income and expenditure resources be undertaken to ensure a positive financial result for the service in the financial year ending 31 March 2020

(Proposed by the Chairman and seconded by Cllr C R Slade)

Note: - *Report previously circulated, copy attached to minutes.

138. **CLINICAL WASTE**

Arising from a *report from the Head of Finance, the Managing the Environment Policy Development Group had recommended that:

- a) A separate clinical waste collection be offered only for hazardous or infectious clinical waste. This meant that offensive waste, such as sanitary protection products, would be collected and disposed of via ordinary residual waste collections;
- b) Additional waste capacity be provided to households generating offensive waste. This would mean providing a black wheeled bin, for the period that offensive waste was being generated. The normal bin supply charge will be waived;
- c) Mid Devon District Council work with healthcare providers to ensure they remove clinical waste that they generated in clients' homes, or that they pay the Council to collect this waste.

The Cabinet Member for the Environment stated that there was a need to rationalise the clinical waste scheme and make it more cost effective.

RESOLVED that the recommendations of the Policy Development Group be approved

(Proposed by Cllr N V Davey and seconded by Cllr C R Slade)

Note: Report previously copy attached to minutes.

139. **HOUSING STRATEGY (00-33-25)**

Arising from a *report from the Head of Housing and Property Services, the Decent and Affordable Homes Policy Development Group had recommended that the revised housing strategy be approved once the changes as set out in the report had been implemented.

The Cabinet Member for Housing outlined the report and the consultation process that had taken place identifying the feedback received.

Consideration was given to Community Land Trusts and the potential for more affordable housing to take place

RESOLVED that the recommendation of the Policy Development Group be approved.

(Proposed by Cllr R L Stanley and seconded by Cllr P H D Hare-Scott)

Note: - *Report previously circulated copy attached to minutes.

140. **TENANCY AGREEMENT (00-36-41)**

Arising from a *report from the Head of Housing and Property Services, the Decent and Affordable Homes Policy Development Group had recommended that the consultation take place with Council tenants in accordance with sections 102 and 103 of the Housing Act 1985 on the proposed changes to the draft Tenancy Agreement.

The Cabinet Member for Housing outlined the report highlighting the proposed changes within the report.

Consideration was given to the possible move away from charging rent over 48 weeks each year to charging rent over 52/53 weeks and the impact that would have on tenants.

RESOLVED that the recommendation of the Policy Development Group be approved.

(Proposed by Cllr R L Stanley and seconded by Cllr N V Davey)

Note: - *Report previously circulated copy attached to minutes.

141. **CAR PARK MANAGEMENT POLICY (00-39-01)**

Arising from a *report from the Head of Housing and Property Services, the Decent and Affordable Homes Policy Development Group had recommended that the revised Car Park Management Policy be approved.

The Cabinet Member for Housing outlined the report highlighting the proposed policy changes.

RESOLVED that the recommendation of the Policy Development Group be approved.

(Proposed by Cllr R L Stanley and seconded by Cllr P H D Hare-Scott)

Note: - *Report previously circulated copy attached to minutes.

142. **RECHARGE POLICY (00-39-48)**

Arising from a *report from the Head of Housing and Property Services, the Decent and Affordable Homes Policy Development Group had recommended that the revised Recharge Policy be approved

The Cabinet Member for Housing outlined the report highlighting the proposed changes specifically the tenants responsibility to leave properties in a decent condition.

Discussion took place regarding whether outgoing tenants were pursued financially for any damage to properties.

RESOLVED that the recommendation of the Policy Development Group be approved.

(Proposed by Cllr R L Stanley and seconded by Cllr R J Chesterton)

Note: - *Report previously circulated copy attached to signed minutes.

143. **GARAGE MANAGEMENT POLICY (00-42-39)**

Arising from a *report from the Head of Housing and Property Services, the Decent and Affordable Homes Policy Development Group had recommended that the revised Garage Management Policy be approved .

The Cabinet Member for Housing outlined the contents of the report stating that the review reflected changes in good practice and allowed for any legislative changes to be updated accordingly.

RESOLVED that the recommendation of the Policy Development Group be approved.

(Proposed by Cllr R L Stanley and seconded by Cllr C R Slade)

Note: - *Report previously circulated, copy attached to minutes.

144. **TOURISM ACTION PLAN (00-44-08)**

Arising from a report from the Head of Communities and Governance, the Community Well-Being Policy Development Group had recommended that the Tourism Action Plan for 2016/17 be approved.

The Cabinet Member for Planning and Economic Regeneration outlined the contents of the report explaining the work programme that was proposed and that tourism had been specifically highlighted within the proposed Corporate Plan.

With regard to Mr Marshall's question, some of the work towards a tourism strategy had already taken place within the GL Hearn document, the Heart of Devon Partnership would work together with Mid Devon Attractions Group but further market research would be required.

The Economic Development Manager stated that the Corporate Plan highlighted tourism underneath the economic objective, further research was required to identify our visitors and who we wanted to attract to area; working with local stakeholders was an important part of this work.

Discussion took place regarding:

- Ongoing projects taking place in the local towns
- The need to improve pavements and tidiness in the towns
- The need for tourist projects to reach rural areas
- Projects that had been run in the Blackdown Hills to attract tourists
- The need to encourage volunteers and work with local people who had individual ideas for specific projects
- Whether further research was necessary

RESOLVED that the item be deferred until the next meeting to allow further work to take place with a view to including more rural based actions within the action plan.

(Proposed by Cllr R J Chesterton and seconded by Cllr R L Stanley)

Note: - *Report previously circulated, copy attached to minutes.

145. **COMMUNITY WELL-BEING - BUDGET RECOMMENDATIONS (1-15-14)**

Arising from a report of the Head of Finance, the Community Well-Being Policy Development Group made the following recommendation that subject to the £500 Member Locality budget being removed, the draft budget be approved.

The recommendation was **NOTED** and would be discussed further during the main budget item.

146. **SCRUTINY COMMITTEE - BUDGET RECOMMENDATIONS (1-16-00)**

The Scrutiny Committee considered the budget proposals at its meeting on 25 January 2016 and made the following recommendations:

a) If the New Homes Bonus was used to balance the budget for 2016/17, that this happen for one year only, and that continued income generation be sought to balance future budgets.

b) That the proposed £21K Locality Budget be invested in schemes to generate long term income for the authority and that the suggested £500 not be issued to individual Members.

c) That this Council investigate whether there was a need to have the current number of Councillors or whether this number could be reduced.

d) That this Council investigate the Committee structure as a whole, with regard to adding an additional Policy Development Group, to ensure that Committees best served the Authority with regard to the Corporate Plan.

The Chairman indicated that recommendations a) and b) would be considered under Item 18 (Budget) on the agenda. With regard to c) the Returning Officer and the Electoral Services Manager be requested to present a report to a future meeting of the Cabinet. Item d) would be considered under Item 16 (Corporate Plan).

147. CULLOMPTON ARTICLE 4 DIRECTION REVIEW (1-16-20)

The Cabinet had before it a *report of the Head of Planning and Regeneration seeking approval for the confirmation of an Article 4(1) Direction with immediate effect for 6 categories of permitted development. To seek approval for confirmation of the Article 4(1) Direction covering the additional category of permitted development namely the installation of solar and photovoltaic panels.

The Cabinet Member for Planning and Economic Regeneration outlined the contents of the report stating that in 2009 as part of the Cullompton Conservation Area Management Plan, an Article 4(2) Direction was introduced covering dwellinghouses in the whole conservation area and removed the several categories off permitted development.

On 8 May 2014 Cabinet received a report on issues arising from the application of the Article 4(2) Direction. It was decided to commission a review of the Article 4(2) Direction by private consultants.

The consultant's report recommended a more targeted approach. This was used as the basis for proposed amendments to the Article 4(2) Direction. In addition the consultant recommended that the installation of solar and photovoltaic panels should be controlled as their impact was comparable with that of rooflights on front roof slopes.

Shortly after this (April 2015) the Planning (General Permitted Development) Order was amended. Article 4(2) Directions were revamped and became either Article 4(1) Direction with immediate effect or Article 4(1) Direction without immediate effect. The consultation process regarding solar and photovoltaic panels had taken place.

Consideration was given to sky dishes within the Conservation Area.

RECOMMENDED that:

- a) Confirmation of the making of an 4(1) Direction with immediate effect in respect of the following categories of permitted development:
- To control insertion of roof lights, to front roof slopes for almost the whole conservation area. (Map 1)
 - To protect chimneys from demolition on individual properties throughout the conservation area.(Map 2)
 - To control the addition of porches to 5 terraces of houses (Map 3).
 - To control the demolition of boundary walls within discrete areas (Map 4).
 - To control the replacement of doors in discrete areas (Map 5)
 - To control the replacement of windows in discrete areas (Map 6)
- b) Confirmation of the Article 4(1) Direction in respect of installation of solar and photovoltaic panels to front roof slopes to come into force on 25th February 2016.(Map 7).

(Proposed by Cllr R J Chesterton and seconded by Cllr R L Stanley)

Note: *Report previously circulated, copy attached to minutes.

148. NATIONAL NON DOMESTIC RATES (1-22-28)

The Cabinet had before it a *report of the Head of Finance providing Members with an update the income generation and financial implications of the number of Business Rate properties in Mid Devon and requesting it to approve the NNDR1 (estimated income to be generated in 2016/17 from business rates).

The Cabinet Member for Finance outlined the contents of the report explaining the difference between the old and new schemes and the need for the billing authority to forecast the amount of revenue it would generate from business rates.

RESOLVED that:

- a) The calculation of the NNDR1 net yield is noted and approved for 2016/17;

- b) The proportions distributed to the respective authorities and central government be allocated as per the statutory regulations; and
- c) Members note and approve that central government will reimburse the Council through a Section 31 grant to compensate it for the reduction in collectable business rates as a result of introducing reliefs.

(Proposed by Cllr P H D Hare-Scott and seconded by Cllr N V Davey)

Note: *Report previously circulated, copy attached to minutes.

149. **CORPORATE PLAN (1-23-32)**

The Cabinet had before it a * report of the Head of Communities and Governance presenting Members with the Corporate Plan for 2016-2020.

The Leader outlined the contents of the report highlighting the four proposed priorities and the underlying objectives of the plan. He added that because of concerns raised by the Scrutiny Committee and the Policy Development Groups he proposed that the locality budget be dropped from the “Community” priority and not be progressed at the current time. Considering the view of the Scrutiny Committee with regard to an additional Policy Development Group, he felt that a fourth Policy Development Group leading on the economy would link all the Policy Development Groups to the strategic Corporate Plan.

Consideration was given to the “Away Days” that had taken place to discuss the Corporate Plan and that it had been evident that the economy although identified as a clear priority, was not the centre of discussion. It was felt that a formal Policy Development Group dealing with economic development across the district would highlight the work that needed to take place. Consideration of the proposals before the Standards Committee were also recognised.

| **RECOMMENDED** that the Corporate Plan for 2016-2020 be approved.

Informative Note: That the Cabinet support the idea of a 4th Policy Development Group looking at Priority 1 (Economy) within the Corporate Plan, so that each priority had dedicated member involvement for improvement.

(Proposed by the Chairman)

Note: *Report previously circulated, copy attached to minutes.

150. **FINANCIAL MONITORING**

The Cabinet had before it and **NOTED** a *report of the Head of Finance presenting financial monitoring information for the income and expenditure of the 2015/16 financial year.

The Cabinet Member for Finance outlined the contents of the report highlighting the projected deficit of £372k and outlining the most significant service movements within the last month.

Consideration was given to slippage in the Capital Programme and it was requested that the programme be split between the General Fund and the HRA for accountancy purposes. It was suggested that in the next financial year, the programme be split further between projects that the authority had direct control over and those which it did not.

Note: *Report previously circulated, copy attached to minutes.

151. **BUDGET (1-36-13)**

The Cabinet had before it a * report of the Head of Finance outlining options available in order for the Council to move towards a balanced budget for 2016/17.

The Cabinet Member for Finance outlined the contents of the report explaining that the final grant settlement had now been received (9 February) and that the authority would now receive £349k more in Rural Services Delivery Grant and £32k in Transition Grant for 2016/17. In addition the DCLG had slightly revised the Referendum Limit to allow all District Councils to increase their share of the Council Tax by no more than 2% or up to a cash maximum of £5. This would effectively allow the authority to increase its band D level of Council Tax from £182.15 (which had been frozen since 2010/11) to £187.15, which would equate to an increase of 2.74% and generate additional Council Tax revenue of circa £34.4k. Therefore a reduced amount of the New Homes Bonus would be required to balance the budget.

Consideration was given:

- to the 1% reduction in housing rent that the Government had introduced and the impact of that on how the authority maintained its housing stock
- the need to keep reserves at a decent level
- the fact that Council Tax had been frozen for several years.

RECOMMENDED that:

- a) Council Tax be increased by 2.74% to £187.15 (in accordance with the revised referendum limit ability of £5.00) and,
- b) General Fund budget for 2016/17 be approved.
- c) The 2016/17 budget requires no transfer from the General Fund Balance.
- d) The General Fund Budget required a temporary transfer of £326k from New Homes Bonus reserve after the changes announced in the Grant Settlement on 9 February 2016.
- e) HRA budget for 2016/17 be approved – Appendix 3.
- f) HRA fees/charges are approved based on the attached schedule shown as Appendix 4.

- g) Work on strategic planning for delivering balanced budgets in the future be commenced with the new draft Corporate Plan.

(Proposed by Cllr P H D Hare-Scott and seconded by Cllr N V Davey)

Note: *Report previously circulated, copy attached to minutes.

152. **CAPITAL PROGRAMME (1-45-30)**

The Cabinet had before it a * report of the Head of Finance seeking Council approval for the 2016/17 Capital Programme and that the estimated amounts for 2017/18, 2018/19 and 2019/20 be noted.

The Cabinet Member for Finance outlined the contents of the report stating that he was concerned about the slippage and hoped that the projects that could be controlled would be brought forward as soon as was possible.

RECOMMENDED that:

- a) The detailed Capital Programme for 2016/17 be approved and the estimated amounts for 2017/18, 2018/19 & 2019/20 be noted.
- b) To agree to earmark New Homes Bonus (NHB) monies of £1,091k to support the 2016/17 Capital Programme (see para 2.3).

(Proposed by Cllr P H D Hare-Scott and seconded by Cllr N V Davey)

Note: *Report previously circulated, copy attached to minutes.

153. **ESTABLISHMENT (1-46-48)**

The Cabinet had before it a *report of the Interim Chief Executive and Head of HR and Development outlining the overall structure of the Council showing the management and deployment of officers.

The Interim Chief Executive and Head of HR and Development outlined in the contents of the report.

Consideration was given to the use of agency staff.

RECOMMENDED that the Establishment be approved.

(Proposed by the Chairman)

Note: *Report previously circulated, copy attached to minutes.

154. **POLICY FRAMEWORK (1-48-33)**

The Cabinet had before it a report of the Interim Chief Executive requesting it to endorse the Policy Framework for the year.

The Cabinet considered the policies and the review dates.

RECOMMENDED that the Policy Framework be adopted subject to: the Planning Policy Documents being moved from the Planning Committee within the framework to the Cabinet having been considered by the Planning Policy Advisory Group

(Proposed by the Chairman)

Note: *Report previously circulated; copy attached to the Minutes.

155. **NOTIFICATION OF KEY DECISIONS (1-50-32)**

The Cabinet had before it, and **NOTED**, its rolling plan * for February 2016 containing future key decisions.

Note: * Plan previously circulated; copy attached to the signed Minutes

(The meeting ended at 4.07 pm)

CHAIRMAN

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CABINET
10 MARCH 2016

PAY POLICY REPORT

Cabinet Member Cllr Clive Eginton
Responsible Officer Jill May - Head of HR and Development

Reason for Report: To comply with the legislative requirements of the Localism Act 2011 relating to senior pay, in particular the role of the Chief Executive and senior staff. The Localism Act 2011 requires an annually published Pay Policy which has been adopted by full Council.

RECOMMENDATION(S): That the Council agree to adopt the Pay Policy 2016.

Relationship to Corporate Plan: To have a robust Pay Policy which ensures good use of public money in respect of the salaries of the most senior employees of the Council that is both transparent and visible. To ensure the Council is able to recruit and retain staff of a sufficiently high calibre who are able to deliver the objectives of the Corporate Plan.

Financial Implications: None arising from this report which aims to ensure that the Council pays enough to recruit and retain senior staff, but avoids excessive pay levels.

Legal Implications: None directly arising from this report.

Risk Assessment: The risk to the Council of not complying with the legislative requirement is mitigated by this report and having a robust performance management system.

1.0 Introduction

1.1 Local Authorities must publish a pay policy statement for each financial year. A relevant authority's pay policy statement must be approved by resolution of that authority before it comes into force.

2.0 Current Performance Management Arrangements

2.1 At the present time, the Chief Executive is appraised on an annual basis by the group of members set out as the Appointments Panel in the Constitution. The Leader consults Cabinet colleagues and the other two main party leaders on the objectives to be set and these are agreed with the Chief Executive.

2.2 Cabinet and Management Team meet on a monthly basis to monitor progress in each service area. Cabinet members can raise issues with the Chief Executive on performance in any area of the Council.

Contact for more Information: Jill May, Head of HR and Development – 01884 234381 / jmay@midddevon.gov.uk

Circulation of the Report: Clive Eginton, Management Team, Cabinet, All Members of the Council

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Human Resources Policy

Version Control Sheet

Title: Pay Policy 2016

Reference No: HR/

Purpose: The Localism Bill requires that all local authorities publish a Pay Policy on an annual basis. The Policy should be agreed by a meeting of Council and be published on the Council's website.

The purpose of having a Pay Policy is so that the pay and related rewards structure of the Council is transparent.

Owner: Head of Human Resources & Development

Jmay@middevon.gov.uk

01884 234381

Date: March 2016

Version Number: 4

Status: Final

Review Frequency: Every year

Next review date: January 2017 to be published by March/April 2017

Pay Policy

1. INTRODUCTION

Local authorities must publish a pay policy statement for each financial year. This must be approved by a Council resolution before 31 March each year. The Act specifies a number of elements that must be covered by the statement including: the level and elements of remuneration for each chief officer, remuneration of chief officers on recruitment, increases and additions to remuneration for each chief officer, the use of performance-related pay for chief officers, the use of bonuses for chief officers, the approach to the payment of chief officers on their ceasing to hold office under or to be employed by the authority, and the publication of and access to information relating to remuneration of chief officers.

The specific part of the Localism Act 2011 relating to a pay policy is Section 38 (1). Pay is an emotive issue for staff, Councillors and also for the public at large. Transparency in what and how we pay our senior staff particularly, but also all council employees is of paramount importance.

A pay policy statement will be updated and taken to full Council each year in March in this way a clear view of the salaries and benefits paid to the most senior staff at the Council can be tracked.

2. REFERENCES

Equal Pay Act
Equality Act 2010
Localism Act 2011

3. SCOPE

This policy applies to:-

- Chief Executive Officer including Head of Paid Service responsibilities
- Heads of Service including Monitoring Officer responsibilities and Section 151 Officer responsibilities

4. POLICY

Clarity in the provision of pay and other benefits is essential to ensure that the Council can attract and retain good calibre employees at all levels but particularly so at the most senior level.

In the context of managing scarce public resources, remuneration at all levels within the Council needs to be adequate to secure and retain high-quality employees dedicated to the service of the public, but at the same time needs to avoid being unnecessarily generous or otherwise excessive.

This pay policy statement applies specifically to chief officers (a term which includes both statutory and non-statutory chief officers which for the purposes of this policy are the Heads of Service) and addresses the legal requirement to set out how the policy for agreement of chief officer remuneration differs to that of other Council employees. For the purposes of this statement this includes:

- **Chief Executive Officer (Head of Paid Service)**
- **Head of Financial Services Section 151**
- **Head of Customer Services**
- **Head of Housing and Property Services**
- **Head of Planning and Regeneration**
- **Head of Communities and Governance**
- **Head of Business Information Systems**
- **Head of Human Resources and Development**

The definition of chief officers (as set out in section 43(2) of the Localism Act 2011) is not limited to Heads of Paid Service or statutory chief officers. It also includes those who are their direct reports (who may or might not be statutory chief officers).

The metric used for pay dispersion is the multiple of chief executive to mean earnings. Tracking this multiple will ensure public service organisations are accountable for the relationship between the pay of their executives and the wider workforce. Through this pay policy statement Mid Devon will track this multiple annually. **(This is shown as Officer Remuneration shown in accounts)** (please see Appendix A):

- the level and elements of remuneration for each chief officer
- the remuneration of the lowest paid employees
- the relationship between the remuneration of its chief officers and other officers
- other specific aspects of chief officer remuneration.

In respect of Officer Remuneration Note in accounts: It should be noted that this information will relate to the previous year as shown in the annual accounts.

- Salary, fees and allowances
- Bonuses
- Expenses allowance
- Compensation for loss of employment
- Employers pension contribution
- Any other emoluments

Pay multiple

this is calculated by comparing all taxable earnings for the given year (including base salary, variable pay, bonuses, allowances and the cash value of benefits in kind) for the Chief Executive compared to mean earnings and the lowest paid in the organisation.

Specific Policy Areas

The National Joint Negotiating Committee has previously emphasised that ‘it is good governance that local authorities can demonstrate that decisions on pay and reward packages for chief executives and chief officers have been made in an open and accountable way.’

Currently the remuneration package payable to the Chief Executive is derived from the National Joint Council guidance. The Chief Executive remuneration is paid on a scale relating to the population of Mid Devon.

The remuneration package payable to the Heads of Service is negotiated through the Joint National Council and more specifically each Head of Service role is subject to job evaluation. The job evaluation that the Council uses is the Green Book Scheme. However unlike the remainder of the Council’s employees for whom the process is entirely self contained within the Council all job evaluation request/reviews for the Heads of Service are addressed externally via South West Councils. South West Councils are expert in the field of job evaluation and in particular the Green Book Scheme and also give a transparency and impartiality to the process.

The Leader of the Council may recommend to Full Council changes to the remuneration package following an annual review. Any changes to the remuneration packages will be subject to Full Council approval.

Salary increases in relation to cost of living will be made in line with National Joint Council recommendations.

The use of market supplements may be applied in certain circumstances but at present are not considered necessary for any senior role.

At present, there are no additional payments made to senior officers which specifically relate to performance such as performance bonuses; neither is there an element of pay which can be enhanced for performance. Performance issues will be dealt with through the achievement of agreed objectives and appraisal review process.

Any termination payments to chief officers on ceasing office will comply with Mid Devon District Council's Redundancy Policy and no additional payments will be made without the express approval by Full Council.

Through this policy the pay multiple of the Chief Executive will be monitored annually. Should the multiplier between the annual salary paid to a full time employee on the lowest spinal column point and the annual salary paid to the Chief Executive be greater than 10, this will be reported by the Leader of the Council to Full Council for consideration.

Our support for apprenticeships, which may be considered a temporary employment, will not be used to skew the pay multiple metric and we will therefore be using the same pay level measure as before. In order to ensure complete transparency however we have also included the salary of apprentices.

There are no arrangements currently in place for tax and national insurance payments to be paid other than through the normal channels, ie through the normal PAYE route for all officers of the Council.

5. PAYMENT OF RETURNING OFFICER

Additional payments are set and made by Central Government to officers carrying out additional duties at elections. These payments will only be received when elections take place and although fixed, do vary according to the type of election for which the payment is made. These payments are not within the scope of this policy.

6. OTHER ISSUES - RECRUITMENT

It has become apparent in the last few months that recruitment is now becoming an issue for this Council. There have been several occasions where we have had little or no response to advertisements. This is a cause for concern in all areas but currently Planning and ICT are experiencing the most difficulties.

7. OUTCOMES

In introducing this policy Mid Devon District Council will ensure that the process for setting pay at a senior level is transparent. This policy will be reviewed annually to track the relationship of chief officer pay with the rest of the workforce.

8. PERFORMANCE MONITORING

Annual monitoring of this policy will take place in March. Monitoring of the Chief Executive's performance takes place through an annual appraisal process.

9. POLICY/STRATEGY CONSULTATION

This policy will be agreed with the Council's Management Team, Cabinet and Full Council.

10. EQUALITY IMPACT CONSIDERATIONS

The principles of equal pay are integral to this policy. 'Equal work' is defined as:

- Like work where the woman and the man are doing the same job or
- Work rated as equivalent where the 2 jobs are different but have been evaluated by the employer's job evaluation scheme (JES) at the same level/grade or
- Work of equal value where the jobs are again different but an argument is made that both jobs should be regarded as being of equal value or worth.

11. RESPONSIBILITIES

The Head of HR and Development will be responsible for this policy and for updating information on an annual basis.

12. RECORDS

Documents and records generated as a result of the application of this policy will be retained permanently on the individuals personnel file.

Records of any changes will be held electronically will be held permanently on the Council's HR information system.

All records will be maintained and processed in compliance with the Data Protection Act.

13. DOCUMENT HISTORY

| Date | Version | Update |
|------------|---------|------------|
| 17/02/2015 | 4 | Pay Policy |
| | | |

1. The levels and elements of remuneration for each chief and senior officers are:

| Post Title | Remuneration | | Car Allowances | |
|---|-----------------------------------|--|----------------|---------|
| | 2015/16 | 2014/15 | 2015/16 | 2014/15 |
| Chief Executive | X 1 £89,630 to £99,590 | x 1 £87,873 to £97,637 | N/A | N/A |
| Heads of Service: <ul style="list-style-type: none"> • Planning and Regeneration • Environmental Services (left 31/12/14) • Housing and Property Services • HR and Development • Financial Services | Point 17 £60,168 to £63,850 | Point 17 £58,873 to £62,476 From 1 January 2015 – Point 17 £60,168 to £63,850 | N/A | N/A |
| Head of Service: <ul style="list-style-type: none"> • Communities and Governance | Point 17 £60,168 to £63,850 | Point 16 £54,387 to £57,717 From 1 January 2015 Point 16 £55,584 to £58,987 | N/A | N/A |
| Heads of Service: <ul style="list-style-type: none"> • Business Information Services | Point 15 £51,351 to £54,495 | Point 15 £50,246 to £53,322 From 1 January 2015 Point 15 £51,351 to £54,495 | N/A | N/A |

| | | | | |
|--|-----------------------------------|---|-----|-----|
| Heads of Service: • Customer Services | Point 13 £43,489 to £46,512 | Point 13 £42,905 - £45,511 From 1 January 2015 Point 13 £43,849 to £46,512 | N/A | N/A |
|--|-----------------------------------|---|-----|-----|

2. The FT remuneration of the lowest paid employee.

| Post Title | Remuneration | | Other Allowances | |
|----------------|--------------------------------------|--|------------------|---------|
| | 2015/16 | 2014/15 | 2015/16 | 2014/15 |
| Office Cleaner | £13,500 | £12,450 (from 1/1/15 £13,500) | None | None |
| Apprentice | £5,267 (from 1/10/15 £6367) | £5,218 | None | None |

3. The multiplier of the remuneration of the Chief Executive based upon taxable earnings.

| Category | Total Remuneration (including cash value of Company Car and travel allowances) | |
|--|--|------------------------------------|
| | 2015/16 | 2014/15 |
| Pay multiple of Chief Executive to Mean | 5.30 | 5.49 |
| Pay multiple of Chief executive to lowest paid FT employee | 7.37 (based on office cleaner) | 7.23 (based on office cleaner) |
| | 15.64 (based on apprentice rate) | 18.7 (based on apprentice rate) |

| Category | Total Remuneration (including cash value of Company Car and travel allowances) | |
|---|--|------------|
| | 2015/16 | 2014/15 |
| Annual Mean Pay of all employees (Total Salaries/Number of contracts) | £18,812.26 | £17,791.95 |

4. Officer Remuneration Note in Accounts

Publication of Officers Remuneration

We are required to publish the following information in respect of officer remunerations:

- a) The number of employees whose remuneration in the year was greater or equal to £50,000, grouped in rising bands of £5,000.
- b) An analysis by job title of the remuneration and employer's pension contributions in respect of senior employees whose salary is £50,000 or more per year (or by name and job title where the salary is £150,000 per year)

Mid Devon District Council Financial Statements and Notes to the Accounts for the year ended 31 March 2014

5. Officers' Emoluments

This table includes all statutory and non-statutory posts whose overall remuneration exceeds £50k excluding pension contributions and non-taxable allowances.

| Remuneration Band | 2013/14 | | 2014/15 | |
|---------------------|---------------------|------------------|---------------------|------------------|
| | Number of Employees | Left During Year | Number of Employees | Left During Year |
| £50,000 - £54,999 | 1 | 0 | 1 | 0 |
| £55,000 - £59,999 | 1 | 0 | 1 | 0 |
| £60,000 - £64,999 | 4 | 0 | 2 | 0 |
| £65,000 - £69,999 | 1 | 0 | 1 | 0 |
| £95,000 - £99,999 | 1 | 0 | 1 | 0 |
| £115,000 - £119,999 | 0 | 0 | 1 | 1 |
| £135,000 - £139,999 | 0 | 0 | 1 | 1 |

Note - there is one employee not included in the above banding table that has been included in the listing of statutory officers shown below, this was due to the Officer relinquishing their role part way through the year.

In completing the 2013/14 Accounts we have complied with the statutory instrument regarding officer emoluments. The statutory instrument requires the individual naming of any officers with an annual salary of £150,000 or more and the post title of any officers earning £50,000 or more who occupy statutory roles or are responsible for managing the strategic direction of services.

The Council had no officers earning at or in excess of £150,000 in 2013/14.

Statutory officers earning in excess of £50,000

| Post Title | Financial Year | Salary (Including Allowances) | Compensation for Loss of Employment | Expenses | Benefits in Kind | Total Remuneration excluding pension contributions | Pension Contributions | Total Remuneration including pension contributions |
|---|----------------|-------------------------------|-------------------------------------|----------|------------------|--|-----------------------|--|
| Chief Executive | 2014/15 | 97,637 | | | | 97,637 | 18,356 | 115,993 |
| | 2013/14 | 97,637 | | | | 97,637 | 17,868 | 115,505 |
| Head of Business Information Services | 2014/15 | 54,175 | | | | 54,175 | 10,185 | 64,360 |
| | 2013/14 | 53,322 | | | | 53,322 | 9,758 | 63,080 |
| Head of Planning and Regeneration. Note 1 | 2014/15 | 62,819 | 73,471 | | | 136,291 | 11,810 | 148,101 |
| | 2013/14 | 62,476 | | | | 63,476 | 11,433 | 73,909 |
| Head of Financial Services | 2014/15 | 62,819 | | | | 62,819 | 11,810 | 74,630 |
| | 2013/14 | 62,476 | | | | 62,476 | 11,433 | 73,909 |
| Head of HR & Development | 2014/15 | 62,819 | | | | 62,819 | 11,810 | 74,630 |
| | 2013/14 | 61,249 | | | | 61,249 | 11,209 | 72,458 |
| Head of Communities and Governance | 2014/15 | 58,034 | | | | 58,034 | | 58,034 |
| | 2013/14 | 56,586 | | | | 56,586 | | 56,586 |
| Head of Environmental Services. Note 2 | 2014/15 | 46,857 | 71,890 | | | 118,747 | 8,809 | 127,556 |
| | 2013/14 | 61,249 | | | 1,078 | 62,327 | 11,209 | 73,536 |

| | | | | | | | | |
|-------------------------------------|---------|--------|--|--|-------|--------|--------|--------|
| Head of Housing & Property Services | | | | | | | | |
| | 2014/15 | 66,453 | | | | 66,453 | 12,423 | 78,876 |
| | 2013/14 | 64,420 | | | 1,078 | 65,498 | 11,787 | 77,285 |

Note – the amounts included in the above table are shown gross of any related tax that would be levied.

The pension contribution figures have increased from 18.3% to 18.8%, which is the new common contribution rate applicable from 2014/15 onwards.

Note 1. The head of Planning left this Authority on 31 March 2015.

Note 2. The head of Environmental Services left this Authority on 31 December 2014.

Termination benefits

2014/15

| Exit Package Cost Band | Number of Compulsory redundancies | Number of other departures agreed | Total number of exit packages by cost band | Total cost of exit packages in each band |
|------------------------|-----------------------------------|-----------------------------------|--|--|
| | | | | £000 |
| £0 - £19,999 | 1 | 6 | 7 | 38 |
| £20,000 - £39,999 | 1 | | 1 | 29 |
| £40,000 - £59,999 | | | | 0 |
| £60,000 - £79,999 | 2 | | 2 | 145 |
| | | | | 212 |

2013/14

| Exit Package Cost Band | Number of Compulsory redundancies | Number of other departures agreed | Total number of exit packages by cost band | Total cost of exit packages in each band |
|------------------------|-----------------------------------|-----------------------------------|--|--|
| | | | | £000 |
| £0 - £19,999 | 4 | 3 | 7 | 55 |
| £20,000 - £99,999 | 0 | 1 | 1 | 22 |
| | | | | 77 |

Note – these termination benefits have been made more than offset by future salary savings as most of these posts have not been replaced.

CABINET
DATE 10TH MARCH 2016

BUILDING CONTROL PARTNERSHIP BETWEEN MID DEVON DISTRICT COUNCIL AND NORTH DEVON COUNCIL

Cabinet Member: Councillor Richard Chesterton
Responsible Officer: Jenny Clifford, Head of Planning & Regeneration

REASON FOR REPORT: The purpose of this report is to inform Members of the business case for delivering the Building Control Service through a Partnership between Mid Devon and North Devon councils for the purpose of gaining approval to prepare for a formal Partnership Agreement.

RECOMMENDATION TO COUNCIL:

- 1. That Mid Devon District Council and North Devon Councils form a Joint Committee in respect of their Building Control functions to enable joint working to reduce costs and provide resilience.**
- 2. That this matter is brought back to Cabinet, once the draft agreement (along with all other aspects of joint working on building control) with North Devon Council has been finalised, so that decisions can be made on the following in respect of a new Joint Committee:**
 - i) its membership and formation;**
 - ii) the proposed variations to the constitution; and**
 - iii) finalise all other details.**

Relationship to Corporate Plan: The effective operation of the Building Control Service directly links with all four of the emerging corporate priorities of economy, homes, community and the environment. It is principally a service to ensure health and safety standards apply to building work, energy saving provisions are attained and premises are fully accessible for use through the application of the Building Regulations. The service also deals with dangerous structures.

Financial Implications: See below

Legal Implications: See below

Risk Assessment: There is risk associated with all changes to the way we work. The Partnership business case contains a risk analysis that shows that after mitigation the risk profile is low.

1.0 BACKGROUND.

- 1.1 Building Control is a statutory service that operates in a highly competitive commercial environment and as such faces a range of challenges that

threaten the viability of the service. Competitors have become established in the area with 31 different Approved Inspectors operating in the Mid and North Devon area in 2014/15. As the market matures awareness of alternative providers is now wide spread with those procuring Building Control Services making an informed choice between suppliers. It is therefore essential we provide a service that our customer's value at a competitive price that ensures that the business is sustainable.

- 1.2 Significant change is required to both culture and systems. The service needs to be more customer facing and build stronger relationships with its clients. Whilst internally inefficient working practices and duplication of processes must be eliminated through the adoption of a single system of work driven by computer based administration.
- 1.3 Formation of a Partnership provides a mechanism to deliver,
 - Improved business resilience
 - Reduction of costs
 - Updating of systems
 - Shared investment
 - More effective use of skills to the benefit of the partners
 - More effective and reduced cost of training
 - Joint marketing initiatives
 - A suitable structure for future development if wider joint working is pursued

2.0 **FINANCIAL IMPLICATIONS.**

- 2.1 Improvement of the Mid Devon ICT systems for Building Control have largely already been budgeted for as part of a corporate upgrade introducing Version 10 of the Uniform Building Control System together with the Enterprise work flow management system. An investment in systems is required from North Devon Council with the majority of costs relating to the transfer the data from North Devon Council on to the Uniform system and adoption of the workflow management system but these costs would be required in any case to update the systems and the cost of this investment and the risks are reduced by effectively "piggy backing" the implementation in Mid Devon.
- 2.2 The financial impact of the project on completion will be positive for both partners due to predicted reduction in costs for North Devon Council and anticipated improved income compared to costs in Mid Devon District Council. North Devon Council has identified funding to cover the cost of the project as set out within the accompanying business case document.

3.0 **LEGAL IMPLICATIONS**

- 3.1 Pursuant to section 101, 102, 112 and 113 of the Local Government Act 1972 (and regulations made under that Act) together with the general power within

section 1 of the Localism Act 2011 North Devon and Mid Devon District Councils are able to establish and to participate in a joint committee. Such a joint committee being established to facilitate a partnership to jointly deliver certain of their functions with a view to their more economical, efficient and effective discharge.

- 3.2 To create a joint committee for this purpose it will be necessary for both authorities to enter into an agreement recording the agreed functions that will be delegated the joint committee and to establish the constitution of that joint committee

4.0 HUMAN RESOURCES.

- 4.1 Staff will need to be seconded so that they are the direction of the Joint Partnership Committee and there would be issues regarding pay and conditions that will require harmonising. The aim is to create a single team based at both Tiverton and Barnstaple to ensure maximum flexibility.

5.0 GOVERNANCE.

- 5.1 It is proposed that the Partnership adopts the model of a Building Control Partnership Board accountable to a Joint Partnership Committee appointed by the Partner Authorities.

6.0 WORK PROGRAMME.

- 6.1 The preparation and implementation of the project involves a significant work program that incorporates a service improvement plan for Mid Devon that will build on best practice from both Authorities so that when the partnership agreement is signed North Devon Building Control would be able to adopt the systems and procedures in place in Mid Devon and migrate data on to a single administrative database.

- 6.2 The work program will consist of four phases.

1. **Project Initiation** – Leading to consideration of this report
2. **Preparation for Partnership** – Upgrading Mid Devon systems and implementation of a service improvement plan to ensure working practices and systems can be adopted by North Devon
3. **Unification of systems** – Merging of data on to a single database and introduction of a single mode of operation.
4. **Consolidation of business** – Review of the success of the project and development of Business and Marketing Plans

7.0 RESOURCE IMPLICATIONS.

- 7.1 It is expected that the project will be set up and run within existing resources of both councils.

8.0 CONCLUSIONS.

- 8.1 Continuing to operate an independent Building Control Service within the boundaries of an individual Local Authority is unlikely to provide the necessary scale of business to support a sustainable business model for the future. Joint working between Mid Devon District Council and North Devon Council provides the opportunity to share the cost of management needed to drive through change and the cost of investment combined with the opportunity to reduce overheads by merging back office support and systems.
- 8.2 A commitment to joint working with North Devon Council is required to allow officers of both authorities to continue to work together to present a final proposal to Cabinet on how the Joint Committee will operate to allow Cabinet to decide, among other matters, which members will represent Mid Devon District Council on the Joint Committee and to consider what amendments must be made to the Constitution to allow for the delegation of the Council's building control function to the Joint Committee.

Contact for more Information: Mike Tucker, Building Control Manager
mgtucker@middevon.gov.uk

Background papers: The Business Case for Project Initiation – Building Control Partnership

Circulation of the Report: Cllr Richard Chesterton, Members of Cabinet



Business Case for Project Initiation Building Control Partnership Background Report

| | |
|-------------------|--|
| Name of project | Building Control Partnership |
| Service Area | Building Control |
| Programme Manager | Mike Tucker (Building Control Manager) |
| Programme Support | Nina Lake (Senior Project Manager North Devon) |
| Sponsor | Mike Mansell (North Devon) Jenny Clifford (Mid Devon) |

| | | | |
|---------------------|--------------|----------------------|------------|
| Proposed start date | January 2015 | Proposed finish date | March 2017 |
|---------------------|--------------|----------------------|------------|

Change Control Amendment Record

| Date | Version | Status | Sections affected |
|------------|---------|--------------|-----------------------------|
| 12/10/2015 | 1.0 | First Draft | |
| 17/10/2015 | 1.1 | Second Draft | Drafting errors corrected |
| 08/12/2015 | 1.2 | Draft | Cost data updated |
| 31/12/2015 | 2.0 | Publication | Consultee comments included |

1 Executive Summary

This is a high-level business case produced for the purpose of gaining approval for the formation of a partnership between Mid Devon District Council and North Devon Council to facilitate joint working to provide the Building Control Service.

Building Control is a statutory service that operates in a highly competitive commercial environment and as such faces a range of challenges that threaten the viability of the service. Competitors have become established in the area with 31 different Approved Inspectors operating in the Mid and North Devon area in 2014/15. As the market matures awareness of alternative providers is now wide spread with those procuring Building Control Services making an informed choice between suppliers. It is therefore essential we provide a service that our customer's value at a competitive price that ensures that the business is sustainable.

Significant change is required to both in culture and systems. The service needs to be more customer facing and build stronger relationships with its clients. Whilst internally inefficient working practices and duplication of processes must be eliminated through the adoption of a single system of work driven by computer based administration.

Continuing to operate an independent Building Control Service within the boundaries of an individual Local Authority is unlikely to provide the necessary scale of business to support a sustainable business model for the future. Joint working between North Devon Council and Mid Devon District Council provides the opportunity to share the cost of management needed to drive through these changes and the cost of investment combined with the opportunity to reduce overheads by merging back office support and systems.

Formation of a Partnership provides a mechanism to deliver,

- Improved business resilience
- Reduction of costs
- Updating of systems
- Shared investment
- More effective use of skills to the benefit of the partners
- More effective and reduced cost of training
- Joint marketing initiatives
- A suitable structure for future development if wider joint working is pursued

It is proposed that the Partnership adopts the same model proposed for the delivery of joint working in ICT with a Building Control Partnership Board accountable to a Joint Partnership Committee appointed by the Partner Authorities.

Staff would need to be seconded so that they are under the direction of the Joint Partnership Committee and there will be issues regarding pay and conditions that would require harmonising. The aim is to create a single team based at both Tiverton and Barnstaple to ensure maximum flexibility.

The preparation and implementation of the project involves a significant work program that incorporates a service improvement plan for Mid Devon that will build on best practice from both Authorities so that when the partnership agreement is signed North Devon Building Control would be able to adopt the systems and procedures in place in Mid Devon and migrate data on to a single administrative database.

The work program will consist of four phases.

1. **Project Initiation** – Leading to consideration of this report.
2. **Preparation for Partnership** – Upgrading Mid Devon systems and implementation of a service improvement plan to ensure working practices and systems can be adopted by North Devon.
3. **Unification of systems** – Merging of data on to a single database and introduction of a single mode of operation.
4. **Consolidation of business** – Review of the success of the project and development of Business and Marketing Plans.

Improvement of the Mid Devon ICT systems for Building Control have largely already been budgeted for as part of a Corporate upgrade introducing Version 10 of the Uniform Building Control System together with the Enterprise work flow management system. Hence, the vast majority of direct costs relate to transferring the data from North Devon Council on to the Uniform system.

The costs identified for the project are summarised below.

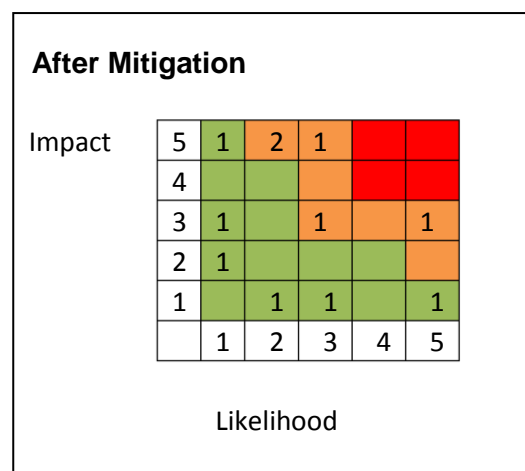
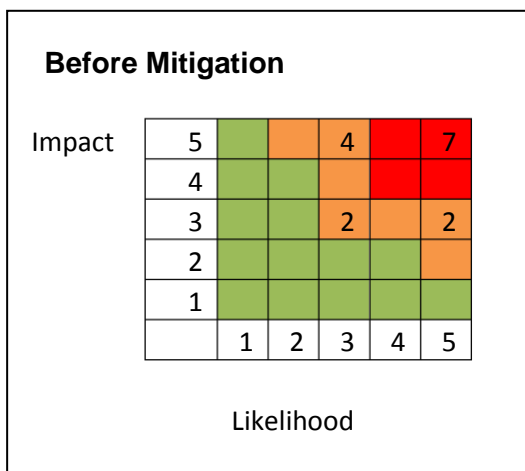
| | |
|--|-----------------|
| Uniform Building Control Database | £ 30,900 |
| Enterprise workflow management | £ 8,750 |
| Document management System | £ 0 |
| Digital transformation | £ 17,120 |
| Backfill of officer time during implementation | £ 6,000 |
| Contingency | £ 5,000 |
| TOTAL | £ 67,770 |

Based on the known figures on-going annual maintenance costs for North Devon will be reduced from £3,280 to £2,600.

The financial impact of the project on completion will be positive for both partners due to predicted reduction in costs for North Devon Council and improved income compared to costs in Mid Devon District Council. Initial estimate for North Devon indicates a saving of £10,000 pa.

A risk analysis has been carried out that shows that after mitigation the risk profile is low.

The risk profile is:



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3 Introduction and purpose

This is a high-level business case produced for the purpose of gaining approval for the formation of a partnership between Mid Devon District Council and North Devon Council to facilitate joint working to provide the Building Control Service from the senior management team and provides the information necessary to assess the business benefits of the proposal.

In particular it defines,

- the rationale for proposing a partnership
- the governance and corporate structure recommended to support the partnership
- the prioritisation of activities necessary for the delivery of the partnership
- the key risks involved in delivery.

4 Current Position

4.1 Responsibilities of the Building Control Team

The primary responsibilities of the Building Control service are;

- Protect the public in and around buildings in North and Mid Devon
- Discharge the Councils statutory duty to enforce the Building Regulations and relevant aspects of the Building Act 1984 and Building Regulations 2010 by,
 - a) The processing of Full Plans and Building Notice applications by carrying out design appraisals and inspection of work on site to ensure compliance with the Building Regulations and issuing the of completion certificates.
 - b) Taking enforcement action under the Building Act where appropriate.
- Provide effective enforcement to protect the public from dangerous structures and buildings.
- Administer the receipt of Demolition Notices and impose conditions to protect the public and the environment.
- Process Initial Notices and maintain a register of Notices received.
- Provide a source of expertise to enable the provision of technical construction related advice to other Council services, the public and construction professionals.
- Meet legal obligations under the Building (Local Authority Charges) Regulations 2010 in order to recover the cost of providing the chargeable Building Regulation service.

4.2 Core Business Objectives

Currently both Mid and North Devon operates an independent Building Control Services. However, in March 2015 Mid Devon invited the Building Control Manager from North Devon to carry out a 3 month review of the service taking into account potential the for joint working. The Building Control Manager is now a Joint post although this is currently on the basis of a temporary secondment.

Both services share a common core vision to, *“provide a Building Control Service that helps our customers to meet the requirements of the Building Regulations in a manner that is user friendly whilst ensuring that the activities open to competition are competitively priced and delivered efficiently without cost to the Local Authority”*.

In order to achieve this, the following key objectives need to be achieved,

- Maximise efficiency by minimising costs whilst maintaining customer satisfaction with the service
- Enable digital transactions with clients without making internal procedures inefficient
- Provide accurate data to ensure pricing policies are competitive and meet costs incurred on projects
- Build strong relationships with our customers including use of LABC Partnership scheme and tie into national marketing initiatives
- Maintain sufficient staff with adequate expertise to deliver service effectively
- Introduce workflow management to maximise flexibility in allocation of resources

4.3 Organisational Structure

Until recently the staff structures of the two services were similar with the joint manager and 4 area surveyors but due to recruitment difficulties when a vacancy arose a restructure has taken place with Assistant Surveyors being recruited who are not professionally qualified as illustrated in figure 1.

Figure 1 – North Devon Structure

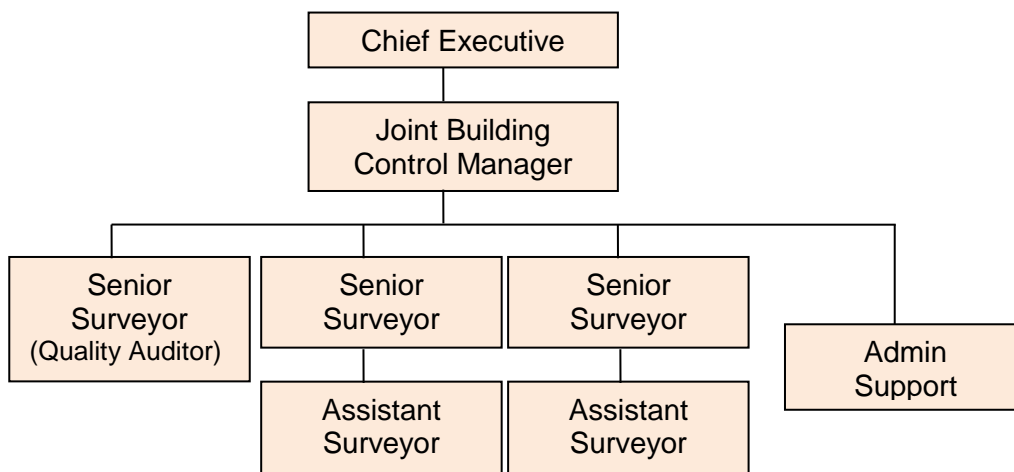
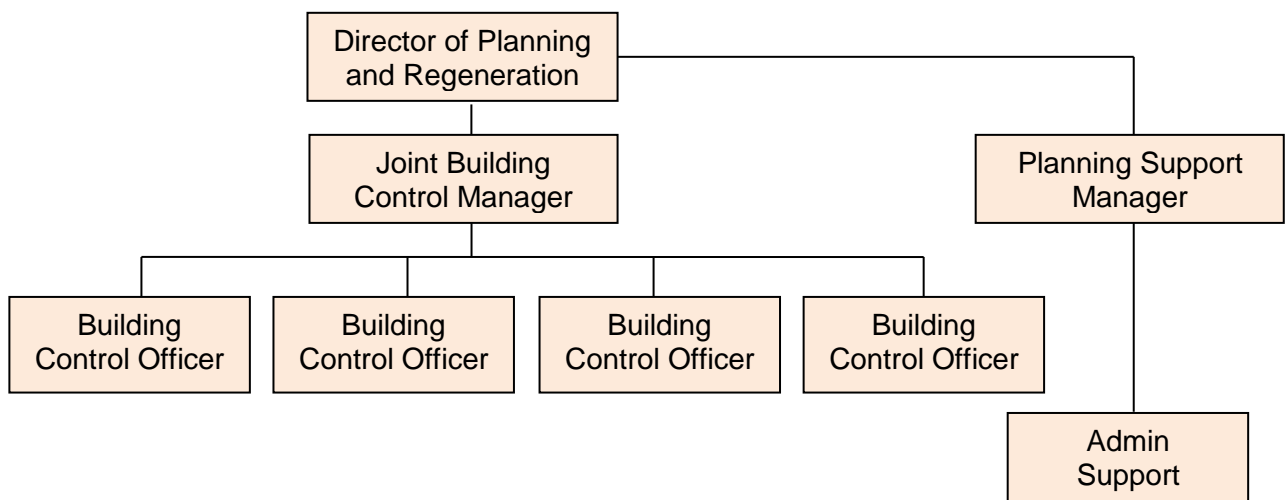


Figure 2 – Mid Devon Structure



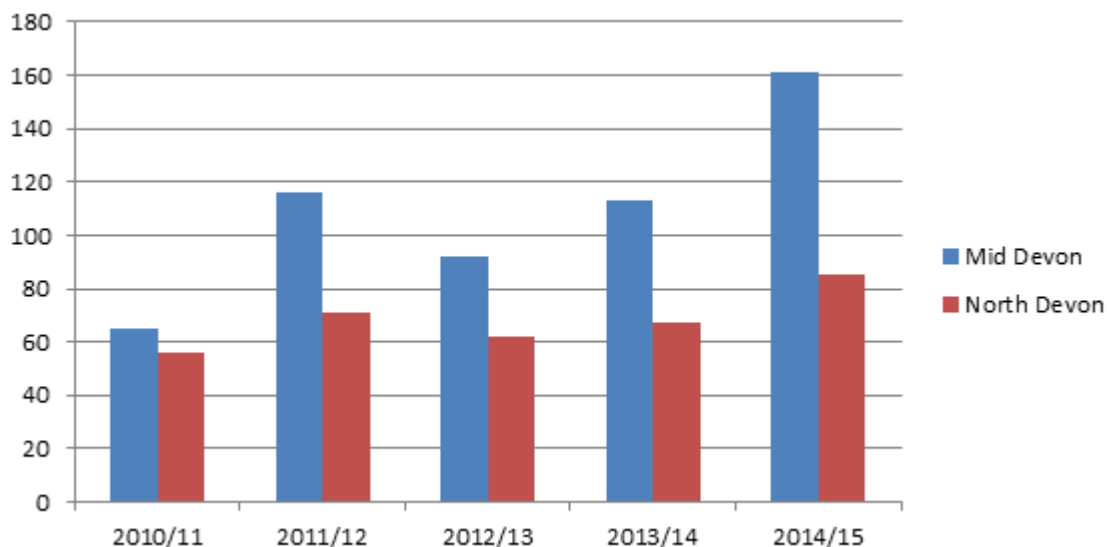
4.4 Competitive Position

Competition in the Building Control market has now existed since 1987 and has increased dramatically in the last 10 years with competition now in all market sectors. Knowledge of the alternative to Local Authority Building Control has also grown and is now effectively universal within the construction industry and the awareness of householders is increasing with many Approved Inspectors sending out flyers based on the Planning application lists.

This can now result in householders determining the choice of Building Control provider. As a result established relationships with builders and architectural agents based on quality of service can take second place to marginal cost savings often achieved at the expense of levels of inspection on site resulting in a potential increased risk of defects in construction. As a result the fees charged by Building Control providers have often become too low to cover the cost of the level of service specified in the Building Control Performance Standards 2014.

A total of 31 different Approved Inspectors submitted Initial Notices in the Mid and North Devon areas in the year 2014/15. Despite this the Local Authorities have managed to continue to service the majority of the work. Although the Local Authority is notified of where Approved Inspectors are operating via the initial notice procedure it is not possible to determine market share precisely, as we do not know the extent of the works being carried out and therefore cannot accurately assess the level of fees being lost. However, market share is estimated to be approx 65-75% in Mid Devon and 70-80% in North Devon.

Figure 3 – Number of Initial Notices received



Approved Inspectors can have particular advantages for national companies as they are able to operate nationally providing a single point of contact for applications. Hence, they are able to provide assurances regarding consistency of interpretation and service levels.

A number of AI's also promote a one stop shop approach to Building Regulation compliance. The regulations increasingly require third party evidence of compliance through calculation and testing. Hence supplementary services are often provided, ordered through a single application form. Supplementary services can include some or all of the following,

- SAP Calculations
- Energy performance Certificates
- SBEM Calculations

- Water efficiency
- Code Sustainable Homes
- Building Regulation Consultancy
- Acoustic testing
- Air pressure testing
- Water efficiency calculations
- Disability audits consultancy
- Fire risk assessments
- Party wall agreements

4.5 Financial Performance

Figure 4 – Mid Devon Building Control Income

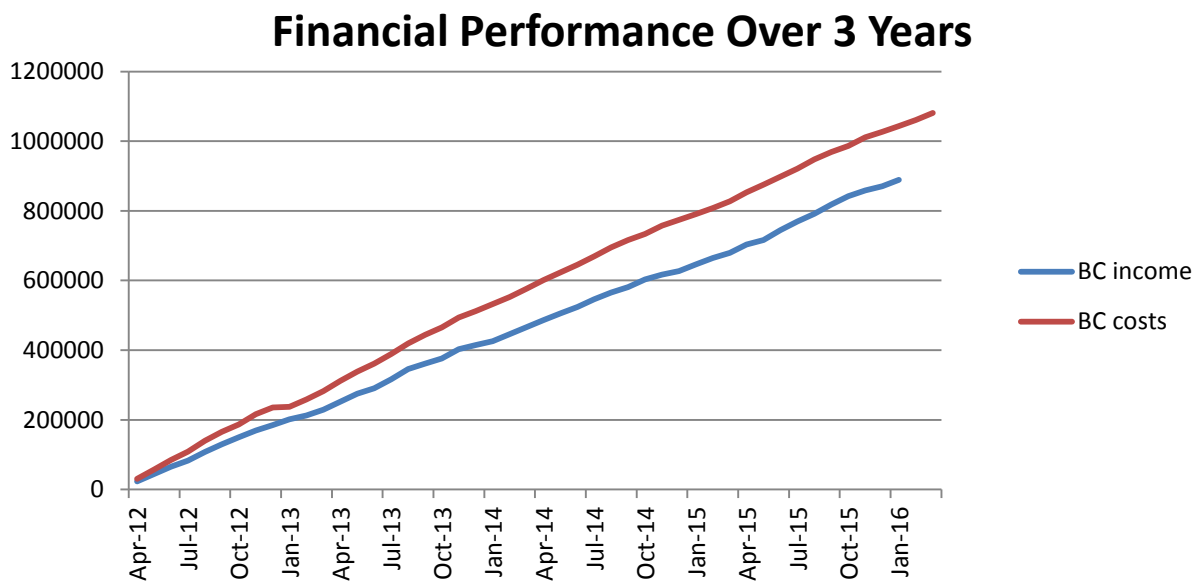
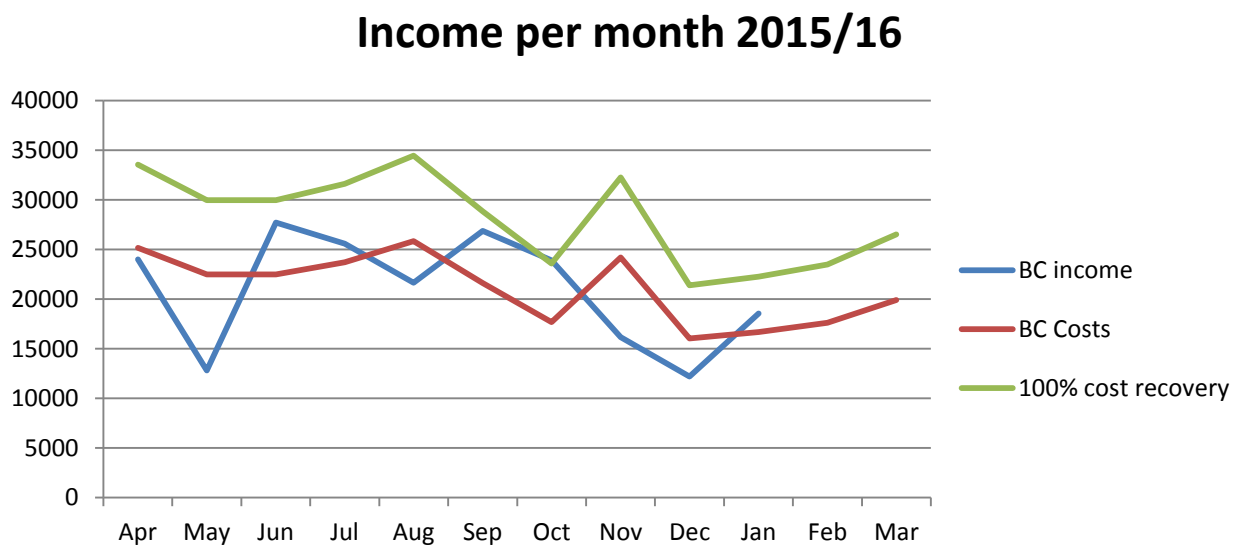
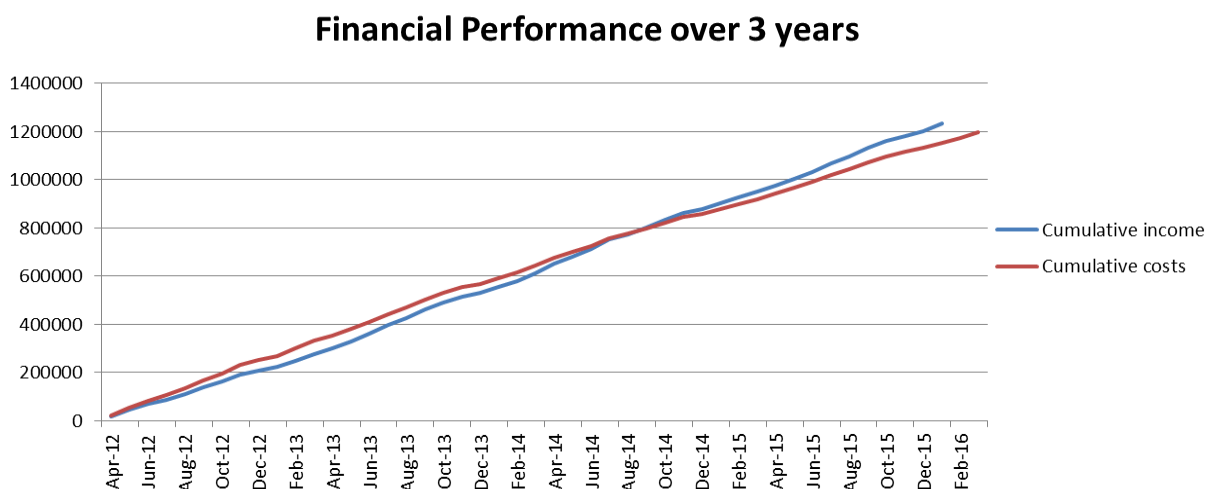
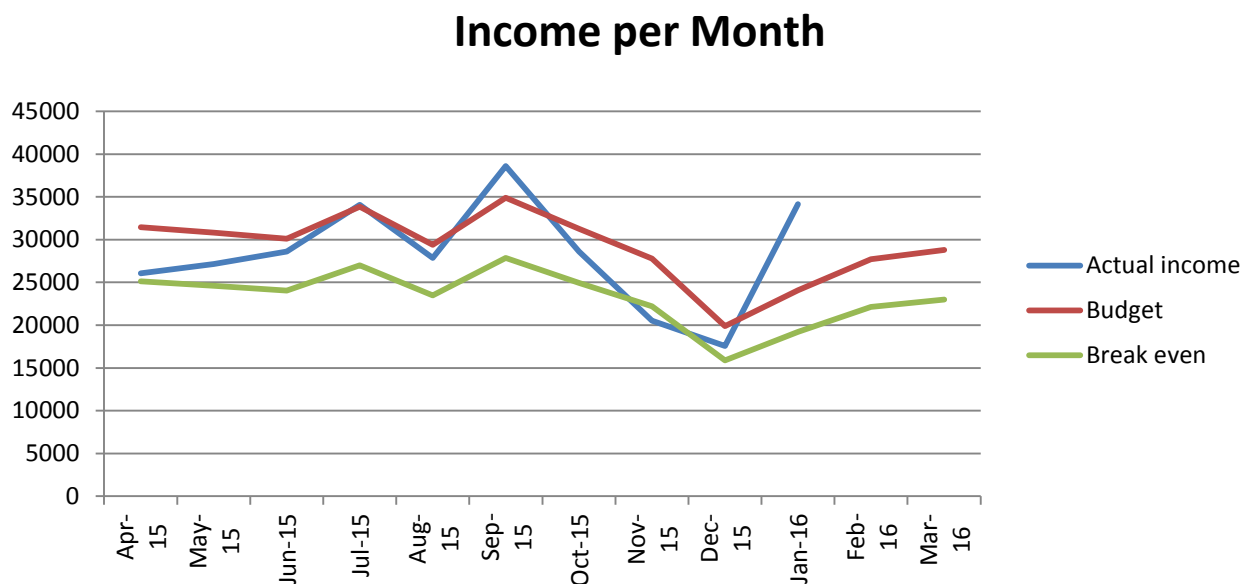


Figure 5 – North Devon Building Control Income



Based on 2015/16 budgets the cost base of each service is very similar as are the number of applications received. However, the fee income does currently show a significant difference. The primary reason for the deficit in Mid Devon has been identified as a failure to accurately determine the Building Control fees and a lack of consistency in the provision of individual project quotations. Both these issues have now been addressed and new fee schedules are being introduced on 1 November 2015 following approval by the Lead Member.

5 Key Benefits of Joint Working

The Building Control Service faces a range of challenges which threaten the viability of the service. Competitors have become established in the area and as the market matures awareness of alternative providers is now wide spread with those procuring Building Control Services making an informed choice between suppliers. It is therefore essential we provide a service that there customer's value at a competitive price that ensures that the business is sustainable.

Significant change is required to both in culture and systems. The service needs to be more customer facing and build stronger relationships with its clients. Whilst internally inefficient working practices and duplication of processes must be eliminated through the adoption of a single system of work driven by a computer based administration.

Continuing to operate an independent Building Control Service within the boundaries of an individual Local Authority is unlikely to provide the necessary scale of business to support a sustainable business model for the future. Joint working between North Devon Council and Mid Devon District Council provides the opportunity to share the cost of management needed to drive through these changes and the cost of investment combined with the opportunity to reduce overheads by merging back office support and systems.

Key advantages of joint working are highlighted below.

5.1 Business Resilience

Due to the commercial pressures on Building Control there is a significant need to minimise operating costs in order for the service to be priced competitively whilst maintaining high levels of customer satisfaction to ensure market share is maintained and ensure it remains viable as a business within the Local Authority. In an effort to achieve this significant cuts have been made successfully made reducing the number of staff but this has been at the cost of business resilience. Staffing levels are now such that any absence impacts on the service received by the customer which is critical in a highly competitive market where the customer is free to choose an alternative supplier. Joint working between North and Mid Devon will increase the critical mass of the service. Currently any absence reduces the resource by 25% whereas working in partnership this would be reduced to 12.5% making impacts more manageable.

5.2 Cost Reduction

Operating as an individual Local Authority requires much the same base expenditure as a larger partnership due to fixed costs such as IT support systems being duplicated. If working in partnership only one system needs to be maintained with regards to software and infrastructure. Increased scale of the business will also provide an advantage when negotiating procurement of software minimising licencing costs. For example, the purchase of software licenses and access to on-line technical information.

Duplication is also reduced in the development of working practices, policies, reporting, financial controls, and performance management enabling costs to be reduced by sharing the Building Control Manager. Mid Devon's establishment costs will be increased by the need to contribute to the Building Control Managers salary but management input would otherwise be a hidden cost imposed on the Planning and Regeneration Directorate. North Devon effectively reduces the cost of Management of the service by sharing the Building Control Manager but that limits the manager's ability to contribute directly to the front line service. Following a vacancy for a

Senior Surveyor the Service has been restructured creating 2x Assistant Surveyor Posts which if joint working continues will result in a net saving of at least £7000.00 from salaries compared to the previous establishment whilst maintaining capacity.

5.3 Updating of systems

Mid Devon District Council is investing in the development of its corporate systems including the updating of the Building Control Systems and the introduction of the work flow management.

In order to gain benefits of joint working between North and Mid Devon it is necessary for a single management system to be adopted in order to;

- Produce a single set of management reports and controls
- Ensure user skills and knowledge are transferable between authorities
- To enable flexible use of resources by allocating jobs across District boundaries

Hence, it will be necessary for North Devon Council to adopt the same system which will require significant investment. However, this investment would be required regardless of whether a partnership is agreed with Mid Devon District Council.

The existing system used by North Devon Council has suffered from poor support from Civica with some modules being unusable including the diary facility and importing of competent persons data. A number of significant bugs including failure to refresh screens after saving data entry are causing data entry errors and inefficiencies but remain unresolved. In addition an increasing number of applications are made electronically for which North Devon have no Document Management system resulting in a high risk to data. The system also has a very low user base amongst other Authorities and is a legacy system inherited by Civica when they took over Innogistic. Hence, it is possible that support from Civica will terminate in the future.

Building Control is a statutory and commercially run service that needs a good system to provide the tools and controls to manage the case load in an effective and timely manner and to remain competitive. Without the right systems, work can be missed, overlooked and not allocated. This would lead to a loss on income and impact on the reputation of the council.

It should also be noted that all neighbouring Local Authorities bordering North Devon and the surrounding area use the Uniform system. Hence, future wider joint working initiatives would be made easier.

Carrying out the transfer between systems in partnership with Mid Devon should limit the risk and resources associated with this as it will involve migrating data on to an established system rather than setting it up from scratch and offers the opportunity to use expertise gained from familiarity with an existing system.

5.4 Shared investment

Investment in the service will be required periodically in the future and joint working will enable costs and risk to be shared between the two authorities.

5.5 Skills and Training

Partnership will enable more value to be gained from expenditure on training through application over a wider area and an increased opportunity to cascade knowledge gained.

Existing specialist skills can also be utilised to a greater extent to the benefit of a wider area including fire and structural engineering experience, carpentry expertise, sustainability, disabled accessibility and mentoring/coaching.

There is also a critical shortage of qualified building control staff nationally making future recruitment to replace natural wastage difficult. Partnership will enable the cost of training and developing staff in-house to full fill roles in the future to be shared making a development programme possible when vacancies arise where currently the resource to support this would not be available.

5.6 Marketing

There is significant overlap of the customer base between the two authorities enabling value to be maximised from marketing approaches and initiatives reducing the overall resource requirement. Duplication is also reduced for activities such as provision of technical seminars designed to build relationships with customers.

5.7 Service Development

Opportunities exist to expand the services provided by Building Control to complement the existing service and utilise the existing customer base. However, in order to take full advantage of these it would be necessary to form a trading company to effectively separate consultancy services from Building Control activity in order to develop just for profit activities. Any profits generated could then be distributed back to the participating Authorities to effectively subsidise revenue budgets.

A separated service organisation for this purpose could be wholly owned by the participating authorities as a joint enterprise. This would also create a flexible structure that could react to future change and simplify the relationship with the partner authorities and enable overheads to be limited by basing procurement decisions on the principles of best value, simplifying accounting procedures and providing clear lines of accountability. Ultimately a separated service organisation would provide the greatest competitive advantage to the Building Control but does carry significant risks if it failed.

Joint working could provide a first step towards this by the participating authorities if desired.

6 Options Considered

6.1 The Options

The following three options for a business model for the future of Building Control in Mid Devon Council are examined to highlight their relative strengths, weaknesses, opportunities and threats.

1. Maintain the status quo with Mid Devon continuing to provide an independent service.
2. Operate as a partnership with one or more other Local Authorities
3. Operate as a wholly owned separate service organisation (SSO)

It is possible to operate a strategic partnership with a shared manager of the Building Control Service and this could deliver a number of advantages through high level cooperation. However, this would limit the effectiveness of the manager as they would effectively become an overhead for both services whereas a manager dedicated to a single building control team is

more able to take an active front line role supplementing the surveying and administration resources to a far greater extent.

To be successful and deliver real benefits to the service joint working arrangements would require far greater level of integration at an operational level. Hence, in the following SWOT analysis it is assumed that this is the case. Without commitment from both partners to this approach any partnership could have a detrimental effect on the service provided particularly in North Devon.

There are other options available for the future of the service including out sourcing to a third party company or forming a wider partnership by for instance joining the Devon Building Control Partnership.

The Devon Building Control Partnership has existed for over 10 years and is now examining the feasibility of becoming a wholly owned company. There are established working relationships between the existing partners that are wider than just Building Control with West Devon and South Hams sharing a senior management team and Teignbridge DC hosting the Building Control Partnership. Any partnership arrangement would therefore clearly have a South Devon bias that could impact on North and Mid Devon as there are significant differences in staff remuneration, fees charged and the local economies that could form a barrier to a robust partnership and limit the advantages. The Devon Partnership is not currently considering further expansion until they have resolved internal issues regarding governance that would be created by a wider partnership.

Outsourcing could potentially limit the risk of the service making losses but would also limit the potential for the Council developing a viable income stream. The expertise in construction and regulation would also be lost removing the in-house support that could be provided to other departments within the Council whilst the costs of maintaining registers, enforcement, administration of demolition notices and dangerous structures would all still need to be met.

6.2 Business Options Appraisal (SWOT Analysis)

Figure 6 – Strengths, Weaknesses, Opportunities and Threats

| | Independent North/Mid Devon Building Control | Partnership | Arm's length separated service organisation |
|------------------|---|---|---|
| Strengths | <p>Complete autonomy for North and Mid Devon Council</p> <p>No need to adjust accounting systems</p> <p>No cost of integration with other Authorities</p> | <p>Shared cost of service manager</p> <p>Reduced support costs including maintenance of IT systems due to sharing costs between Authorities</p> <p>Eliminate dual support costs</p> <p>Long term efficiency gains in admin support if back offices merge</p> <p>Increased resilience of service due to holiday and peak workload cover resulting in better response to customers</p> <p>Good match with regard to workloads and technical nature of work</p> <p>Uniform service to common customer base with one combined organisation</p> <p>Increased customer base reducing impact of an individual customer choosing another supplier</p> <p>Time spent on marketing / relationship building with customers would be to the benefit of both Authorities</p> <p>Staff retention and attraction of best</p> | <p>All strengths listed for Partnership</p> <p>A close fit with the objectives of the Localism Act 2011 and the general power competence for Local Authorities</p> <p>Simplifies management structure and accountability with the Building Control management accountable to a board of directors made up of members of the SMT or Councillors from each partner</p> <p>Would provide freedom to trade in related services providing a more comprehensive package of services to our customers and creating the potential for additional revenue streams</p> <p>Simplifies accounting procedures enabling company accounts to be produced and reported to each partner</p> <p>Accounts could be split into three sections</p> <ul style="list-style-type: none"> • Standard Building Control work subject to the Building (Local Authority Charges) Regulations 2010. The trading balance from this would need to be retained within the company • Services provided for the Partner councils charged at cost |

| | Independent North/Mid Devon Building Control | Partnership | Arm's length separated service organisation |
|--|--|--|---|
| | | <p>possible staff due to more attractive employment prospects</p> <p>Enables training costs to be shared between authorities including development of trainee/technicians within Building Control and the dissemination of information from courses over a wider audience</p> <p>Shared cost and benefit of specialist training aiding the development of expertise in areas such as sustainability issues and energy assessment and fire risk assessment to support the needs of our customers</p> <p>A well trained and motivated team will ensure the best possible advice to other departments establishing Building Control a centre of technical expertise within the council on construction issues</p> <p>Shared cost of modernising and updating computer systems that require repeated investment over time. Improved document management systems are required now by both Councils. Building Information Management Systems are beginning to be used by some clients and there is likely to be increased demand requiring cloud based information sharing between members of the design team.</p> <p>Many Building Control Partnerships already exist round the Country providing</p> | <ul style="list-style-type: none"> • A trading account for the provision of additional commercial services from which profits could be distributed <p>Enables purchase of support services from either Council in the partnership based on best value or potentially from third parties rather than relying on simple apportionment of overheads which limits the potential for real cost savings to be made in procurement</p> <p>Minimising of overheads enables provision of services paid for by Council tax at a lower rate</p> <p>Provides a flexible structure that can be adapted in the future</p> <p>It is possible that in the future government policy could end provision of Building Control by Local Authorities. In this scenario it would be possible for an existing trading company to register as an Approved Inspector and continue to trade. This would provide continuity of service to the construction industry in North Devon, continuity of employment to staff and provide an asset to the partner councils which could potentially either be sold, continue trading creating revenue for the partners or potentially be transferred to mutual status.</p> |

| | Independent North/Mid Devon Building Control | Partnership | Arm's length separated service organisation |
|-------------------|---|--|--|
| | | <p>experience that limits risk</p> <p>Relatively quick to set up.</p> <p>An exit strategy would be possible after a set period</p> <p>Could provide stepping stone towards an arms-length company if desired</p> <p>Adoption of existing IT system by North Devon limits risk associated with changing system and utilises existing expertise in Mid Devon ICT</p> | <p>Registration as an Approved Inspector would also be possible enabling work to be carried out outside of the Authorities boundaries</p> |
| Weaknesses | <p>Inadequate income to finance a Building Control Managers post</p> <p>No means by which to drive through a programme of change designed to return Mid Devon to a position where costs are recovered</p> <p>Cost of investment in IT systems would need to be born entirely by North Devon</p> <p>Difficulty retaining staff if future of service provision is perceived to be at risk</p> <p>No potential for shared training costs</p> | <p>Unified fees could result in changes in price to the customer and may not reflect the costs of an individual authority although analysis has shown the Mid and North Devon costs are comparable</p> <p>If a full merger of the services is not achieved there will be increased management costs without the ability to make savings as the BCM's time would be split between 2 authorities limiting opportunity to contribute to front line work and increasing the number of staff required to provide the service.</p> <p>Difficult to exit agreement and revert to existing situation once back offices are merged but benefits cannot be realised without taking this step</p> | <p>An exit strategy from this type of arrangement would be difficult to achieve</p> <p>It would be more difficult to subsidise core building control activity from council tax revenues during fluctuations in market demand increasing the need to retain any surpluses within the business to cover such periods</p> <p>Relatively high set up costs</p> |

| | Independent North/Mid Devon Building Control | Partnership | Arm's length separated service organisation |
|----------------------|---|--|---|
| | <p>Restricted service to customers due to cost of training</p> <p>Higher service costs would be reflected in higher Building Control fees reducing competitiveness and market share resulting in further decline of the service</p> | <p>If one office is used travel costs could increase</p> <p>If an office is closed to reduce overheads this could be seen as reducing accessibility of advice. In practice North Devon has already taken this step by moving to Brynsworthy where there is no public reception</p> <p>Cost of ensuring compatible computer systems (but in reality this expenditure needs to be made in any case)</p> <p>Cost of equalising pay and conditions between authorities</p> <p>Partnership cannot carry out just for profit activity as it is not a limited company</p> | |
| Opportunities | <p>Could aim to develop LABC partnerships and expand workload to the potential detriment of neighbouring Authorities</p> | <p>Sharing of training costs and workload could enable provision of a Fire Risk Assessment and /or Energy Rating service potentially generating profits</p> <p>Increased staff numbers enable opportunity for increased specialism of individual surveyors e.g. Fire and structural engineering or Code of sustainable homes</p> <p>A successful partnership could lead to further joint working arrangements with other authorities if driven by a business case</p> | <p>Formation of an SSO would enable the potential to develop commercial services in reaction to changes in the market or legislation through opportunities such as the Green Deal that is likely to require surveys to identify the most cost effective energy improvements for individual houses.</p> <p>The provision of an Energy Assessment Service provides an income stream that can be serviced by relatively junior technical staff. Hence, this work can be carried out by a trainee surveyor which could offset the cost of the post at an early stage in their</p> |

| | Independent North/Mid Devon Building Control | Partnership | Arm's length separated service organisation |
|--|---|--|--|
| | | <p>The use of the LABC Partner Authority Scheme could be developed further without effecting fee income of the neighbouring Authority</p> <p>Achieving operational savings would allow reinvestment in the service and/or a reduction in fees charged strengthening the market position</p> <p>Services could be purchased from the most competitive provider within the partnership or potentially in the open market</p> <p>Investment in IT services could provide the opportunity for strategically located home workers reducing office overheads and travel costs</p> <p>It would enable the cost of recruiting and developing a trainee to be shared between Authorities. Serious consideration will need to be given to this as there is a national shortage of Building Control Surveyors resulting in recruitment being problematic resulting in a potential threat to service provision in the future</p> <p>If investment in IT infrastructure is made overheads could be reduced by the use of home based surveyors</p> | <p>development effectively subsidising the training of Surveyors</p> <p>Partnerships with private sector service suppliers</p> |

| | Independent North/Mid Devon Building Control | Partnership | Arm's length separated service organisation |
|----------------|--|--|--|
| Threats | <p>Issues identified in this report remain unaddressed due to a lack of management resource.</p> <p>Lack of investment in IT systems could lead to customer requirements not being met and loss of market share</p> <p>Lost market share resulting in increased costs</p> <p>Difficulty recruiting due to limited prospects and unsustainable business model</p> <p>Further reduction in staff numbers reducing expertise available to the Council and restricting ability to provide out of hours dangerous structure service and reducing responsiveness to customer demands</p> | <p>Restrictive methods of accounting relying on the apportionment of fixed costs could mask and/or obstruct real cost savings. As a result a real reduction in overheads may not be seen as a cost saving as this can result in higher apportionment of fixed cost charges to other services. However, this should not be seen as a barrier to making savings or innovation in service delivery will be stifled leading to unsustainable costs to the Authority in the longer term</p> <p>Reputation damage if substantially different service is provided by different Authorities</p> <p>The demographic spread in North Devon Building Control provides a good blend of age and experience. Joining another Authority would disrupt this balance creating a larger proportion of 50+ surveyors potentially increasing the need to recruit in the future when there is a national shortage of Building Control Surveyors.</p> <p>Potential resistance to change from existing staff</p> <p>A temporary appointment of a joint manager could result in inertia to change and an inability to deliver any tangible savings or improvements unless senior management from both council are fully committed to change</p> <p>Different priorities between Councils</p> | <p>An exit strategy from this type of arrangement would be difficult to achieve</p> <p>Causes staff concerns over pay, conditions and job security</p> <p>The company could potentially go into liquidation if it failed</p> <p>Identity of the organisation may not be clearly recognised as the Local Authority leading to reduced customer loyalty.</p> |

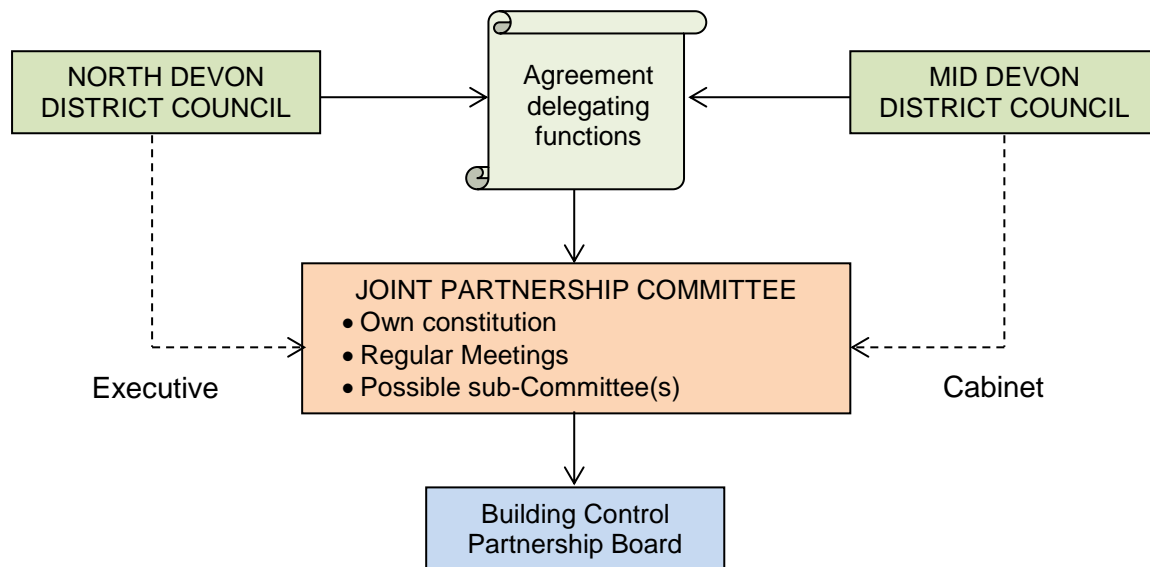
| | Independent North/Mid Devon Building Control | Partnership | Arm's length separated service organisation |
|--|---|--|--|
| | | <p>If financial responsibility is not clear divisions could be created</p> <p>Different pay and conditions between staff could lead to dissatisfaction e.g. lease cars, remuneration and/or additional costs to one or both councils</p> <p>Different costs if working across border</p> <p>Timescales and slow realisation of benefits</p> <p>Inadequate investment in IT infrastructure to ensure fast data transmission between Barnstaple and Tiverton</p> | |

7 Recommendations

7.1 Partnership Model

Following consideration of the relative merits of the potential options it is recommended that the Partnership option is adopted. Following consultation with Simon Fuller (North Devon Legal Team) who has been advising the ICT Joint Working Project a Formation of Partnership it is recommended that a Joint Committee model is adopted for a Partnership between the two Authorities as illustrated below.

Figure 7 – Joint working structure

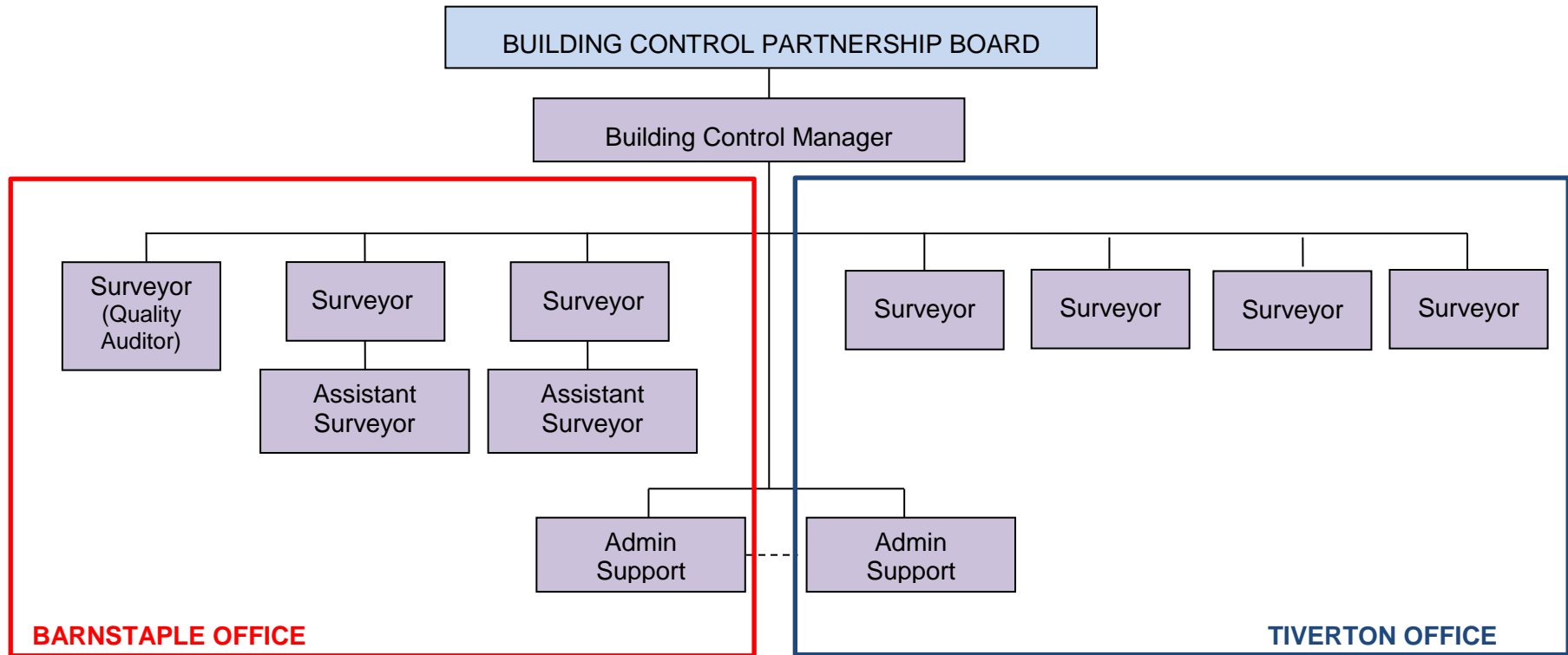


Section 101 and 102 of the Local Government Act 1972 enables the work of Local Authorities to be discharged jointly with other authorities via a joint committee.

A joint committee has no separate legal identity and no corporate status and therefore cannot enter in to contracts or own property in its own right. This is retained by the partner authorities themselves. However, the partner authorities enter into an agreement to delegate certain of their functions (in this case all relevant Building Control functions) to the joint committee to enable it to make decisions on behalf of the two partner authorities in respect of those functions

The formation and structure of the joint committee would be determined by the participating Authorities and the governance and authority of the joint committee would be set out in a constitution, agreed pursuant to the joint working agreement including how costs are shared. Normally one authority takes the lead for the provision of the entire shared service effectively hosting the Partnership Boards financial affairs, taking responsibility for payments and accounting procedures, or these things can be split between the two authorities. This can all be agreed pursuant to the joint committees constitution being drawn up. For day-to-day management of a joint Building Control Service a Partnership Board can be created, made up of the professional officers with responsibility for managing the service including the Heads of Service for North and Mid Devon (Mike Mansell and Jenny Clifford) and the Building Control Manager.

Figure 8 – Proposed Organisation Structure



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This approach would be combined with the secondment of Building Control staff under the overall direction of the Joint Partnership Committee. There are human resource implications due to the need to harmonise pay and conditions to ensure fairness between differing authority's staff. It may be beneficial to TUPE the staff to the Lead Authority when the Partnership is established in order to simplify administration and maintain a common approach.

As a scheme employer in the Local Government Pension Scheme, staff employed by one authority on behalf of others under a joint committee model can be ring-fenced for pension purposes with a separate joint committee employer's contribution rate. This makes it easier for partners to calculate their respective contributions.

7.2 Organisational Structure

In order to fully realise the benefits of joint working it is proposed to reorganise the structure of the Service to create a single team with common working practices but based in both Tiverton and Barnstaple as illustrated in Figure 8.

The most significant change is that the Mid Devon administration support will report directly to the Building Control Manager and be dedicated to the Building Control Service rather than as part of a wider Planning support team. Cover would be provided between the Barnstaple and Tiverton offices made possible by the ICT systems. This enables greater focus on customer needs, close flexible team working with the Surveyors and limits the training and communication demands during a period of intense change.

7.3 Work Programme

It is proposed that the project will be divided into 4 phases supported by a Project Plan detailing the work items, time allocated and resources required.

| Phase 1 – Initiation | | | |
|-----------------------------|---|-----------------|------------|
| Commencement date | 01/08/2015 | Completion date | 31/10/2015 |
| Actions | Urgent recommendations from Mid Devon review <ul style="list-style-type: none"> - Revise initial notice procedure - Revise invalid application procedure Development of internal relationships <ul style="list-style-type: none"> - Improve internal communication - Away day combing both teams Programme Documentation <ul style="list-style-type: none"> - High level business case for initiation of project - Programme Plan - Risk issue and lessons learnt log Make service competitive with accurate pricing | | |
| Milestones | Executive/Cabinet Approval of project initiation | | |

| Phase 2 – Preparation for Partnership | | | |
|--|---|-----------------|----------|
| Commencement date | 01/11/2015 | Completion date | 31/07/16 |
| Actions | Introduce Performance Management Controls Staff training and development of team working Programme Documentation Re-engineering of document management system Update Mid Devon IT system Revise Mid Devon working practices to utilise DMS and gain efficiency Review and revise all letters /forms and policies to unify working practices Develop Business Plan and Marketing Plan | | |
| Milestones | Restructure of RKYV Document Management System (Target 31/12/2015) Roll out of Uniform upgrade (Target 31/1/16) Acceptance of full business case and formation of Partnership (Target 31/03/2016) Roll out of Enterprise workflow management (Target 31/7/16) | | |

| Phase 3 – Unification of systems | | | |
|---|---|-----------------|----------|
| Commencement date | 31/07/2016 | Completion date | 31/11/16 |
| Actions | Mapping of North Devon data for transfer Uniform system training User Acceptance test of merged system Roll out to North Devon | | |
| Milestones | UAT acceptance sign off Both Authorities working on unified system | | |

| Phase 4 – Consolidation of business | | | |
|--|---|-----------------|----------|
| Commencement date | 31/11/2016 | Completion date | 31/03/17 |
| Actions | Develop marketing and customer relationships Provide business Plan and Marketing plan for future direction of service Review of programme | | |
| Milestones | Close programme | | |

8 Key Risks

8.1 Risk Analysis

| Impact guidance | | Likelihood guidance | |
|---|---|--|---|
| High = Major implications on the delivery of the project or service failure | 5 | High = Almost certain that the risk will occur 90% | 5 |
| Medium = Moderate implications | 3 | Medium = Probable chance 50% | 3 |
| Low = Minor / insignificant implications | 1 | Low = Possible but unlikely | 1 |

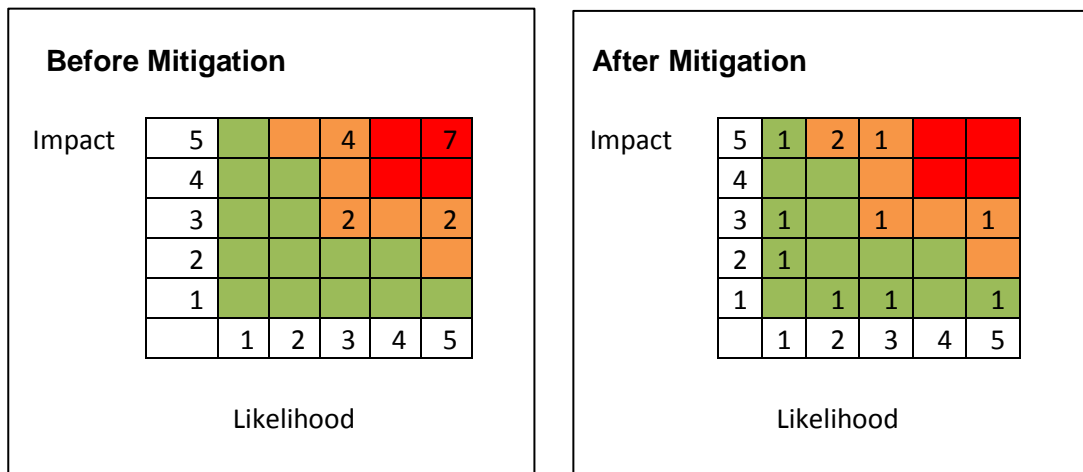
| Risk No | Risk Description | Current Impact | Current Likelihood | Score | Mitigating actions required | Target Impact | Target likelihood | Score |
|---------|--|----------------|--------------------|-------|--|---------------|-------------------|-------|
| | | | | | | | | |
| | Political | | | | | | | |
| R.01 | Cause: Adverse political forces Risk: Failure to approve business case and sign partnership agreement Consequence: End of joint working | 5 | 5 | 25 | Clear communication strategy Involvement of members | 5 | 2 | 10 |
| R.02 | Cause: Change of political control Risk: Change of leadership Consequence: Withdrawal from partnership | 5 | 3 | 15 | Commitment to 5 year agreement | 1 | 3 | 3 |

| Risk No | Risk Description | Current Impact | Current Likelihood | Score | Mitigating actions required | Target Impact | Target likelihood | Score |
|---------|--|----------------|--------------------|-------|--|---------------|-------------------|-------|
| R.03 | Cause: Change of chief executive Risk: Different direction from leadership Consequence: Withdrawal from partnership | 3 | 5 | 15 | Commitment to 5 year agreement | 1 | 5 | 5 |
| R.04 | Cause: Future investment needs Risk: Different approach Consequence: Stagnation of service, loss of customers | 5 | 3 | 15 | Gain commitment of members Clear vision for the service | 5 | 1 | 5 |
| | | | | | | | | |
| | Delivery program | | | | | | | |
| R.05 | Cause: Over ambitious delivery program Risk: Timescales extended Greater resource needed Consequence: Failure to meet customer needs | 3 | 3 | 9 | Realistic expectation Clear delivery program | 3 | 1 | 3 |
| R.06 | Cause: Inadequate resource Risk: Excessive demands on individuals Consequence: Stress, low productivity, poor outcomes | 5 | 5 | 25 | Match resources to project plan Support and manage individuals Form task specific working groups | | | |
| R.07 | Cause: Failure to rationalise overhead costs Risk: Excessive charges Consequence: Unit rate will be higher making service uncompetitive | 5 | 5 | 25 | Robust partnership agreement Flexibility in negotiation by partners | 3 | 5 | 15 |
| | | | | | | | | |

| Risk No | Risk Description | Current Impact | Current Likelihood | Score | Mitigating actions required | Target Impact | Target likelihood | Score |
|---------|--|----------------|--------------------|-------|--|---------------|-------------------|-------|
| | Staff | | | | | | | |
| R.09 | Cause: Different Job evaluation schemes Risk: Failure to harmonise Consequence: Staff moral | 3 | 3 | 6 | Close working with HR, staff and unions to develop policy | 1 | 2 | 2 |
| R.08 | Cause: Objections from unions Risk: Legal challenge Consequence: No or delayed partnership agreement, additional cost | 3 | 5 | 8 | Clear communication plan Consultation Liaison with Legal / HR | 2 | 1 | 2 |
| R.11 | Cause: Reliance on a single individual to deliver change Risk: Leaving Consequence: Delayed improvement, low moral | 5 | 3 | 8 | Spread load Form task specific working groups Succession planning | 3 | 3 | 9 |
| R.06 | Cause: Staff not accepting change Risk: Failure to build team Consequence: Adverse impact on customer service Loss of market share | 5 | 5 | 25 | Team development program Involvement of staff Clear vision for service Communication plan | 3 | 3 | 9 |
| R.07 | Cause: Staff in one authority performing better than the other Risk: One authority drains the resources of the other and reputational damage Consequence: Uneven distribution of resource, loss of market share | 5 | 5 | 25 | Performance management | 5 | 2 | 10 |
| | | | | | | | | |

| Risk No | Risk Description | Current Impact | Current Likelihood | Score | Mitigating actions required | Target Impact | Target likelihood | Score |
|---------|--|----------------|--------------------|------------|---|---------------|-------------------|-----------|
| | | | | | | | | |
| | ICT Systems | | | | | | | |
| R.12 | Cause: Failure to provide adequate infrastructure to support remote working Risk: System Failure Consequence: Failure of service provision Loss of market share | 5 | 5 | 25 | Accurate assessment of requirement including consideration of data requirements for Building Information Management (BIM) compliance Adequate investment | 5 | 1 | 5 |
| R.14 | Cause: Failure to deliver a robust Building Control support system Risk: Interruption to business, high resource input to rectify, inefficient working practices Consequence: North Devon will not merge data | 5 | 5 | 25 | Ensure implementation team have adequate expertise and resources | 5 | 3 | 15 |
| | | | | | | | | |
| | Customers | | | | | | | |
| R.07 | Cause: Customer resistance due to failure to promote service Risk: Choose alternative provider Consequence: Loss of market share | 5 | 3 | 15 | Positive presentation by staff Marketing strategy | 3 | 1 | 3 |
| | Risk Score | | | 226 | | | | 96 |

8.2 Risk Profile



9 Costs

In order to realise the benefits of joint working a substantial work programme has been identified above that requires internal resources beyond the Building Control Service including input from ICT, HR and Legal.

The majority of the cost associated with this project relates to the adoption of the Uniform Building Control database and work flow management by North Devon Council to enable a common administrative system.

However, this investment is required regardless of whether a partnership is agreed with Mid Devon District Council.

Mid Devon are upgrading the Building Control system to provided the latest version of the Uniform database and workflow management as a corporate initiative independent of partnership. Therefore, although this is a necessary prerequisite for merger of the operational systems , this is not considered to be a part of the cost of this project. However, the cost of further system improvements associated with digital transformation do require additional investment,

Mid Devon’s establishment will be increased by the need to contribute to the Building Control Manager’s salary. This will increase the service overheads but management time would otherwise be required from the Planning and Regeneration Directorate with a cost associated with it and a saving has effectively already been made through the redundancy of the previous Building Control Manager . In the case of North Devon Council there will be a net saving of at least £7,000.00 from salaries compared to the previous establishment following a restructure to ensure capacity is maintained.

Other hidden corporate costs include on-going work to develop a high performing team with the support of the Mid Devon Training and Development Team which has already been instigated through the provision of a joint training day hosted at North Devon’s Woodland Centre.

On-going annual charges associated with the 8 North Devon staff are estimated to be £2,600.00 pa that is a net saving from the existing charges for the North Devon Civica Fast Control system which is currently £3,280.00 pa. Furthermore, the cost of subscription to on-line technical information which currently costs £5,000.00 pa could be shared.

Hence, North Devon should realise a saving of £10,180 pa and significantly reduce the cost of updating systems. In the future the unification of systems and opportunity for joint procurement will enable the service to contribute to the realisation of the savings anticipated in the business case for ICT partnership and the resilience of the service will be significantly improved.

A table identifying the key costs associated with the project is provided below.

| Item Description | Qty | Unit £ | Total | Maintenance |
|--|------------|---------------|----------------|--------------------|
| Uniform Version 10 | | | | |
| 8 additional Uniform Licenses (Textual and Spatial Licences) | 8 | £1,000 | £8,000 | £1,600 |
| Uniform Building Control Training Course (2 days) | 1 | £2,500 | £2,500 | £0 |
| Application Consultancy –Support and setup of the Mid Devon Building Control module and wider system to incorporate the additional users and data from North Devon. | 3 | £950 | £2,850 | £0 |
| Uniform Building Contraventions Training Course (0.5 days) and specific Application Consultancy (0.5 days) | 1 | £1,250 | £1,250 | £0 |
| Uniform Dangerous Structures Training Course (0.5 days) and specific Application Consultancy (0.5 days) | 1 | £1,250 | £1,250 | £0 |
| Uniform Competent Persons Training Course (0.5 days) and specific Application Consultancy (0.5 days) | 1 | £1,250 | £1,250 | £0 |
| Idox Data Services Scoping Exercise and Report Write-up | 1 | £1,900 | £1,900 | £0 |
| GMS Initial Load (Test and Live) | 1 | £1,900 | £1,900 | £0 |
| Test Data Load (load of North Devon Building Control Data into the Mid Devon Uniform System). Price works on the assumption that the Data will be extracted and mapped by the authority. | 1 | £5,000 | £5,000 | £0 |
| Live Data Load (load of North Devon Building Control Data into the Mid Devon Uniform System). Price works on the assumption that the Data will be extracted and mapped by the authority | 1 | £5,000 | £5,000 | £0 |
| SUB TOTAL | | | £30,900 | £1,600.00 |
| | | | | |
| Enterprise workflow management | | | | |
| Enterprise for Building Control | 1 | | £5,000 | £1,000 |

| Item Description | Qty | Unit £ | Total | Maintenance |
|---|------------|---------------|----------------|--------------------|
| Enterprise overview training course | 1 | | £1,250 | £0 |
| Enterprise advanced training course | 1 | | £2,500 | £0 |
| SUB TOTAL | | | £8,750 | £1,000 |
| Document Management System | | | | |
| Document management system software | 8 | | tbc | 0 |
| SUB TOTAL | | | 0 | 0 |
| Digital Transformation | | | | |
| iApply web submission | | | tbc | |
| Mobile data recording and system access (software and hardware) | | | £10,000 | |
| Large format scanner | | | £ 6,000 | |
| Multiple image pdf viewer | 8 | £140 | £ 1,120 | |
| SUB TOTAL | | | £17,120 | |
| Resourcing implementation | | | | |
| Backfill of project time for testing and data mapping | | | £6,000 | |
| SUB TOTAL | | | £6,000 | |
| Contingency | | | | |
| Contingency | | | £5,000 | |
| SUB TOTAL | | | £5,000 | |
| TOTAL | | | £67,770 | £2,600 |

10 Impacts / Dependencies

The various impacts and dependencies are identified below to assist in the creation of a communications strategy that sets out the means and frequency of communication between the project and the project's stakeholders.

| <i>Who will be impacted by this project – internally and externally</i> | <i>How will they be impacted and is this + or –</i> | <i>Strategy for dealing with impact</i> |
|---|---|--|
| Customers | <ul style="list-style-type: none"> • Change in fee regime could cause loss of market share • Increased customer contact through marketing initiatives • Potential uncertainty | <ul style="list-style-type: none"> • Clear communication and promotion of service |
| Staff | <ul style="list-style-type: none"> • Period of uncertainty • Potential harmonisation of employment contracts • Changes to working practices • Increased use of IT systems • Training needs | <ul style="list-style-type: none"> • Communication Plan • Consultation with Unions • Staff involvement at all stages • Team development programme • Training provided at key stages |
| Human Resources | <ul style="list-style-type: none"> • Resource requirement to assist in staffing issues | <ul style="list-style-type: none"> • Clear programme |
| Finance | <ul style="list-style-type: none"> • Resource requirement to set up financial controls and budgetary system | <ul style="list-style-type: none"> • Clear programme |
| Legal | <ul style="list-style-type: none"> • Resource required for creation of legal agreement | <ul style="list-style-type: none"> • Clear programme |
| ICT | <ul style="list-style-type: none"> • Development of Mid Devon IT systems • Data link between Tiverton and Barnstaple | <ul style="list-style-type: none"> • Consultation with ICT partnership programme |
| Customer Services | <ul style="list-style-type: none"> • Call management of combined services | <ul style="list-style-type: none"> • Communication plan • Joint working group to determine protocols |
| Members | <ul style="list-style-type: none"> • Agreement required • Governance through committee structure | <ul style="list-style-type: none"> • Communication Plan • Clear programme milestones |

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**CABINET
10 MARCH 2016**

Updated Data Protection Policy

Cabinet Member Cllr C Slade
Responsible Officer Christina Cross - Head of Business Information Systems

Reason for Report: Policies are periodically reviewed and updated.

RECOMMENDATION(S): To note updated Data Protection Policy (attached).

Relationship to Corporate Plan: None arising from this report.

Financial Implications: Risk of monetary penalties if Data Protection regulations are not observed.

Legal Implications: Legislative requirement to have active policies in place.

Risk Assessment: Negligence in failing to comply with Data Protection requirements could result in:

- loss of trust by public and staff
- monetary penalties imposed by Information Commissioner

1.0 Introduction

1.1 The Council has had a Data Protection Policy in place for some years to comply with legislation. This is regularly reviewed and updated, usually every three years.

1.2 The policy has been updated in line with current legislation with the right to erasure (also known as 'right to be forgotten') and the procedure for managing violations by officers and members. The designated Data Protection Officer is Head of Business Information Services.

2.0 Training

2.1 Refresher training for Data Protection will be carried out as briefings for Councillors but also using the Corporate eLearning system <http://mddcpol/UserHome/Policies/Default.aspx> where all Officers and Councillors will be required to revisit their reading and acceptance of the Data Protection Policy.

3.0 **Future of Data Protection**

- 3.1 The Council of the European Commission has revised the current directive and it is in the process of being changed to a Regulation. This means more stringent application and implementation, the details of which are still be worked out.
- 3.2 Therefore there may be an earlier revision of the Data Protection Policy to meet the required changes.

Contact for more Information: Christina Cross 01884 234912 /
ccross@middevon.gov.uk

Circulation of the Report: Cllr Colin Slade and Management Team

List of Background Papers: none

Mid Devon District Council

Data Protection Policy

Policy Number: ICT 0003

January 2016

Version Control Sheet

Title: **Data Protection Policy and Guidance**

Purpose: **To detail the commitment of Mid Devon District Council to the protection of personal data, and to advise Officers, and Members, on the standards to be implemented regarding personal data processing.**

Owner: **Head of BIS**
ccross@middevon.gov.uk
01884 234912

Version Number: **4.0**

Status: **Final**

Review Frequency: **Every three years**

Next review date: **January 2019**

Consultation **This document was sent out for consultation to the following:**
Management Team

Document History

This document obtained the following approvals.

| Title | Date | Version Approved |
|-----------------|--------------------------|-------------------------|
| Head of BIS | 2 nd Feb 2016 | 4.0 |
| Management Team | 2 nd Feb 2016 | 4.0 |
| Cabinet | | 4.0 |

Mid Devon District Council

Data Protection Policy

1. Introduction

Mid Devon District Council is required to control and process personal data by virtue of its provision of services to the residents of the district and the legislative framework governing those services. This requirement to collect and process personal information is critical to the work carried out by Officers and Members.

Many of our citizens, partners and suppliers have an expectation that they can deal with us in the knowledge that the Council will process their data properly.

The Data Protection Act 1998 provides the legislative framework and this policy provides the specific guidance for processing personal data within the Council.

2. Related Documents

- ICT 0001 Information Security Policy
- ICT 0014 Information Security Incident Policy

3. Scope

This policy applies to everybody who has access to any personal data held by, or on behalf of, Mid Devon District Council.

In order to operate efficiently, Mid Devon District Council has to collect and use information about people with whom it works and for whom it provides services. These may include members of the public, current, past and prospective employees, clients and customers, and suppliers.

In addition, the Council may be required to collect and process information in order to comply with specific legislative requirements.

The Data Protection Act requires that this personal information must be fairly collected and properly handled, however it is collected, recorded and used, and whether it be on paper, in computer files or recorded by any other means.

The Council must ensure that all Employees, Elected Members, Contractors, Agents, Consultants, Partners or other servants of the council who have access to any personal data held by, or on behalf of the Council, are fully aware of and abide by their duties and responsibilities under the Act.

4. Policy Statement

The Council regards the lawful and correct treatment of personal information as very important to its successful operations and to maintaining confidence between the council and those with whom it carries out business. The Council will ensure that it treats personal information lawfully and correctly.

To this end the council fully endorses and adheres to the eight Principles of Data Protection as set out in the Data Protection Act 1998.

The principles of data protection

The Act stipulates that anyone processing personal data must comply with **Eight Principles** of good practice. These Principles are legally enforceable.

The Principles require that personal information:

1. Shall be processed fairly and lawfully and in particular, shall not be processed unless specific conditions are met;
2. Shall be obtained only for one or more specified and lawful purposes and shall not be further processed in any manner incompatible with that purpose or those purposes;
3. Shall be adequate, relevant and not excessive in relation to the purpose or purposes for which it is processed;
4. Shall be accurate and where necessary, kept up to date;
5. Shall not be kept for longer than is necessary for that purpose or those purposes;
6. Shall be processed in accordance with the rights of data subjects under the Act;
7. Shall be kept secure i.e. protected by an appropriate degree of security;
8. Shall not be transferred to a country or territory outside the European Economic Area, unless that country or territory ensures an adequate level of data protection.

The Act provides conditions for the processing of any personal data. It also makes a distinction between **personal data** and **“sensitive” personal data**.

Personal data is defined as, data relating to a living individual who can be identified from:

- That data or
- That data and other information which is in the possession of, or is likely to come into the possession of the data controller and includes an expression of opinion about the individual and any indication of the intentions of the data controller, or any other person in respect of the individual.

Sensitive personal data is defined as personal data consisting of information as to:

- Racial or ethnic origin;

- Political opinion;
- Religious or other beliefs;
- Trade union membership;
- Physical or mental health or condition;
- Sexual life;
- Criminal proceedings or convictions.

The aim of the policy is to ensure a legal framework for managing the District Council's processing of Personal Data and to ensure that the Council:

- creates and captures authentic and reliable records to demonstrate evidence, accountability and information about its decisions and activities
- facilitates auditing and protects its legal and other rights by
 - maintaining personal records securely and preserving access to them
 - disposing appropriately of personal records that are no longer required
 - maintaining the accuracy of personal records
 - conforming to legal and statutory requirements relating to personal record keeping

5. Identification of roles and responsibilities

- The Chief Executive of Mid Devon District Council is ultimately responsible for ensuring proper application of Data Protection within Mid Devon District Council with the Head of BIS responsible for overseeing the day to day implementation of the Data Protection principles by Services in relation to personal data management as set out in this policy.
- The Head of BIS will provide the link between Management Team, Data Protection, Freedom of Information and Records Management practices. Where appropriate, this post will co-ordinate activities, such as maintaining the Corporate Document Retention Schedule and Publication Scheme.
- Heads of Service are responsible for the management of personal data processed by their services, in accordance with this policy, and ensuring that all staff are aware of Data Protection requirements.
- All Councillors and Employees of Mid Devon District Council will be responsible for ensuring that the personal data they control in relation to their work that is maintained in accordance with the data protection principles.
- All Staff have the responsibility of ensuring compliance with the requirement of Data Protection legislation and this is included in their job descriptions

6. Training and Awareness

Since any Mid Devon District Council employee may be involved in creating, maintaining and using personal information/records, it is vital that everyone understands their responsibilities as set out in this policy. All Officers and Councillors are required to have read and accepted the Data Protection Policy and in

so doing agree to act in accordance with it and the data protection principles referred to above. This will be renewed annually. Heads of Service will ensure that staff responsible for managing personal data are appropriately trained or experienced and that all staff understand the need for proper management of personal data.

A training programme will be established to ensure that all staff are aware of their obligations concerning Data Protection, as well as Freedom of Information and Information/Records Management.

7. Handling of personal/sensitive information

Mid Devon District Council will apply, through this policy, appropriate management and the use of controls:-

- Observe fully conditions regarding the fair collection and use of personal information;
- Meet its legal obligations to specify the purpose for which information is used;
- Collect and process appropriate information - only to the extent that it is needed to fulfil operational needs or to comply with any legal requirements;
- Ensure the quality of information used;
- Apply checks to determine the length of time information is held and ensure it is appropriately disposed of after use;
- Take appropriate technical and organisational security measures to safeguard personal information held;
- Ensure that personal information is not transferred abroad without suitable safeguards;
- Ensure that the rights of people about whom the information is held can be fully exercised under the Act.

These include:

- The right to be informed that processing is being undertaken;
- The right of access to their personal information within the statutory 40 days;
- The right to prevent processing in certain circumstances;
- The right to correct, rectify, block or erase information found to be wrong.
- The right to erasure (also known as 'right to be forgotten')

In addition, the Council will ensure that:

- There is an officer with specific responsibility for data protection in the Council;
- Everyone managing and handling personal information understands that they are contractually responsible for following good data protection practice;

- Everyone managing and handling personal information is appropriately trained to do so;
- Everyone managing and handling personal information is appropriately supervised;
- Anyone wanting to make enquiries about handling personal information, whether a member of staff or a member of the public, knows what to do;
- Queries about handling personal information are promptly and courteously dealt with;
- Methods of handling personal information are regularly assessed and evaluated;
- Data sharing is carried out under a written agreement, setting out the scope and limits of the sharing. Any disclosure of personal data will be in compliance with approved procedures.

All Elected Members are to be made fully aware of this policy and of their duties and responsibilities under the Act.

All managers and staff will take steps to ensure that personal data is kept secure at all times against unauthorised or unlawful loss or disclosure and in particular will ensure that:

- Paper files and other records or documents containing personal/sensitive data are kept in a secure environment;
- Personal data held on computers, mobile devices and computer systems is protected by the use of secure passwords, which have forced changes periodically;
- Individual passwords should be such that they are not easily compromised.

All contractors, consultants, partners or other servants or agents of the Council must:

- Ensure that they and all of their staff who have access to personal data held or processed for or on behalf of the council, are aware of this policy and are fully trained in and are aware of their duties and responsibilities under the Act. Any breach of any provision of the Act will be deemed as being a breach of any contract between the council and that individual, company, partner or firm;
- Allow data protection audits by the council of data held on its behalf (if requested);
- Indemnify the council against any prosecutions, claims, proceedings, actions or payments of compensation or damages, without limitation.

All contractors who are users of personal information supplied by the council will be required to confirm that they will abide by the requirements of the Act with regard to information supplied by the council.

8. Disclosure of Personal Data

Personal Data will only be disclosed in accordance with the provisions of the DPA

Any member of the public is entitled to request copies of all personal information that the Council holds about them. This is called a Subject Access Request (SAR).

Subject Access Request forms should be completed by the person requesting their information and submitted to the Data Protection Officer, with the appropriate fee and proof of identification. When the Subject Access Request has been received, along with the relevant fee, the information should be provided within 40 calendar days.

Please note that where certain documents or files contain the personal information of several different people, this will be redacted in accordance with the DPA before releasing the information.

9. Violations of Rules and Procedures

- It is the responsibility of all employees to report any suspected breaches of the DPA or of this policy to their Head of Service using the Information Security Incident form at the end of that policy (ICT 00014)
- It is the responsibility of all Members to report any suspected breaches of the DPA, or this policy, to the Chief Executive.
- Disciplinary action in accordance with procedures approved by the Council, may be taken against any employee or Member who deliberately breaches the DPA, or the requirements of this policy. Failure to comply by partners, agents or contractors may constitute a breach of their agreements.

10. Implementation

The Head of BIS has been appointed with overall responsibility for coordinating consistent Data protection implementation across the Council. Heads of Service will be responsible for ensuring that the Policy is implemented within their services. Implementation will be led and monitored by the Head of BIS who will also have overall corporate responsibility for:

- The provision of cascade data protection training, for staff within the council.
- For the development of best practice guidelines.
- For carrying out compliance checks to ensure adherence, throughout the authority, with the Data Protection Act.

11. Notification to the Information Commissioner

The Data Protection Act 1998 requires every data controller, who is processing personal data, to notify the Information Commissioner, and to renew their notification

on an annual basis. Any changes to the register must be notified to the Information Commissioner, within 28 days. Failure to notify is a criminal offence.

Mid Devon District Council is registered and appears on the public register of data controllers maintained by the Information Commissioners Office.

The Head of BIS is responsible for notifying and updating the Information Commissioners Office of the processing of personal data.

Any changes made to the processing of personal data between annual notifications must be brought to the attention of the Head of BIS immediately.

12. Review of Policy

This policy will be reviewed in 2019 or sooner if legislation changes and then in accordance with the publication scheme review.

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CABINET 10 MARCH 2016

ASSET MANAGEMENT AND CAPITAL STRATEGY PLAN (CORPORATE)

Cabinet Member Cllr R Stanley
Responsible Officer Nick Sanderson, Head of Housing & Property Services

Reason for Report: To bring to members' attention the revised Asset Management and Capital Strategy Plan for 2016 - 2020

RECOMMENDATION: that
The Cabinet endorse this Capital Strategy and Asset Management Plan 2016 – 2020 that provides the base for future asset management planning for the Council.

Relationship to Corporate Plan: Property assets are linked to the delivery, vision and priorities of the Council. The way that the Council manages its land and property assets has a direct impact on the quality of services delivered as well as maximising the value derived from our property holdings for the on-going contribution in balancing the Councils budgets. It is, therefore, important that efficient and effective use is made of our asset portfolio to support corporate and service objectives.

Financial Implications: The delivery of this strategy will ensure best use of resources in a wide area of activities.

Legal Implications: None directly arising from this report.

Risk Assessment: Risk Assessments will be carried out on individual projects to mitigate risks.

1. Introduction

1.1 This Asset Management Plan (AMP) has been revised with clear intent:

- To invest our capital in existing and new assets with the intent to reduce revenue running costs over the life of a building, or to generate an income stream from rentals.
- To provide the right assets in the right place at the right time from which to deliver our services.
- To maximise the Estate's value for money.
- To capitalise on the potential for a new investment based approach to commercial property opportunities, which will deliver low risk, sustainable revenue income for the Council in the medium to long term.
- To enable the objectives of the Business plan for Property Services to be met.

- 1.2 The AMP details how the Council manages our Estate and describes how we shall treat all properties as a Council asset and how they will be managed strategically by our Estates and Property Services Team that ensure Corporate landlord responsibilities are met.
- 1.3 The AMP places our Property Assets at the centre of Council decision-making, acknowledging the importance and financial value, its value in the support of services and the need for property matters to be linked and considered on the business plans across all services.
- 1.4 The AMP identifies principles to improve and regularly review our services and establish future methodologies for the creation of a fit for purpose property portfolio for the Council, which is required to be effective and efficient.
- 1.5 The Corporate Plan objectives can directly impact on the property from which we operate and the investment decisions we make. The governance and review process defined within the AMP ensures these priorities are considered during the decision making process.

2. Assessment of the need for the Asset Management Plan – (SWOT Analysis)

2.1 Strengths/Opportunities - maintaining the status quo brings the following:

- We will not bear the costs of Asset Management Planning in terms of data collection, analysis and programme formulation.
- Service areas can operate independently, bringing a perception of empowerment and swiftness of decision making, such as leisure services.
- Demonstrate value for money.

2.2 Weakness/Threats - the importance of Asset Management is critical and failure to implement could result in the following:

- Unable to make a judgement to our approach to property which can lead to risks of duplication, increased cost and poor utility management.
- Enter into occupancy agreements with third parties in circumstances that may disadvantage the Council.
- Expend resource on and offer services from unsuitable premises.
- The true cost of property is not understood, nor its importance concealed within the business planning processes of the Council's Service Delivery units.
- Miss opportunities for asset sharing with other parties including local authorities, blue light services and Parish Councils.
- Fail to achieve maximum value from our assets base.

3. Annex A – Asset Management Action Plan

- 3.1 The AMP proposes additional works in order to take forward its recommendations. These include the formulation of a property review process; the making of an approach to property investment portfolio creation and the on-going maintenance of property information to ensure sound decision making going forward and Capital financial planning.

4. Asset Management Plan Implications

4.1 Property

The property implications from following the recommendations within the AMP could be profound. We should expect improved property, greater cross service sharing, increased capital receipts and an increase in revenue income resulting from property review and Capital investment.

4.2 Financial

There are no financial implications directly arising from this report. Sound management of our assets will always require a sufficient maintenance budget in order that the life and usage of our assets is maximised.

The costs of asset management are included in the recharges to those services that make use of the asset. Where sales and disposals occur then the net available income is made available to meet Corporate priorities outlined in our Corporate Plan.

4.3 Other Implications

The expectation is that levels of stakeholder engagement relating to property matters will increase as a result of this AMP. It requires information from building users, visitors, managers and planners to create a future property portfolio that is good value, suitable for purpose and sustainable.

The adoption of AMP is a Corporate issue which may impact across all divisions. Where the action affects a particular division in relation to disposal or acquisition of a property asset or interest, then each relevant Member will be consulted in accordance with current practice as well as our Management team.

5. Communication

- 5.1 Consultation and/or the establishment of working groups with affected services or stakeholders may be required and will be undertaken as a result of the Asset Management Plan's adoption and the pursuit of the recommended review process, for example a working group has been set up for the recycling depot relocation. Broader issues will be communicated using digital communication methods, such as internet links, emails and our Customer First team.

6. Progress monitoring

- 6.1 Progress will be monitored by providing quarterly updates using highlight reports to the Capital Strategy Asset Management Group (CSAG). In addition, individual areas of interest or concern will be subject to regular personal updates with the Cabinet Member for Housing and Property Services.
- 6.2 The CSAG meeting also includes the monitoring of the Council's medium term capital programme.
- 6.3 The AMP also contains performance measures which will be subject to annual reporting to the CSAG. This is expected to begin in May 2016. They measure the fitness and efficiency of our estate and are expected to be benchmarked against similar public bodies via the CIPFA methodologies.

7. Review

- 7.1 The policy forming part of this decision will be reviewed after 12 months.

Contact for more information: Nick Sanderson, (01884) 234960 or Andrew Busby, 01884 234948

Background Papers:

File Reference:

Circulation of the Report: Management Team and members of the CSAG/Capital Strategy and Management Group

Annex A - Asset Management Action Plan

| ACTION | BENEFIT TO COUNCIL | HOW TO ACHIEVE THIS | RESOURCES NEEDED | LEAD OFFICER | DATES CSAG to be agreed |
|---|--|--|--|---|-------------------------|
| 1. Review and amendment of Asset Management Plan Performance Management | Link to Corporate Plan 2016 – 2020 | Implement management practices and assign 'SMART' targets | Estates & Property services | Estates Manager Development Services Manager | |
| 2. Promote the improvement of the use of Council's assets Develop ways for all services to become aware of positive asset management ie. business plans Asset Management Plan needs to be 'promoted' once updated | Improved awareness of asset management; improved use of available skills & knowledge. Promoting proactive management Reducing reactive costs | Awareness training sessions. Publication of updated asset management plan | Learning & Development HR Business Partners | Estates Manager | |
| 3. Improve benchmarking and sharing of information within nearest neighbours group | Improve quality of asset management plan. Identify where efficiencies will be achieved Identify internal rate of return, so that assets not meeting this return can be selected for disposal | Revision as per Action 1 (above) | Estates Management & Property Services Team. Estates Manager to set up a working group with other property managers from other authorities. | Estates Manager | |

| ACTION | BENEFIT TO COUNCIL | HOW TO ACHIEVE THIS | RESOURCES NEEDED | LEAD OFFICER | DATES CSAG to be agreed |
|--|---|---|---|-------------------------------------|-------------------------|
| 4. Integrate capital strategy into the asset management plan | Co-ordinated support for the corporate plan through integration of asset management plan/capital strategy/ medium term financial plan | Working with Finance service | Finance Manager for Capital Development Services Manager Contracts Manager | Estates Manager | |
| 5. Improve professional skills/training Continuous professional development | Improved quality of asset management | Appraisals; On-the-job training provision | Estates and Property Services team | Development Services Manager | |
| 6. Identify strategic/key partners for collaborative working and develop a Community Asset Transfer Policy | Improved capacity and cost-effectiveness through partnership working | Explore shared service opportunities | Estates and Property Services team | Head of Housing & Property Services | |
| 7. Implement CAPS Estate Module and Quality Assurance Land Terrier | Avoids duplication of records. Certainty over asset base Reduce database maintenance requirements | Cross-service working group using Prince 2 approach | Estates and Property Services team | Estates Manager | |

| ACTION | BENEFIT TO COUNCIL | HOW TO ACHIEVE THIS | RESOURCES NEEDED | LEAD OFFICER | DATES CSAG to be agreed |
|---|---|---|------------------------------------|------------------------------|-------------------------|
| 8. Improve energy efficiency and continue to reduce consumption | Cost savings Achieves Corporate Plan objective | Identify additional 'ESCO' opportunities | Estates and Property Services team | Contracts & Services Manager | |
| 9. Review & report based on 'outcomes' of the reduction in revenue maintenance budget To include: Risks Future expenditure requirements in relation to plant and asset replacement | Awareness of risks and costs of reductions to planned preventative maintenance | Incorporate in Action 1 (above) | Estates and Property Services team | Technical Administrator | |
| 10. Analysis of value for money Cemeteries Parks and Open Spaces Grounds Maintenance | Contributes to effective use of resources. Potential efficiency increases/cost reductions identified | Benchmarking (see Action 3 above) – results to be included in estates management business plan with SMART targets | Estates and Property Services team | Estates Manager | |

| ACTION | BENEFIT TO COUNCIL | HOW TO ACHIEVE THIS | RESOURCES NEEDED | LEAD OFFICER | DATES CSAG to be agreed |
|---|--|---|--|-------------------------------------|-------------------------|
| 11. Improvement to the planning consultation process regarding 106/CIL | Improved consideration of the impact of development on existing assets and added robustness to adoption procedures for new assets | Liaise with Planning Service | Regular review meetings with Planning Officers | Development Services Manager | |
| 12. Continue to deliver Capital projects that supports the Corporate Plan 2016 – 2020 | Improved use of asset management expertise at project design stage | Involvement in CSAG | Estates & Property Services team | Head of Housing & Property Services | |
| 13. Revise and review Asset Management Plan annually plus initiate annual review as good practice | Improved management of assets Increased internal rate of return Reduced reactive maintenance costs Improved risk management | Annual review. Continued research for opportunities. | Estates & Property Services team CSAG | | |

DRAFT ASSET MANAGEMENT AND CAPITAL STRATEGY PLAN 2016 - 2020

Mid Devon District Council

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Insert forewords from (to be added following approval)

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Leader, Mid Devon District Council

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Mid Devon District Council

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Mid Devon District Council

1 Introduction

The Asset Management Plan (AMP) sets out the Council's approach to the Strategic Management of its land and building assets. It is developed in consultation between the Senior Officers and Members of the Council that form the Capital Strategy Asset Management Group (CSAG). The AMP seeks to ensure that assets are used in the most effective and efficient way to support the delivery of the Corporate Plan.

Property Services Business Plan Mission Statement

"Our service vision stated in our business plan is to maximise the value derived from our property holdings for the community by delivering an innovative, sustainable and efficient corporate property service that meets our stakeholders' needs. To be recognised as a forward-thinking, proactive service."

2 Context

Please see Appendix 1 for information on how the AMP relates to other strategic documents of the Council. The structures, roles and responsibilities adopted by the Council in respect of Asset Management are set out in Appendix 2.

3 Why are property assets important to our organisation?

Property assets are linked to the delivery, vision and priorities of the organisation. The way that the Council manages its land and property assets has a direct impact on the quality of services delivered to the public along with shaping the built landscape of a community. It is, therefore, important that efficient and effective use is made of these assets to support corporate and service objectives.

4 Why do we need Asset Management?

Asset Management provides a structured process to ensure best value for money from property assets in serving the strategic needs of the organisation. Property assets are expensive, in terms of both their capital value, annual maintenance and running costs; they need to be carefully managed to ensure best value through their use, maintenance and generation of income. It takes time to carefully determine new property needs and to procure and provide them.

The AMP provides a strategic overview of Mid Devon District Council's property portfolio, specifically providing:

- An illustration of how property assets support the Council's Corporate Priorities.
- Action required to support corporate and service strategies.
- Proposals for improving the effectiveness and efficiency of the portfolio.

The need for Asset Management is further explored at Appendix 3.

The table below identifies our Stakeholders'.

STAKEHOLDER LIST

| Stakeholder | Priority | Internal / External | Needs |
|--|-----------------|----------------------------|---|
| Members of the public | High | External | To have access to public buildings and for those buildings to be safe and fit for purpose. |
| Members of the Council | High | Internal | To be kept informed and provided with accurate information so informed decisions can be made. |
| Town and Parish Councils | Medium | External | To be consulted on work activities that are going on within their parish from installing dog bins to new developments. |
| Charity organisations that use the buildings, such as Shop mobility & Citizens Advice Bureau | Medium | External | A fit for purpose building in order to carry out their day to day business. |
| Leisure Centre management | High | Internal | Well maintained and fit for purpose buildings so that income targets can be met and their customers return to use the facilities. |
| MDDC Employees | High | Internal | To be able to carry out their work in a comfortable and safe office environment. |
| Commercial Tenants inc. Market Walk | High | External | To maintain Landlord obligations to ensure a fit for purpose building in order to carry out their day to day business. |

5 Corporate asset objectives

The overall objective of the Council in the management of its property portfolio is to utilise and manage its land and property assets in accordance with the principles of Best Value; so as to enable high quality services to be provided to our stakeholders. Property can drive corporate objectives and organisational change; this is achieved by recognising and adopting the following objectives:

- To ensure that retained assets are suitable for their proposed/existing use, are fit for purpose, represent value for money and support improved service delivery.
- To challenge the need for property and examine in the context of the opportunity; cost the justification for its continued use including the provision of services.
- To provide innovative accommodation solutions for the provision of appropriate, attractive, accessible and safe means of obtaining services for our stakeholders.
- Provide an appropriate, attractive, secure and safe working environment that motivates employees.
- Minimise, in all respects, the impact of the Council's buildings on the environment throughout their life.
- To ensure the Council's property assets comply with Statutory/Regulatory Codes and are managed efficiently.
- To ensure that the disposal of surplus assets links with the Medium Term Capital and Revenue Financial Plans.
- To identify land for Affordable Housing developments.

6 Portfolio overview - what does the Council own?

Mid Devon District Council holds a wide and varied portfolio of Property and Building Assets comprising non-residential properties and areas of open space with a net book value of circa £40 Million.

The Council's portfolio can be split into three main types of property:

- 1 For the purpose of direct service delivery, such as parks & open spaces and leisure centres.
- 2 To support service delivery, for example administrative offices and depots.
- 3 Tenanted non-residential property. This part of the portfolio is varied. The assets have been made available for a range of reasons; such as the potential to contribute to future regeneration schemes, provide employment, or to retain control over property use. In addition, some properties in the portfolio provide valuable revenue income such as our Market Walk and Fore Street properties.

The housing stock is managed by the Housing Service and is subject to its own Housing Strategy and Housing Revenue Account Business Plan. The management of these assets is outside the scope of this Asset Management Plan.

7 What have we achieved so far?

The Council adopted the principal of strategic asset management in 2003 with the publication of its first Corporate Property Asset Management Plan.

- 1 PROPERTY REGISTER – CAPS database bringing together property information from different software systems across the Council.
- 2 PHOENIX HOUSE - space rationalisation and creation of the Phoenix Chamber.
- 3 FINANCIAL CODING – enabling accurate and more reliable cost recording against individual property assets.
- 4 CAR PARKS REVIEW – collation of car parks information and review of provision in district by a working group consisting of Members and Officers.
- 5 ENERGY MANAGEMENT/ CARBON REDUCTION - energy saving performance contract - 12 year contract with Anesco.
- 6 MANAGEMENT OF LAND DRAINAGE - Flood Management Act.
- 7 DEVELOPMENT OF EMPLOYERS REQUIREMENTS - building design for Affordable Housing Developments.
- 8 CAPITAL DISPOSAL PROGRAM - managed by the CSAG receipts towards capital programme (in addition to usual capital receipts).
- 9 TIVERTON TOWN REGENERATION PROGRAMME – masterplan setting the programme for priority projects, including enhancement and redevelopment of assets owned by the Council.
- 10 LORDS MEADOW LEISURE CENTRE - regeneration, including upgraded fitness gym, sports hall, dance studio with training room and overflow parking provision.
- 11 OPEN SPACE STRATEGY.
- 12 MID DEVON LOCAL PLAN.
- 13 MARKET WALK TIVERTON - purchase of Market walk.
- 14 AFFORDABLE HOMES – development schemes to provide affordable homes: Well Park Crediton, Fir Close Willand, St Andrews Street, Tiverton - refurbishment of surplus property to provide dwellings.
- 15 PUBLIC CONVENIENCIES - working with Town and Parish Councils to secure funding to continue the service or find alternative uses.
- 16 TIVERTON SKATEBOARD PARK - secured funding to deliver community asset.

8 How do our land and building assets support the priorities of the Corporate Plan and how will this support be maintained and improved?

Set out below is an illustration of how property assets support the Council's priorities and the actions required to improve the performance of the portfolio in relation to the delivery of Corporate and Service objectives.

Business Strategies

Corporate Plan 2016 - 2020

Climate Action Plan

Mid Devon Local Plan

Corporate Plan Objectives

HOMES

Corporate objectives:

- Building more Council houses
- Building more homes in the District
- Supporting more affordable homes across the District
- Planning and enhancing the built environment

Council House Building

Mid Devon District Council recognises that it is important to do what it can to meet our housing needs and plans to deliver at least a further 300 Council homes over the next four years. In support of the Council's priority to deliver a significant increase in affordable homes in the District, the following projects are currently being undertaken in respect of the Council's own property assets:

- 1 Conversion of car park to deliver 6 new affordable dwellings in Fir Close, Willand.
- 2 Audit of potential open sites on or adjacent to existing council housing estates that could be used to deliver affordable housing including garage sites.

- 3 St Andrews Street, Tiverton - refurbishment of listed building and surplus property to create 14 new affordable dwellings.
- 4 Planning submitted for 26 new affordable homes on the old allotment and garage site at Palmerston Park, Tiverton.
- 5 Birchen Lane, Tiverton - conversion of end of life commercial unit to create 4 one bed affordable apartments.
- 6 Waddeton Park, Tiverton. Land purchased for 60-70 new affordable homes.

ECONOMY

Corporate objectives:

- Bringing new businesses into the District
- Business development and growth
- Improving our Town Centres
- Grow the tourism sector

Mid Devon District Council will continue to work towards a better local economy.

Business Forum Mid Devon

Mid Devon District Council will continue to work with the Business Forum Mid Devon to continue a good relationship with the local business community and understand their needs. Members and senior officers will be made available to answer questions from the business community.

Business Improvement Districts

The Council will support any of our town centres, should the Business Community wish, to create a Business Improvement District to help raise funding for schemes to improve economic prosperity.

Small and Start-Up Business Advice

The Council will ensure that small and start-up businesses within Mid Devon will continue to receive access to free initial business advice from suitable consultants.

Affordable Retail Units

The Council plans to provide a trial of one or two small retail units within a town centre location; which will be available at a lower rent and a shorter tenancy, to help new retail businesses open within our town centres. This will allow new retail businesses to open with a reduced risk burden.

Town Teams

The Council will continue to work with the existing Town Teams in Tiverton, Crediton and Cullompton to help promote their towns.

Town Centre Car Parking

Mid Devon have introduced £1 for 5 hours parking in our long stay car parks in Tiverton, Crediton and Cullompton, as well as £2 for 10 hours. This benefits businesses, visitors, shoppers and those working in the town. The Council are committed to the principle of low cost, long stay parking in our town centres.

Opportunities for Growth

Mid Devon District Council have recently created a full time Economic Development post, which is responsible for working with businesses, both from inside and outside the district and to offer assistance to businesses to find suitable premises to expand into. The Council are committed to working with businesses to help increase the number and quality of jobs within the district.

COMMUNITIES

Corporate priorities:

- Working with local communities to encourage them to support themselves.
- Working with Town and Parish Councils.
- Increasing activity and promoting health and wellbeing.

Mid Devon District Council have supported a wide range of local community projects in recent years across the district, such as the Tiverton Skateboard Park and also maintain grant payments to the following groups at a consistent level.

- Grand Western Canal
- Age UK
- CHAT
- Tiverton Museum of Mid Devon Life
- Tourist Information Service

Further community groups who have continued to be supported are:

- Involve
- Citizen Advice Bureau
- Tiverton and Crediton Community Transport

The Council have also created a seed fund (in 2012) which has benefitted a number of local community projects.

Leisure Centres

Over the last four years the Council have invested in facilities at all three of our leisure centres.

Lords Meadow Leisure Centre in Crediton benefitted from a redevelopment, creating improved fitness and training areas as well as a new All Terrain Pitch with high performance flood lighting.

Our Sports Centre in Cullompton recently celebrated its 30th anniversary and held an open day with an improved fitness suite and refurbished reception and public areas.

Exe Valley Leisure Centre has a newly extended car park, new spinning studio and upgraded fitness equipment. There are also plans to extend the fitness area, which will result in an increase in capacity by approximately 300m².

Since this investment, the Council has seen a 36% increase in users across the district. The Council continue to be committed to investing in our leisure centres to increase their viability.

The Council also have plans to introduce a trial Trimtrail in a Tiverton Park.

ENVIRONMENT

Corporate plan:

- Increasing recycling and reducing the amount of waste going to landfill.
- Reducing our carbon footprint.
- Protecting the natural environment.

Mid Devon District Council have invested in a wide range of environmentally friendly activities to reduce our energy usage that include solar panels on Council houses, heat pumps in Council house areas without gas, batteries for storage of solar energy, solar panels on corporate buildings and a biomass boiler in Lords Meadow Leisure Centre. This has resulted in lower electricity costs for our housing tenants, as well as generating income.

The Council entered into a 12 year Energy Savings Performance Contract where agreed KWH targets were set for Phoenix House, Multi Storey Car Park, Lords Meadow Leisure Centre, Exe Valley Leisure Centre and Culm Valley Sports Centre. Year 2 verified energy savings show that we have exceeded our energy target for 2014-15. By entering into the Energy Saving Contract, we have not only saved on our electricity bill, but also our capital budget for replacing Air Handling Units and LED Light Fittings.

The Council will continue to apply energy saving measures, where possible, on brown field sites including new industrial units to mix Green Energy with development.

Waste & Recycling

Property services are actively investigating alternative sites for our Recycling Depot following the expansion of the service.

9 Mid Devon Infrastructure & Planning

Policies and useful documents are shown below

- Retail Study 2012 <https://new.middevon.gov.uk/media/103524/retail-study-2012.pdf> (Appendices are also on the evidence page of our website here <https://new.middevon.gov.uk/planning-policy/local-plan-review-evidence-base/>)
- Employment Land Review 2013
<https://new.middevon.gov.uk/media/103536/economy-land-review-2013.pdf>
- Strategic Commercial Land Availability Assessment 2014 https://new.middevon.gov.uk/media/85198/sclaa_site_appraisals_2014_final.pdf (pages 1-30 for sites assessed in Tiverton)
- Core Strategy 2007
https://new.middevon.gov.uk/media/103617/core_strategy_adopted.pdf
(policies COR12 and COR13)
- Allocations and Infrastructure DPD 2011
https://new.middevon.gov.uk/media/103618/final_version_of_the_aidpd_january_2011_.pdf (Tiverton allocations)
- Local Plan part 3: Development Management Policies 2013
https://new.middevon.gov.uk/media/103619/local_plan_part_3_adopted_october_2013.pdf (especially DM16)
- Local Plan Review 2013 – 2033 Proposed Submission
https://new.middevon.gov.uk/media/114000/local_plan_proposed_submission.pdf and maps <https://new.middevon.gov.uk/planning-policy/local-plan-review/local-plan-review-maps/>

Tiverton Town Centre Regeneration

Senior officers and Members are looking to enhance Tiverton Town centre and to develop a master plan that will be sent out for public consultation during 2016.

The guide below aims to be a resource and a starting point for our master plan in order to improve our town centre and to offer advice and information in the following areas:

Working Together

| | MDDC | Town Team | Town Council | Town Centre Manager | Business Improvement District (BID) |
|---|------|-----------|--------------|---------------------|-------------------------------------|
| Building partnerships | ✓ | ✓ | ✓ | ✓ | |
| Governance and structure | | | | | ✓ |
| Plan-do-review cycle | ✓ | | | ✓ | ✓ |
| Build a vision; make the right plans | ✓ | ✓ | ✓ | ✓ | ✓ |
| Partnership skills audit | | | | | ✓ |
| Building an evidence base | ✓ | ✓ | | ✓ | ✓ |
| Engaging with Landlords | | ✓ | | ✓ | ✓ |
| Forming a Membership Scheme | | ✓ | | ✓ | ✓ |
| Developing Business Improvement Districts | ✓ | ✓ | ✓ | ✓ | ✓ |
| Talking to your local partnership | ✓ | ✓ | ✓ | ✓ | ✓ |
| Attracting funding and sponsorship | ✓ | | | ✓ | ✓ |
| Being charitable | ✓ | | | | |

Building Resilient, Balanced Town Centres

| | MDDC | Town Team | Town Council | Town Centre Manager | Business Improvement District (BID) |
|----------------------------------|------|-----------|--------------|---------------------|-------------------------------------|
| Reviewing your business offer | | ✓ | | ✓ | ✓ |
| Generating footfall | ✓ | ✓ | | ✓ | ✓ |
| Tools for a balanced town centre | ✓ | | | | |
| Community rights | | | | | |
| Retaining local business | ✓ | ✓ | | ✓ | ✓ |
| Branding your town centre | | ✓ | | ✓ | ✓ |
| Making great local markets | ✓ | | | | |
| Introducing new markets | | ✓ | | ✓ | ✓ |
| Talking to investors | ✓ | ✓ | | ✓ | ✓ |

Enhancing our Town Centre

| | MDDC | Town Team | Town Council | Town Centre Manager | Business Improvement District (BID) |
|--------------------------------------|------|-----------|--------------|---------------------|-------------------------------------|
| First impressions | ✓ | ✓ | ✓ | ✓ | ✓ |
| Street audits | ✓ | ✓ | ✓ | ✓ | ✓ |
| Designing great places | ✓ | | ✓ | | |
| Removing clutter | ✓ | | ✓ | | ✓ |
| Public wi-fi | | | | | ✓ |
| Litter | ✓ | | ✓ | | |
| Pedestrian signposting or wayfinding | | ✓ | ✓ | ✓ | ✓ |
| Illuminating the public realm | | ✓ | ✓ | ✓ | ✓ |
| Festive lighting | | ✓ | ✓ | ✓ | ✓ |
| Public art | | ✓ | ✓ | ✓ | ✓ |
| Planting and floral displays | ✓ | | ✓ | | ✓ |

Branding, Marketing, PR & Events

| | MDDC | Town Team | Town Council | Town Centre Manager | Business Improvement District (BID) |
|-------------------------------------|------|-----------|--------------|---------------------|-------------------------------------|
| Know your audience | | ✓ | | ✓ | ✓ |
| Town centres and local people | | ✓ | ✓ | ✓ | ✓ |
| Telling a story | | ✓ | | ✓ | ✓ |
| Guides and maps | | ✓ | ✓ | ✓ | ✓ |
| Street parades, shows and events | ✓ | ✓ | ✓ | ✓ | ✓ |
| Entertaining young families | | ✓ | | ✓ | ✓ |
| Town trails | ✓ | ✓ | ✓ | | ✓ |
| Developing a website | | ✓ | | ✓ | ✓ |
| Online shopping | | | | ✓ | ✓ |
| Social media and mobile marketing | | ✓ | | ✓ | ✓ |
| Shouting about success | | ✓ | | ✓ | ✓ |
| Using 'gateway' opportunities | | ✓ | | ✓ | ✓ |
| Local loyalty and voucher schemes | | ✓ | | ✓ | ✓ |
| Marketing with neighbouring centres | | | | ✓ | ✓ |

Safe, Secure Streets

| | MDDC | Town Team | Town Council | Town Centre Manager | Business Improvement District (BID) |
|---|------|-----------|--------------|---------------------|-------------------------------------|
| Creating a crime reduction partnership | ✓ | | | | |
| Radio link networks | ✓ | | ✓ | ✓ | ✓ |
| Community alcohol partnerships | ✓ | | | | ✓ |
| Online crime intelligence technology | | | | | ✓ |
| Community wardens | | | ✓ | | |
| Exclusion schemes | | | | | ✓ |
| Child safe zones and lost children | | | | | ✓ |
| Penalty notices and fixed penalty notices | ✓ | | | | |

Managing Spaces & Street Operations

| | MDDC | Town Team | Town Council | Town Centre Manager | Business Improvement District (BID) |
|---|------|-----------|--------------|---------------------|-------------------------------------|
| Street entertainers | | ✓ | ✓ | ✓ | ✓ |
| Outdoor tables and chairs | | | | ✓ | ✓ |
| A-boards | | | | ✓ | ✓ |
| Street trading and pedlars | ✓ | | | | ✓ |
| Beggars, rough sleepers and the homeless | ✓ | | | | |
| Big Issue vendors | | | | ✓ | ✓ |
| Graffiti and graffiti removal | ✓ | | ✓ | | ✓ |
| Market researchers | | | | | ✓ |
| Face to face fundraisers, charity collections and boxes | ✓ | | | ✓ | ✓ |
| Distribution of free printed material | | | | ✓ | ✓ |
| Pigeons, seagulls and other feathered friends | ✓ | | | | ✓ |
| Trade waste | ✓ | | | ✓ | ✓ |

People, Access & Parking

| | MDDC | Town Team | Town Council | Town Centre Manager | Business Improvement District (BID) |
|------------------------------------|------|-----------|--------------|---------------------|-------------------------------------|
| Getting to and around town centres | ✓ | ✓ | ✓ | ✓ | ✓ |
| Unifying public transport | ✓ | | | ✓ | ✓ |
| Real time transport information | | | | | ✓ |
| Cycle routes and parking | ✓ | ✓ | ✓ | ✓ | ✓ |
| Parents and young families | | ✓ | | ✓ | ✓ |
| Shopmobility | ✓ | | ✓ | ✓ | ✓ |
| Using private car parks | | ✓ | | ✓ | ✓ |
| Parking charges | ✓ | | | | |

Using Vacant Spaces

| | MDDC | Town Team | Town Council | Town Centre Manager | Business Improvement District (BID) |
|------------------------------|------|-----------|--------------|---------------------|-------------------------------------|
| Empty property schemes | ✓ | ✓ | | ✓ | ✓ |
| Community ownership | ✓ | ✓ | ✓ | | |
| Pop-up shops | | ✓ | | ✓ | ✓ |
| Community shops | | ✓ | | ✓ | ✓ |
| Business incubators | ✓ | ✓ | | ✓ | ✓ |
| Creating temporary galleries | | ✓ | | ✓ | ✓ |
| Window dressing | | ✓ | | ✓ | ✓ |
| Introducing a crèche | | | | ✓ | ✓ |

The Evening and Night-time Economy

| | MDDC | Town Team | Town Council | Town Centre Manager | Business Improvement District (BID) |
|---|------|-----------|--------------|---------------------|-------------------------------------|
| Purple flag status | | | | ✓ | ✓ |
| Planning for the evening | ✓ | ✓ | ✓ | ✓ | ✓ |
| Managing the transition between day and night | | ✓ | | ✓ | ✓ |
| Alive after five | | ✓ | | ✓ | ✓ |
| Late night transport | | ✓ | | ✓ | ✓ |
| Evening economy ambassadors | | ✓ | | ✓ | ✓ |
| Light night | | ✓ | | ✓ | ✓ |
| Accreditation schemes for licensed premises | ✓ | | | ✓ | ✓ |
| Street pastors and safe havens | ✓ | ✓ | | ✓ | |

Training, Development & Accreditation

| | MDDC | Town Team | Town Council | Town Centre Manager | Business Improvement District (BID) |
|---|------|-----------|--------------|---------------------|-------------------------------------|
| Local business and industry award schemes | | | | ✓ | ✓ |
| National skills academy for retail | | | | ✓ | ✓ |
| Mentoring and buddy schemes | | | | ✓ | ✓ |
| Learning and best practice | | | | ✓ | ✓ |
| Professional accreditation | | | | ✓ | ✓ |

Schools

Mid Devon District Council have plans in place to address the infrastructure gap in Mid Devon and to work through the planning system to provide new schools to meet future growth needs and demand in the area following our town development plans. There are agreements in place with Devon County Council (DCC) to provide new primary schools within the new urban extensions in Cullompton and Tiverton; the Council will also look at the need for a new primary school in CREDITON.

Junction 28

The Council recognises that Junction 28 will soon be at capacity with improvement required to meet the needs of growth beyond that already identified in the adopted local plan. Options for highway improvements to expand junction capacity are currently being investigated and will need to provide improved access to the network and relieve the current road system.

Town Centre Relief Roads

The Council also recognises that Cullompton requires a relief road to address the major congestion issue at the Town Centre. The Council will investigate potential road building opportunities within the area on either side of the motorway corridor and will be in discussions with DCC regarding this.

Cullompton Railway Link

The government has supported the idea of the creation of a railway station at Cullompton and the creation of a commuter rail link between Taunton and Exeter. The Council will continue to support this initiative where possible. It is actively looking at ways to bring this forward. Planning policies recognise the need for a new railway station.

Broadband

Mid Devon District Council recognises that High Speed Broadband is needed to support our rural areas to farmers and businesses. This is required to enable our local economy flourish.

10 The Benefits of Property Asset Management Planning

While the Council's policy relating to the disposal and acquisition of public open space is under review, all land acquisition via the s106 process is considered by the CSAG group before any legal agreement is authorised.

Community Asset Transfer: Establishment of clear procedural policies including option appraisal. (Appendix 5)

Condition of the existing Estate

- i Running Costs:** Alignment of operating costs with a property code to enable analysis. Data will be extracted then to inform and shape the property reviews.
- ii Condition Surveys:** Carried out on non-housing stock on rolling basis. (Appendix 6) Planned maintenance programme now in place.
- iii Statutory Compliance:** There is a programme of statutory inspections and surveys in place.

Data Management:

Comprehensive property database now established to combine property, financial and management information. Work continues to refine data. (Appendix 8)

Tenanted non-residential property (TNRP) Review (Appendix 7):

The Council will challenge and review asset ownership through an assessment of efficiency, effectiveness and affordability. This will ensure that this part of the estate is fit for purpose. Assets that do not fulfil the Council's strategic priorities and/or do not provide a positive rate of return, could be sold or transferred to Town and Parish councils.

Financial Management:

- i Continued development of Capital Programme links to AMP and capital monitoring.
- ii Implement Whole Life Appraisal – a systematic assessment of all relevant expenses, income and performance associated with the acquisition, procurement, ownership, refurbishment and potential disposal of an asset over its life.

Performance Management:

Development of performance measures in relation to assets that evaluate asset use in relation to corporate objectives.

Estates Team Systems Thinking Review

Some of the Estates Teams processes to be looked at in detail to identify opportunities to improve customer satisfaction and streamline procedures. This will be undertaken in tandem with assessing property management software tools.

11 Outcomes

The Council's Asset Management Plan was last updated in 2008. This revised plan creates a useful picture in terms of how the Council's assets support the Council's Corporate Priorities and the challenges ahead in ensuring a strategic approach is taken to support corporate and services strategies. The actions set out with dates in the AMP highlight where work remains to be carried out to fully incorporate Asset Management into the Council's ethos and have been set to achieve the Corporate Asset Objectives set out on page 46.

As is demonstrated within the Plan, effective asset management is an on-going discipline that requires the active support of senior decision makers and cross service input. For further information, please speak to the author of this document, **Andrew Busby 01884 255255**.

12 How do we measure performance?

Core to this AMP is the objective to ensure that we deliver an effective and efficient asset base from which to deliver services.

As a consequence, we are developing a set of Property Performance Indicators against which we can judge our performance over time. As well as being used to base line performance of assets internally, it is also intended that we use the PPI's to benchmark the performance of our properties against other private and public organisations.

Our selected PPI's are based around the following questions:

- Is the organisation's estates management function efficient and cost-effective?
- Does the estates management activity help to ensure the organisation has buildings which are fit for purpose and comply with statutory requirements?
- Does the estates management function help to ensure the organisation makes best use of its estate?
- Does the estates management function effectively support the organisation in minimising the impact of the estate on the environment?
- Does the estates management function manage maintenance and capital programmes effectively?
- Are internal customers satisfied with the service provided by the estates management function and the functional suitability of the estate?

It is intended that we shall monitor the PPI's on a regular basis for information to CSAG and report in more detail to the same board annually; adding new PPI's as our priorities and approaches change and mature.

Proposed Performance Indicators (PPI)

Total property costs (occupancy, operational and management) per square metre Gross Internal Area (GIA).

Total property costs (occupancy, operational and management) per FTE (Full Time Equivalent Staff).

Cost of the Estates Management function per square metre GIA.

Cost of the Estates Management function as a percentage of organisational running costs.

Total building operation costs (revenue) per square metre GIA.

Workstations per full-time equivalent staff (FTE).

Area (square metres) per workstation.

Total annual energy consumption (kWh) per square metre (GIA).

Total property required maintenance as a percentage of average annual maintenance spend for the last three years.

Project management of property related capital projects:

- Percentage of projects where the actual time between Commit to Design and Commit to Construct is within, or not more than, 5% above the time predicted at Commit to Design.
- The percentage of projects where the actual time between Commit to Construct and Available for Use is within, or not more than, 5% above the time predicted at Commit to Construct.
- The percentage of projects where the actual cost at Commit to Construct is within +/- 5% of the cost predicted at Commit to Design.
- The percentage of projects where the actual cost at Available for Use is within +/- 5% of the cost predicted at Commit to Construct.
- The percentage of buildings which are used by the public in which all public areas are suitable for, and accessible to, disabled people.
- The Property where condition is considered acceptable or better than acceptable.
- The Percentage spend on day to day repairs as % of planned maintenance expenditure.

13 Our Estate

DESCRIPTION OF SERVICE

Property Services provide accommodation for services within the Council and its businesses, lead on construction elements of the property capital programme, ensure statutory compliance of the estate and undertake a broad range of estates management, strategic asset management, business and energy management activities. Through the delivery of repairs and maintenance activity, we ensure that the Council meets its statutory building compliance responsibilities and duty of care under relevant health and safety legislation. Property Services will be developing existing assets and land to create affordable homes; this is to replace assets lost under the Right To Buy scheme. We also maintain pathways and roads, hard landscaping, sewage works and retaining walls (including retaining walls that can be on our Open Spaces or HRA land).

The net value of the assets we manage have a total net value of circa £40 million. Property Services are responsible for an operational budget of circa £1.2 million, as well as providing services that come under other operational budgets, such as Leisure and Car Parking to the value of circa £250K.

Our service consists of a wide range of assets including Land, Car Parks and Property. We provide services to approximately 96 locations comprising Leisure and Sport Centres, Corporate Offices, a Multi-Storey Car Park, Industrial Units, Shops, Public Conveniences, Car Parks, Listed Buildings and Paddling Pools and undertake construction of Play Areas, Skateboard Parks and other recreational leisure facilities. Our service also manages the Market Walk shopping precinct lease maintenance (Landlord contract).

OUR SERVICE GENERATES INCOME FOR THE COUNCIL

The Property Service continues to generate income for the Council that is budgeted within the circa net £1.2 million cost previously mentioned. A breakdown of our income; about £867k is provided below:

| | | |
|---|--------------|--------------|
| Phoenix House (income from sub-letting) | | £13.5k |
| Rental of Council land via Licence to private residents for potential income | | tbc |
| Solar Photovoltaic Panels via the Feed In Tariff per annum (depending on the weather throughout the year) | circa | £40k |
| Bus Station income | | £24k |
| Industrial Units | | £120k |
| Park Lodge income (income for Parks and Open Spaces) | | £8.4k |
| Shop Units (General Fund and HRA) | | £100k |
| Cemetery Lodge income (income for Parks and Open Spaces) | | £8.4k |
| Elsie May's Building | | £15k |
| 2 Wells Close income (HRA asset) | | £7.2k |
| Contributions / transfer for Public Conveniences | circa | £25k |
| Town Council income | | £7.4k |
| Market Walk income based on current cash income stream per annum | | £400k |
| Crediton Town Council | circa | £5k |
| Fore Street Rentals | circa | £45k |
| DCC Library income | | £38k |
| Roundabouts sponsorships (income for Parks and Open Spaces) | | £10k |
| Total Income per annum | circa | £867k |

Renewals of Community Leases are also controlled via Property Services that can deliver income and support the provision of services to the community.

Property Services leads the Capital Strategy Asset Group and reports land sales that can deliver Capital Receipts. This will mainly be HRA land and will, therefore, be assigned to the HRS development work we are completing.

The latest report identified that CSAG had released land to the value of £1.5 million so far.

Further reading

- **RICS Public Sector Property Asset Management Quick Guide** (June 2012)
- **Leaner and Greener: Delivering Effective Estate Management** (2011) www.policy.connect.org.uk
- **Room for Improvement: Strategic asset management in local government.** (Audit Commission 2009)
- **Working Beyond Walls: the government workplace as an agent of change** (Office of Government Commerce 2008) www.aecom.com
- **Building on Strong Foundations: A framework for Local Authority Asset Management** (CLG, 2008) www.communities.gov.uk/publications/localgovernment/assetmanagement
- **Public sector asset management guidelines** (2008, Royal Institution of Chartered Surveyors (RICS)) www.rics.org/publicsector
- **Service Transformation: A better service for citizens and business, a better deal for the taxpayers** (December 2006) www.hm-treasury.gov.uk

A1 The AMP and its relationship to other strategic documents

The main strategic document for the Council is the Corporate Plan and this document sets out the Council's vision, values and priorities. This particular document is the 'umbrella' for a number of documents which, together, support the Corporate Strategy. For further information see the Corporate Plan on our website.

A2 Structures, roles and responsibilities

1 The Capital Strategy Asset Management Group (CSAG) function involves key Council services and the role of the CSAG is key to ensuring that there is an effective dialogue on asset management issues across the Council and with our partners. CSAG is chaired by the Head of Housing and Property Services or the Estates Manager with the balance of the forum made up of Cabinet Members and senior representatives at head of service level. The CSAG ensures there is insight into individual council services, together with a clear understanding of corporate goals and objectives.

2 Management arrangements

2.1 The Council has adopted a Constitution, under which the work of the Full Council includes deciding overall policies, setting budgets, agreeing constitution changes and appointing the Leader, Deputy Leader and the Cabinet. Full Council meetings are held four times a year. The annual meeting is held in May to elect the Council committees and to appoint the Chairman, Vice Chairman and the Council Leader. The full Council is the only body which has the power to amend the Council's constitution, change policy and appoint Council committees.

2.2 Responsible to the Council, the Cabinet makes operational decisions and recommends new policies. Many of its operational functions are delegated to members of the Cabinet.

2.3 The Cabinet's decisions and those of the Cabinet Members are checked by the Scrutiny Committee which reviews and scrutinises decisions made.

2.4 The Cabinet reports to the Full Council, but its work is assisted by the work of the Scrutiny Committee.

3 Organisational Framework for Asset Management

3.1 The overall monitoring of the AMP and corporate asset management initiatives is the responsibility of the Cabinet. The Cabinet considers the Council's AMP and in so doing it looks to ensure that good practice criteria are addressed. These are set out below:

- i Links between corporate objectives and property priorities.
- ii Full involvement of all key service areas – the key service areas are integrally involved in asset management either through service/asset reviews or at an appropriately senior level at CSAG.
- iii Clear distinction between strategic and operational decision making - the AMP does not look to address detailed issues concerning individual assets. It serves to provide a framework within which those types of issues can be considered.

OVERVIEW

3.2 Estates Manager

Responsibility for the corporate management of the Authority's property assets rests with the Head of Housing and Property Services who is a member of the Management Team and reports to the Cabinet Member for Housing & Property Services.

3.3 The Head of Service has authority to undertake all required developments in asset management. Their role and responsibilities are clearly defined, explicit and have been communicated to all concerned in the management and use of property throughout the Authority. The Estates Manager also contributes to the Capital Strategy, thus ensuring the closest linkage between the two plans.

3.4 The Capital Strategy Asset Management Group

The Council has set up a cross-directorate to promote the effective management of the Council's land and buildings and to oversee the preparation and implementation of the Council's Asset Management Plan. The Group comprises a senior officer's representative(s) for each Council service. It is chaired by the Head of Housing and Property Services or the Estates Manager. The Estates Manager acts as an internal project manager in respect of the preparation and monitoring of the Asset Management Plan with the support of the Development Services Officer who ensures that the agenda and supporting documentation are prepared and accurate.

3.5 Due to the relatively small size of the asset base, the Council previously considered it appropriate that both strategic and operational asset management be undertaken by the CSAG Forum. To ensure continued inter-department consultation and a corporate approach to all proposals for effecting the Council's land and buildings, the following procedure shall be adopted:-

- Any officer dealing with a proposal effecting the Council's land and property should first consult with the Council's nominated officers of the CSAG group via email. Consultation comments should be returned within 2 weeks. Where a consulted officer has no relevant input, they should still reply to confirm this. There may be times when it is more appropriate to request a meeting with the relevant officers.
- If required, the Development Services Officer or the Estates Manager will advise on further consultation that may be required with other departments and whether the matter can be dealt with under delegated powers, under the relevant Head of Service or by the Cabinet Member.
- Identification of key drivers amongst Officers and Members - the key officer drivers of the capital strategy and asset management process are represented on the AMP. This ensures that a corporate, strategic approach to capital expenditure and asset use is championed.
- Clear reporting lines to a strong corporate centre - the AMP provides this corporate centre, providing a strong lead and then monitors implementation of asset reviews.
- Integration of the Financial and Capital Strategy and the AMP - the engagement of estates, property services and finance officers in the Asset Management Forum ensures the integration of the development and implementation of the Financial and Capital Strategy along with the AMP.
- It is incumbent upon the officer dealing with the proposal to ensure necessary Ward Member, Town or Parish Council's consultation and liaison is carried out.
- The issue should then be reported to the relevant Cabinet Member or Cabinet (as specified under delegated powers).

3.6 The Group meets on a quarterly basis. The minutes of each meeting are kept confidential due to commercially sensitive information.

3.7 Service Departments in areas affected by Asset Management Reviews are consulted on these reviews and any resultant actions are reported back to the CSAG.

3.8 The CSAG Forum has the following Terms of Reference:

- To support the preparation and review of a corporate Asset Management Plan that details existing asset management arrangements and action to improve corporate asset use on an annual basis.

- To promote service asset management planning and a wide understanding of corporate ownership of assets; seeking wherever possible to promote and develop cross service use of assets.
- To support the adoption of performance measures and benchmarking to describe and evaluate how the Council's asset base contributes to the achievement of corporate and service objectives and improvement priorities.
- To ensure that the Council makes investment and disposal decisions informed by thorough option appraisal and evaluation.
- To assess stakeholder satisfaction and recommend changes in asset use as a result of stakeholder consultation.
- To co-ordinate cross service aspects of corporate property assets, providing liaison between Service users and to enhance corporate service delivery.
- To support the development and monitoring of the capital programme and the Council's medium-term financial plan.

The CSAG group will provide linkage to the Council's capital strategy by monitoring the current year's capital programme and developing the programme for future years, through the Head of Finance, that includes:

- Corporate Property Asset Management Plan
- Identification of property holding purpose and individual property asset strategy
- Monitoring of Capital Programme
- Reports to Cabinet for corporate property decisions

CSAG Key Outputs

3.9 Member Involvement

Members are involved fully in the AMP process in the context of the Cabinet, which recommends approval of the Plan and which critically assesses its implementation. Members of the Cabinet and the Leader/Duty Leader of the Council are members of the CSAG.

CSAG Membership

Property Review:

- By Service
- By Type

Co-ordination and review of:

- Accommodation use
- Planned maintenance
- Asset disposal
- Capital investment
- Performance measurement and monitoring
- Property asset contribution to the Council's objectives and overall place making strategy

Consultation and Communication:

- With users
- With the public
- Other public service providers

A3 Why do we need Asset Management?

Further explored...

1.0 Practical Reasons

It takes longer to change property than any of the other strategic resources. Lack of attention to asset management will result in the asset base underperforming in both non-financial and financial terms. Examples of this are:

- Expensive maintenance backlogs.
- Poor fit between customer and service requirements and the property from which they are delivered.
- Under-utilisation of buildings.
- Limited co-location of public services.
- Inefficient sourcing and procurement of property, construction and support services.
- Inefficient use of capital.
- Insufficient control of running costs.
- Failure to get services close to the community they serve.

1.1 Business Benefit Reasons

The business benefits that have been realised by many public bodies from effective asset management are:

- The release of capital for re-investment or debt redemption.
- Reduced running costs.
- Better customer service and public service provision through improved accommodation and the co-location of services.
- Property in good condition.
- Improved property utilisation and bringing together similar uses into the same property, rather than providing them separately.
- Improved productivity, changes in corporate culture and facilitation of corporate change.
- Improved place-making in shaping the built environment of local communities.

1.2 Policy Reasons

In every part of the public sector, improved asset management is not just to be encouraged, it is a government expectation.

1.3 In addition, the Building on Strong Foundations: A Framework for Local Authority Asset Management document published by the Department for Communities and Local Government listed the following potential benefits of good asset management:

- Deliver exceptional services for citizens, aligned with locally agreed priorities, whilst focusing investment clearly on need.
- Empower communities and stimulate debate.
- Improve the economic well-being of an area.
- Ensure that, once built, assets are correctly maintained.
- Introduce new working practices and trigger cultural organisational changes.
- Reduce carbon emissions and improve environmental sustainability.
- Increase co-location, partnership working and sharing of knowledge.
- Improve the accessibility of services and ensure compliance with the latest version of the Disability Discrimination Act (DDA) 2005.
- Generate efficiency gains, capital receipts or an income stream.
- Improve the quality of information available to the public.

A4 Phoenix House Space Management

Following a review of the Council's main headquarters accommodation at Phoenix House, Tiverton; the Council have completed the implementation of a relocation programme. The key outcomes of the project have included:-

- The creation of Phoenix Chamber where Planning Committee and Full Council take place.
- Divisible fully equipped meeting rooms.
- Potential income stream from renting rooms to the Public.
- More efficient use of open plan office space.
- Potential reduction in business rates (open plan offices converted to meeting rooms).

A5 Development of a Community Asset Transfer Policy

1 Background

1.1 The Strong and Prosperous Communities Local Government White Paper was published in October 2006 and sets out the basis for a new relationship between local government and its communities. This paper advocated that “the aim is to give local people and local communities more influence and power to improve their lives”. In addition, “we are determined to ensure that existing powers and policies that support community management and ownership are effective; and that practical ways are found to overcome any remaining unnecessary barriers”.

1.2 The ‘Making Assets Work, Quirk Review’ looked at the clear benefits to local groups which own or manage community assets – such as community centres, building preservation trusts and community enterprises. The review makes clear that what is required is not legislation, but guidance to enable a partnership approach to the delivery of community services. The review focused on how the use of publicly owned assets could be optimised by exploring options for the increased transfer of asset ownership and management to community groups.

1.3 The Localism Bill will look to devolve further powers to community organisations to take on the delivery of services previously run by local authorities. This will have an effect on buildings currently used to deliver those services.

1.4 Local authorities have been given discretionary powers under the Local Government Act 1972 to dispose of land below market value in some circumstances. Decisions on disposal need to be made by comparing the benefits that would accrue from a transfer to community use, with those from a straight forward commercial sale.

1.5 Where community groups are well established and have access to either the support of a governing body or regular income streams, the transfers have worked well. However, other schemes which rely mainly on voluntary community support have been less successful in delivering sustainability in the medium to long term.

1.6 By having a clear Community Asset Transfer Policy and selection process for third sector partners, the Council will have a greater chance of ensuring that the sustainability of the property is maintained in the long term and, by means of a robust business proposal, that community groups are able to demonstrate their capability.

1.7 There has to be a balance between the sale of assets for reinvestment in the Council's priorities through the Capital Programme and transfers for the delivery of services by community groups.

1.8 The CSAG is currently embarking on a Property Review which will, amongst other things, identify assets which could be subject to future disposal.

1.9 Community Asset Transfer needs to be considered by the CSAG and the following agreed:-

- On completion of the property review, a disposal strategy shall be put in place and the Head of Housing and Property Services and/or the Estates Manager will advise on the most suitable marketing approach for an individual asset. Where there is reason to believe that a third sector/ community organisation may be interested in submitting a tender bid for the use of the asset, the marketing process will be based on the model set out by the Government's Localism Bill. This will enable these organisations sufficient time to prepare business plans and research appropriate funding options and grants, prior to any deadline to make a tender bid. The Council's Community Asset Transfer policy will be developed with input from the Government organisation Locality.
- Town or Parish councils wishing to apply to take on assets currently held by the Council require a defined process to do so, we plan to do this by developing an on line application form.

A6 Condition of the existing estate

Statutory commitments

Where we provide and maintain property for our business, Property Services are responsible for a high number of statutory requirements to ensure compliance and protect the Council from prosecution, therefore prevention is key.

The Council looks after a wide range of legislative requirements to ensure that it meets its statutory obligations, which includes:

- Fixed electrical testing
 - Structured surveys
 - Legionella testing
- as detailed in Condition Surveys.

We regularly inspect our roads and pathways and carry out other routine inspections and keep records that are required for insurance purposes, these are essential to take place so we can defend potential claims.

Non-statutory commitments

The statutory commitments are necessary if the Council continues to operate a facility for employees and the public, some services, however, we may not have a statutory requirement to provide, i.e. Leisure and Public Conveniences.

Any special legal or insurance obligations your service needs to be met.

Building condition categories

| Condition Survey Categories | |
|------------------------------------|---|
| A | Good. Performing as intended and operating efficiently. |
| B | Satisfactory. Performing as intended but exhibiting minor deterioration. |
| C | Poor. Exhibiting major defects and/or not operating as intended. |
| D | Bad. Life expired and/or serious risk of imminent failure. |
| Not Set | Condition survey not undertaken. |

During the inspection of buildings, the urgency for maintenance works is assessed simultaneously with the condition. This assessment then informs the prioritisation of both the order of works and budget allocation.

Recognising certain sub-optimal outcomes from the old inspection regime, a new improved inspection regime will be implemented following approval of the responsible officer's paper to the Cabinet Member for Housing and Property Services and the Head of Service. This will result in better informed maintenance budgeting and an improved understanding of the estate's true condition.

1 Condition Surveys

1.1 Condition surveys on the Council's non-housing premises should be carried out on a rolling basis at least every two years. The majority of property is generally in a sound or acceptable condition with relatively minor works required. The planned maintenance budget generally allows Property Services to carry out repairs to buildings and fixed equipment as and when required. There are occasions when major works need further budget approval before they can be carried out.

From 2016 these surveys will be undertaken every three years and will provide more comprehensive information to help inform not only the Planned Maintenance Programme, but also the on-going general review of the Council's varying asset cluster. Eventually it is anticipated that each asset will have its own asset management plan and classification for either on-going maintenance, capital investment, significant capital investment or replacement, change of use or disposal.

The basis of the new style surveys will enable appraisal with regard to fitness for purpose of use, condition and compliance. The three facets which will be assessed and ranked are:

- i. Physical condition
- ii. Fire, health and safety and disabled accessibility
- iii. Suitability

1.2 In addition, annual tests on utilities and building facilities such as electricals; boilers and gas safety; air con and ventilation; equipment checks and other monitoring form part of the planned maintenance process and are carried out regularly in line with planned and programmed schedules

2 The Disability Equality Act 2010

2.1 The Property Services team takes a role in working to fulfil the obligations under Part 3 of the Act. Audits have been carried out on all premises available for public use and we have implemented a number of improvements to ensure suitable access for the disabled.

2.2 Premises are routinely monitored with service managers to gauge where further improvements could be made. Provision is made within Revenue budgets to enable this process.

3 Asbestos

3.1 The Control of Asbestos Regulations 2012 places a duty to manage asbestos, wherever it is found in our buildings. MDDC has surveyed all of its properties and listed any asbestos containing materials (ACM's) on the Asbestos Register. Wherever possible, the ACM's have been removed or encapsulated. The asbestos that remains is being regularly monitored. The Asbestos Policy gives full details of the management of ACM's.

4 Control of Legionella Approved Code of Practice and Guidance from the HSE (L8)

4.1 The Health and Safety Commission's Approved Code of Practice 'The control of legionella bacteria in water systems' was published in 2001. It sets out duties on the 'building manager' to ensure that water systems are monitored to reduce the risk of legionella.

MDDC has a service agreement with an independent company who are monitoring all our premises on a regular basis to ensure that we are compliant with the legislation. Remedial works are prioritised and financed from the planned maintenance budget. The Legionella Policy gives full details of the management and control of Legionella risk.

5 Fire Safety

5.1 The Regulatory Reform (Fire Safety) Order 2005 covers general fire safety in England and Wales. Employers (and/or building owners or occupiers) must carry out a fire safety risk assessment and keep it up to date.

MDDC has carried out fire risk assessments at all of its premises, where required and actively manages and implements changes or improvements that are highlighted. Reviews are carried out on an annual basis.

A7 Tenanted Non Residential Property (TNRP) Review

1 Background

1.1 The Council owns assets which are let to third parties, other than HRA housing, for example industrial workshops and residential properties. These assets are held for investment or socio-economic purposes – or both.

1.2 The Royal Institution of Chartered Surveyors (RICS) recommends a focus on three key perceived current priorities for improvement in the management of TNRP in the local government arena:

- There should be clear allocation of roles and responsibilities and accountability processes in the management of TNRP to drive continuous improvement in TNRP performance.
- Local authorities should adopt business planning disciplines to ensure clear strategy, plans and programmes for the management of their TNRP.
- To ensure best value is being obtained, local authorities should continuously measure and report:
 - i the performance of all TNRP as investments; and,
 - ii any socio-economic benefit(s) ascribed to that TNRP

2 Getting Started

2.1 A TNRP strategic review will be commenced and with a simple overview including:

- A list of TNRP assets and their type.
- Asset values and income (internal rate of return (IRR) valuation).
- A basic analysis of why they are held eg. socio-economic, investment or unidentified.
- A desktop indicative assessment of their suitability, condition and running costs.
- CSAG referral of recommendations to Cabinet following completion of reviews on the following asset clusters:
 1. Industrial Estates
 2. Fore Street properties
 3. Residential property
 4. Market Walk shopping precinct.

2.2 As the strategy develops, a phased work programme should emerge to ensure:

- The Council is clear as to why it owns TNRP
- There is a clear business case for owning individual TNRPs.
- The Council is clear as to what outcomes are expected.
- The right people are involved.
- There are clear strategies, plans and programmes in place.
- The performance management process is robust.

3 Outcomes

3.1 The TNRP review will measure the performance of each asset using a number of measures against a decision framework for property holding. The outcomes will include an understanding of the property objective and will arrive at a decision to either retain or dispose of an asset.

3.2 Where an asset is retained, it will fall into one of three classes:-

- i. Continued maintenance – where the property is considered to be doing the right thing in the right place. All that will be required is a planned maintenance schedule;
- ii. Improve usage – there may be an opportunity for better usage or co-location. This may require some capital expenditure, along with a planned maintenance schedule;
- iii. Building enhancement – where an asset requires significant capital expenditure.

4 Disposal of Assets

4. TNRP Disposal Policy

- 4.1** Where an asset deemed surplus for disposal is valued in excess of £10,000 and following consultation with Ward Members, a recommendation will be made to Cabinet by the Head of Housing and Property Services (a) documenting the reason for disposal, (b) stipulating any conditions that will apply and/or endure after disposal and (c) suggesting an appropriate method of disposal. Ward Members will be consulted on those assets identified as surplus, for disposal and with a value of under £10,000 before the Estates Manager authorises the disposal of the asset and determines the appropriate method of sale and the timing.
- 4.2** The receipts generated by the disposal of assets are treated as a corporate resource to fund the capital programme. To this end, the Head of Housing and Property Services shall, in liaison with the Estates Manager, set targets for capital generation by disposals, and monitor performance on a quarterly basis.

A8 Corporate Asset Management software

1 Background

- 1.1** Mid Devon have historically operated different property management systems across its Finance, Property Services, Housing, Estates and Street Scene services. Whilst providing essential tools for each discreet area, this approach has resulted in difficulties and inefficiencies when dealing with cross-service issues. These asset management processes are coming under ever increasing scrutiny.

2 Review of all software used to manage our assets

To ensure the authority has a complete and up-to-date record of property assets to facilitate decision making, our service will need to review the software packages which we use to manage our estate and influence an action plan for ensuring information is maintained and current. This review will incorporate our aspirations for digital transformation.

A9 Asset Management Draft Action Plan

Annex A - Asset Management Action Plan

| ACTION | BENEFIT TO COUNCIL | HOW TO ACHIEVE THIS | RESOURCES NEEDED | LEAD OFFICER | DATES CSAG to be agreed |
|--|---|--|--|---|-------------------------|
| 1. Review and amendment of Asset Management Plan Performance Management. | Link to Corporate Plan 2016 – 2020. | Implement management practices and assign 'SMART' targets. | Estates & Property services | Estates Manager Development Services Manager | |
| 2. Promote the improvement of the use of Council's assets. Develop ways for all services to become aware of positive asset management ie. business plans. Asset Management Plan needs to be 'promoted' once updated. | Improved awareness of asset management; improved use of available skills & knowledge. Promoting proactive management Reducing reactive costs. | Awareness training sessions. Publication of updated asset management plan. | Learning & Development HR Business Partners | Estates Manager | |

| ACTION | BENEFIT TO COUNCIL | HOW TO ACHIEVE THIS | RESOURCES NEEDED | LEAD OFFICER | DATES CSAG to be agreed |
|---|--|--|--|------------------------------|--------------------------------|
| 3. Improve benchmarking and sharing of information within nearest neighbours group. | Improve quality of asset management plan. Identify where efficiencies will be achieved. Identify internal rate of return, so that assets not meeting this return can be selected for disposal. | Revision as per Action 1 (above). | Estates Management & Property Services Team. Estates Manager to set up a working group with other property managers from other authorities. | Estates Manager | |
| 4. Integrate capital strategy into the asset management plan. | Co-ordinated support for the corporate plan through integration of asset management plan/capital strategy/medium term financial plan. | Working with Finance service. | Finance Manager for Capital Development Services Manager Contracts Manager | Estates Manager | |
| 5. Improve professional skills/training. Continuous professional development. | Improved quality of asset management. | Appraisals; On-the-job training provision. | Estates and Property Services team | Development Services Manager | |

| ACTION | BENEFIT TO COUNCIL | HOW TO ACHIEVE THIS | RESOURCES NEEDED | LEAD OFFICER | DATES CSAG to be agreed |
|---|--|--|------------------------------------|-------------------------------------|--------------------------------|
| 6. Identify strategic/key partners for collaborative working and develop a Community Asset Transfer Policy. | Improved capacity and cost-effectiveness through partnership working. | Explore shared service opportunities. | Estates and Property Services team | Head of Housing & Property Services | |
| 7. Implement CAPS Estate Module and Quality Assurance Land Terrier. | Avoids duplication of records. Certainty over asset base. Reduce database maintenance requirements. | Cross-service working group using Prince 2 approach. | Estates and Property Services team | Estates Manager | |
| 8. Improve energy efficiency and continue to reduce consumption. | Cost savings Achieves Corporate Plan objective. | Identify additional 'ESCO' opportunities. | Estates and Property Services team | Contracts & Services Manager | |
| 9. Review & report based on 'outcomes' of the reduction in revenue maintenance budget. To include: Risks Future expenditure requirements in relation to plant and asset replacement. | Awareness of risks and costs of reductions to planned preventative maintenance. | Incorporate in Action 1 (above). | Estates and Property Services team | Technical Administrator | |

| ACTION | BENEFIT TO COUNCIL | HOW TO ACHIEVE THIS | RESOURCES NEEDED | LEAD OFFICER | DATES CSAG to be agreed |
|---|--|--|--|-------------------------------------|--------------------------------|
| 10. Analysis of value for money Cemeteries Parks and Open Spaces Grounds Maintenance | Contributes to effective use of resources. Potential efficiency increases/cost reductions identified. | Benchmarking (see Action 3 above) – results to be included in estates management business plan with SMART targets. | Estates and Property Services team | Estates Manager | |
| 11. Improvement to the planning consultation process regarding 106/CIL. | Improved consideration of the impact of development on existing assets and added robustness to adoption procedures for new assets. | Liaise with Planning Service. | Regular review meetings with Planning Officers | Development Services Manager | |
| 12. Continue to deliver Capital projects that supports the Corporate Plan 2016 – 2020. | Improved use of asset management expertise at project design stage. | Involvement in CSAG. | Estates & Property Services team | Head of Housing & Property Services | |

| ACTION | BENEFIT TO COUNCIL | HOW TO ACHIEVE THIS | RESOURCES NEEDED | LEAD OFFICER | DATES CSAG to be agreed |
|--|--|---|--|---------------------|--------------------------------|
| 13. Revise and review Asset Management Plan annually plus initiate annual review as good practice. | Improved management of assets. Increased internal rate of return. Reduced reactive maintenance costs. Improved risk management. | Annual review. Continued research for opportunities. | Estates & Property Services team CSAG | | |

Cabinet
10 March 2016

Treasury Management Strategy Statement and Annual Investment Strategy 2016/17

Cabinet Member: Councillor Peter Hare-Scott
Responsible Officer: Head of Finance, Andrew Jarrett

Reason for Report: To agree the proposed Treasury Management Strategy and Annual Investment Strategy for 2016/17.

RECOMMENDATION(S):

- 1. That the proposed Treasury Management Strategy and the Annual Investment Strategy for 2016/17, including the prudential indicators for the next 3 years and the Minimum Revenue Provision Statement (Appendix 4), be approved;**
- 2. That Members agree to making an increased investment in the CCLA see 15.5.**

Relationship to the Corporate Plan: Maximising our return from all associated treasury activities enables the Council to support current levels of spending in accordance with our Corporate Plan.

Financial Implications: Good financial management and administration underpins the entire strategy.

Legal Implications: Compliance with the Local Government Finance Act 1992 and the Local Government Act 2003 is a legal requirement.

Risk Assessment: The S151 Officer is responsible for the administration of the financial affairs of the Council. Implementing this strategy and the CIPFA Code of Practice on Treasury Management manages the risk associated with the Council's treasury management activity.

1.0 Introduction

- 1.1** This report updates Members on our overall Treasury performance during 2015/16 and then recommends a strategy for 2016/17. Clearly this strategy will place investment protection above the level of return.

2.0 Background

- 2.1** The Council is required to operate a balanced budget, which broadly means that cash raised during the year will meet cash expenditure. Part of the treasury management operation is to ensure that this cash flow is adequately planned, with cash being available when it is needed. Surplus monies are invested in low risk counterparties or instruments commensurate with the

Council's low risk appetite, providing adequate liquidity initially before considering investment return.

2.2 The second main function of the treasury management service is the funding of the Council's capital plans. These capital plans provide a guide to the borrowing needs of the Council, essentially the longer term cash flow planning, to ensure that the Council can meet its capital spending obligations. This management of longer term cash may involve arranging long or short term loans, or using longer term cash flow surpluses. On occasion, any debt previously drawn may be restructured to meet Council risk or cost objectives.

2.3 CIPFA defines treasury management as:

"The management of the local authority's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks."

3.0 Reporting requirements

3.1 The Council is required to receive and approve, as a minimum, three main reports each year which incorporate a variety of policies, estimates and actuals.

3.2 Prudential and treasury indicators and treasury strategy (this report)

The first and most important report covers:

- the capital plans (including prudential indicators);
- a minimum revenue provision (MRP) policy (how residual capital expenditure is charged to revenue over time);
- the treasury management strategy (how the investments and borrowings are to be organised) including treasury indicators; and
- an investment strategy (the parameters on how investments are to be managed).

3.3 A mid-year treasury management report

This will update Members with the progress of the capital position, amending prudential indicators as necessary, and whether the treasury performance is meeting the strategy or whether any policies require revision.

3.4 An annual treasury report

This provides details of a selection of actual prudential and treasury indicators and actual treasury operations compared to the estimates within the strategy.

3.5 Review

The above reports are required to be adequately challenged by the Cabinet.

4.0 Treasury Management Strategy for 2016/17

4.1 The strategy for 2016/17 covers two main areas:

Capital issues

- the capital plans and the prudential indicators;
- the minimum revenue provision (MRP) policy.

Treasury management issues

- the current treasury position
- treasury indicators which limit the treasury risk and activities of the Council
- prospects for interest rates
- the borrowing strategy
- policy on borrowing in advance of need
- debt rescheduling
- the investment strategy
- policy on use of external service providers

Treasury management consultants

4.2 The Council uses Capita Asset Services (formerly Sector) as its external treasury management advisors.

4.3 The Council recognises that responsibility for treasury management decisions remains with the organisation at all times and will ensure that undue reliance is not placed upon our external service providers.

4.4 It also recognises that there is value in employing external providers of treasury management services in order to acquire access to specialist skills and resources. The Council will ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review.

5.0 Treasury Limits for 2016/17 to 2018/19

The operational boundary

5.1 This is the limit beyond which external debt is not normally expected to exceed. In most cases, this would be a similar figure to the CFR (Capital Financing Requirement), but may be lower or higher depending on the levels of actual debt.

The authorised limit for external debt

5.2 A further key prudential indicator represents a control on the maximum level of borrowing. This represents a limit beyond which external debt is prohibited, and this limit needs to be set or revised by the Cabinet. It reflects the level of external debt which, while not desired, could be afforded in the short term, but is not sustainable in the longer term.

- 5.3 This is the statutory duty under Section 3 (1) of the Local Government Act 2003. The government retains an option to control either the total of all Council’s plans, or those of a specific council, although this power has not yet been exercised.
- 5.4 The Council must have regard to the Prudential Code when setting the Authorised Limit, which essentially requires it to ensure that total capital investment remains within sustainable limits and, in particular, that the impact upon its future council tax levels and housing rent levels is “acceptable”.

6.0 Current portfolio position

6.1 The Council’s treasury portfolio position as at 23 Feb 2016 included short-term investments/bank deposits of £24.29m and property funds (see 6.2) to the value of £ 2.5m. The investments/bank deposits comprised:

| | (£m) | |
|-------------------------------------|--------------|---------------|
| Bank Deposits | | |
| Natwest | 4.29 | |
| | 4.29 | 17.66% |
| | | |
| Building Society Investments | | |
| Coventry | 3.00 | |
| Nationwide | 3.50 | |
| | 6.50 | 26.76% |
| | | |
| External Bank Investments | | |
| Lloyds | 4.00 | |
| Barclays | 5.00 | |
| Standard Chartered | 1.50 | |
| Sumitomo Mitsui* | 1.00 | |
| Santander | 2.00 | |
| | 13.50 | 55.58% |
| | | |
| Total | 24.29 | |

* Sumitomo Mitsui Banking Corporation Europe Limited, founded in 2003 and based in London is a subsidiary of Sumitomo Mitsui Banking Corporation

- 6.2 At the Cabinet on 30 July 2015 it was agreed that the Council’s investment strategy could be adjusted to include deposits with the CCLA (Churches, Charities and Local Authorities) commercial property fund, up to a value of £2.5m. As a result of this, an investment of £2.5m commenced from 1 September 2015. Dividends will be paid quarterly. It is estimated, given recent Fund performance, that returns of approximately 4.5% can be achieved.
- 6.3 Members should note that the £24.29m is not made up of fully available cash balances and relates to various aspects of the Council’s operation:

| | £m |
|---|-----------|
| General Fund Balance | 2.4 |
| Precept payments (DCC, Fire & Police Authorities) | 3.9 |
| General Fund Earmarked Reserve (s106s, New Homes Bonus, vehicle sinking funds, etc.) | 7.0 |
| Housing Revenue Account | 2.0 |
| Housing Revenue Account Earmarked reserves | 6.7 |
| Capital Reserves | 1.0 |
| Capital Grants Unapplied | 1.4 |
| | 24.40 |

Notes:

1. Due to working capital and timing differences, the totals will not agree exactly.
 2. We no longer have an overdraft facility with Natwest as we are asked for a fee of £2.5k for a £250k facility.
- 6.4 The £4.29m balance held with Natwest is our clearing account where any excess balances are held. At present, a return of 0.50% is gained on this account.
- 6.5 During 2015/16, an average rate of investment return of 0.74 % is estimated on short term investments, generating a sum of circa £140k for the Council. In addition we estimate to receive £18k on current account balances for the year, which will broadly be on budget, additionally dividends of £56k are estimated on our CCLA property fund investments.
- 6.6 No direct benchmarking against other Authorities is made, however our average return is assessed against the 7 day LIBID rate which is 0.36 % at the end of January.
- 6.7 The Council's forecast borrowing position, based on current loans, at year end, will include £41.2m HRA and £4.4m General Fund borrowing. All external borrowing has been undertaken with the Public Works Loans Board (PWLB) at fixed rates of interest.

| | Loan Ref | Purpose | Amount Outstanding £k |
|------------|-----------------|-------------------------|----------------------------------|
| GF | 502059 | Refuse Vehicles | 175 |
| | 502905 | Scarab Sweeper | 74 |
| | 503319 | Recycling Baler | 134 |
| | 503849 | Market Walk/Fore Street | 4,053 |
| | | GF Total | 4,436 |
| HRA | | | |
| | 500248 | HRA Self Financing | 41,220 |
| | | | |
| | | GRAND TOTAL | 45,656 |

7.0 Borrowing Requirement

7.1 For 201/17 the Council will assess each capital project on a cost/benefit basis and should there be a borrowing requirement these proposals would be brought to Cabinet. Please see Appendix 2 for future years borrowing requirements.

7.2 As detailed in the 2012/13 Treasury Strategy, the Council accepted £46.59m in terms of its mortgage debt to purchase its existing housing stock. This debt was paid from a PWLB loan, which the authority has arranged to pay back over a 25 year period at a rate of 2.94% interest.

8.0 Prudential and Treasury Indicators for 2016/17 to 2018/19

8.1 The prudential indicators, attached at Appendix 2 to this report, are relevant for the purposes of setting an integrated Treasury Management Strategy.

8.2 The Council is also required to indicate if it has adopted and continues to comply with the CIPFA Code of Practice on Treasury Management. This was adopted on 7 January 2004 by Full Council and the revised code was adopted at the 11 March 2011 Cabinet.

9.0 Prospects for Interest Rates

9.1 The Council has appointed Capita Asset Services as its treasury advisor and part of their service is to assist the Council to formulate a view on interest rates.

9.2 Capita Asset Services Bank Rate forecast remains unchanged at 0.50% until the end of Q3 2016/17 (see Appendix 3 for detailed forecasts).

10.0 Borrowing Strategy

10.1 The 2016/17 budget has been compiled on the basis that there may be some capital investment in 2016/17, principally concerning HRA house building.

10.2 The HRA mortgage debt of £46.59m was confirmed in early 2012. The Council took advice on counterparty options and optimal debt structuring. Central Government instructed the PWLB to offer a discounted borrowing rate (0.85% below its standard lending rate) which was clearly the best option for the Authority. The Council has undertaken a 25 year annuity. Interest rates will be monitored and will have consideration to the 30 year property maintenance requirements included in the HRA business plan.

11.0 Policy on borrowing in advance of need

11.1 The Council will not borrow more than or in advance of its needs purely in order to profit from the investment of the extra sums borrowed. Any decision to borrow in advance will be within forward approved Capital Financing Requirement estimates, and will be considered carefully to ensure that value for money can be demonstrated and that the Council can ensure the security of such funds.

12.0 Debt rescheduling

12.1 As short term borrowing rates will be considerably cheaper than longer term fixed interest rates, there may be potential opportunities to generate savings by switching from long term debt to short term debt. However, these savings will need to be considered in the light of the current treasury position and the size of the cost of debt repayment (premiums incurred).

12.2 The reasons for any rescheduling to take place will include:

- the generation of cash savings and / or discounted cash flow savings;
- helping to fulfil the treasury strategy;
- enhancing the balance of the portfolio (amending the maturity profile and/or the balance of volatility).

12.3 Consideration will also be given to identify if there is any residual potential for making savings by running down investment balances to repay debt prematurely as short term rates on investments are likely to be lower than rates paid on current debt.

12.4 All rescheduling will be reported to the Cabinet at the earliest meeting following its action.

13.0 Municipal Bond Agency

13.1 It is likely that the Municipal Bond Agency, currently in the process of being set up, will be offering loans to authorities in the near future. It is also hoped that the borrowing rates will be lower than those offered by the Public Works Loan Board (PWLB). This Authority intends to make use of this new source of borrowing as and when appropriate.

14.0 Annual Investment Strategy

Investment Policy - changes to credit rating methodology

- 14.1 The Council's investment policy has regard to the CLG's Guidance on Local Government Investments ("the Guidance") and the revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes ("the CIPFA TM Code"). The Council's investment priorities will be security first, liquidity second, then return.
- 14.2 In accordance with the above guidance from the CLG and CIPFA, and in order to minimise the risk to investments, the Council applies minimum acceptable credit criteria in order to generate a list of highly creditworthy counterparties which also enables diversification and thus avoidance of concentration risk. The key ratings used to monitor counterparties are the Short Term and Long Term ratings.
- 14.3 Ratings will not be the sole determinant of the quality of an institution; it is important to continually assess and monitor the financial sector on both a micro and macro basis and in relation to the economic and political environments in which institutions operate. The assessment will also take account of information that reflects the opinion of the markets. To this end the Council will engage with its advisors to maintain a monitor on market pricing such as "credit default swaps" and overlay that information on top of the credit ratings.
- 14.4 Other information sources used will include the financial press, share price and other such information pertaining to the banking sector in order to establish the most robust scrutiny process on the suitability of potential investment counterparties.
- 14.5 The borrowing of monies purely to invest or on-lend to make a return is unlawful and this Council will not engage in such activity.
- 14.6 At present the Council does not invest sums for periods longer than one year with the majority of deposits being made at fixed rates of interest, with the option to enter into variable interest rate deposits. This will include Certificates of Deposit (not exceeding 20% of our investment portfolio).
- 14.7 See Appendix 1 for the listing of current applicable counterparties.

15.0 Lending Criteria and Counterparty Limits

- 15.1 The Council's lending policy has evolved from investing with the Debt Management Office exclusively in 2009, to using most major UK Banks and Building Societies, subject to strict credit criteria for an investment duration no longer than one year, in 2012.
- 15.2 **Banks:** UK based and assessed on high level applicable short term Fitch ratings (F1,F1+) with consideration to negative reviews from Moody's and Standard & Poor's. A maximum of £5m funds held with any group, this

includes the use of Certificates of Deposit which are more liquid than fixed term deposits.

- 15.3 **Building Societies:** UK based and assessed on Fitch short credit ratings of F1 and the organisation to have an asset base minimum of £1bn. The £5m counterparty limit also applies.
- 15.4 **Property Funds:** Investments with CCLA to a limit of £2.5m.
- 15.5 **Investment options:** This report recommends that the Council amends the available funds to invest with CCLA from £2.5m to £4m. At present the forecast return on our current property fund investments is 4.5% against an average return of 0.74% on our short term investments. On the basis of these rates, the additional revenue for the Council would equate to approximately £56k.
- 15.6 Other areas which will be explored are the following:
- Investment grade Corporate Bonds (these are bonds which have a relatively low risk of default, hence have high credit ratings).
- 15.7 There is no strong case to radically change the policy, however, going forward, a consideration of the option at 15.5, would augment the returns we get on our current policy.
- 15.8 In addition to these fixed term deposits, the Council also uses an instant access liquidity account with the National Westminster Bank (the Council's own banker) to sweep any small surplus funds which cannot be placed by our brokers. Again, this account is subject to the same £5m maximum deposit level.
- 15.9 The Council will also continue to lend to:
- Local Authorities, Police and Fire & Rescue Authorities
 - DMOADF
- 15.10 None of the investments made to organisations stated in paragraph 15.9 will be constrained to a maximum deposit of £5m or term deposit limit due to the low level of attached risk.
- 15.11 In addition to these standard arrangements it should be noted that the Council currently has a slightly reduced lending portfolio based on circa £2.5m being lent between the GF and HRA. This will significantly reduce the counterparty failure risk which the GF is exposed to and increase the rate of return to the GF and reduce the interest rate cost to the HRA.
- 15.12 It should be noted that the Cabinet will receive a half yearly review of treasury performance which will include an update on where any surplus monies are invested and the rate of return generated on them. This could also include an amendment to the overall strategy if additional information or a change in the level of risk attached to any of the counterparties is forthcoming.

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Background Papers: Capita Briefing Papers – February 2016

Circulation of the Report: Cllr Peter Hare-Scott, Management Team

Counterparty Lending List for 2015-16 as at 19/02/16

UK Banks

| Bank | Fitch Credit | Moody's | S&P |
|---|--------------|------------|------------|
| | Rating | Rating | Rating |
| | Short Term | Short Term | Short Term |
| HSBC Bank plc | F1+ | P-1 | A-1+ |
| Bank of Scotland Plc | F1 | P-1 | A-1 |
| Barclays Bank plc | F1 | P-1 | A-2 |
| Close Brothers Ltd | F1 | P-1 | |
| Lloyds Bank Plc | F1 | P-1 | A-1 |
| Goldman Sachs International | F1 | P-1 | A-1 |
| Standard Chartered Bank | F1 | P-1 | A-1 |
| Santander UK plc | F1 | P-1 | A-1 |
| Sumitomo Mitsui Banking Corp Europe | F1 | P-1 | A-1 |
| UBS | F1 | P-1 | A-1 |
| Nationalised/Part Nationalised Banks | | | |
| Royal Bank of Scotland Plc | F2 | P-2 | A-2 |
| National Westminster Bank | F2 | P-2 | A-2 |
| Ulster Bank Ltd* ¹ | F2 | P-2 | A-2 |

Building Societies

| Group Asset Ranking | | Society Assets £m | Fitch Short Term | Year end |
|---------------------|-------------------|-------------------|------------------|----------|
| 1 | Nationwide | 194,821 | F1 | Apr-15 |
| 2 | Yorkshire | 41,779 | F1 | Dec-14 |
| 3 | Coventry | 30,890 | F1 | Dec-14 |
| 4 | Skipton | 15,336 | F2 | Dec-14 |
| 5 | Leeds | 12,220 | F1 | Dec-14 |
| 6 | Principality | 7,108 | F2 | Dec-14 |
| 7 | West Bromwich | 5,570 | - | Mar-15 |
| 8 | Newcastle | 3,741 | B | Dec-14 |
| 9 | Nottingham | 3,267 | - | Dec-14 |
| 10 | Cumberland | 1,903 | - | Mar-15 |
| 11 | Progressive | 1,688 | - | Dec-14 |
| 12 | National Counties | 1,302 | - | Dec-14 |
| 13 | Saffron | 1,169 | - | Dec-14 |
| 14 | Cambridge | 1,154 | - | Dec-14 |
| 15 | Monmouthshire | 1,044 | - | Dec-14 |

Note:

Not all of the top 20 Building Societies are Fitch rated, therefore we use the overall asset base in conjunction with the Fitch Rating to assess the lending criteria.

*¹ Ulster bank has been suspended from Capita's suggested lending list

MID DEVON DISTRICT COUNCIL PRUDENTIAL INDICATORS

| | | 2014/15 Actual £'000 |
|---|--|----------------------------|
| Capital Expenditure | | |
| | General Fund | 6,269 |
| | HRA | 5,671 |
| | TOTAL | 11,940 |
| Ratio of Financing Costs to Net Revenue Stream | | |
| | General Fund | 1.97% |
| | HRA | 17.21% |
| Capital Financing Requirement as at 31 March | | |
| | General Fund | 7,208 |
| | HRA | 46,114 |
| | TOTAL | 53,322 |
| Annual Charge for Capital Financing Requirement | | |
| | General Fund | 262 |
| | HRA | 993 |
| | TOTAL | 1,255 |
| Incremental Impact of Capital Investment Decisions | | £ p |
| | Increase in Council Tax (band D) per annum | 1.13 |
| | Increase in Average Housing Rent per week | 0.12 |
| Authorised Limit for External Debt | | |
| | Borrowing | 54,492 |
| | Other Long Term Liabilities | |
| | TOTAL | 54,492 |
| Operational Boundary for External Debt | | |
| | Borrowing | 49,043 |
| | Other Long Term Liabilities | |
| | TOTAL | 49,043 |
| Gross Debt divided by CFR | | 89.97% |
| HRA limit on indebtedness | | 53,744 |
| Actual external debt | | 47,974 |
| Upper Limit for Fixed Interest Rate Exposure | | |
| | expressed as either:- | |
| | Net Principal re Fixed Rate Borrowing/Investments OR | 54,492 |
| | Net Interest re Fixed Rate Borrowing/Investments | 1,693 |

| | | |
|---|---|---------------|
| Upper Limit for Variable Rate Exposure | | |
| | expressed as either:- | |
| | Net Principal re Variable Rate Borrowing/Investments OR | - |
| | Net Interest re Variable Rate Borrowing/Investments | |
| Maturity structure of existing borrowing | | |
| | Under 1 year | 1,747 |
| | Between 2-5 years | 5,577 |
| | Over 5 years | 40,650 |
| | TOTAL | 47,974 |
| Upper Limit for Total Principal Sums Invested for over 364 days ¹ | | 0% |

Note ¹ Our policy states no investments over one year, however this may take us over 364 due to



| 2015/16 Probable £'000 | 2016/17 Estimate £'000 | 2017/18 Estimate £'000 | 2018/19 Estimate £'000 |
|------------------------------|------------------------------|------------------------------|------------------------------|
| | | | |
| 1,123 | 2,064 | 2,085 | 6,957 |
| 7,526 | 5,977 | 9,294 | 8,560 |
| 8,649 | 8,041 | 11,379 | 15,517 |
| | | | |
| | | | |
| 3.53% | 3.29% | 3.85% | 4.16% |
| 16.67% | 16.13% | 15.81% | 16.64% |
| | | | |
| | | | |
| 6,841 | 6,485 | 6,140 | 9,971 |
| 45,121 | 45,980 | 49,966 | 48,852 |
| 51,962 | 52,465 | 56,106 | 58,823 |
| | | | |
| | | | |
| 370 | 361 | 354 | 352 |
| 977 | 977 | 1,014 | 1,114 |
| 1,347 | 1,338 | 1,368 | 1,466 |
| | | | |
| | | | |
| £ p | £ p | £ p | £ p |
| 0.51 | -3.16 | -6.40 | -7.49 |
| 0.40 | 0.22 | 0.22 | 0.22 |
| | | | |
| | | | |
| 65,000 | 65,000 | 65,000 | 65,000 |
| 65,000 | 65,000 | 65,000 | 65,000 |
| | | | |
| | | | |
| 60,000 | 60,000 | 60,000 | 60,000 |
| 60,000 | 60,000 | 60,000 | 60,000 |
| | | | |
| | | | |
| 88.96% | 88.23% | 88.09% | 87.47% |
| | | | |
| 53,744 | 53,744 | 53,744 | 53,744 |
| | | | |
| 46,226 | 46,290 | 49,421 | 51,450 |
| | | | |
| | | | |
| 65,000 | 65,000 | 65,000 | 65,000 |
| 2,123 | 2,133 | 2,143 | 2,153 |

| | | | |
|---------------|---------------|---------------|---------------|
| | | | |
| | | | |
| | | | |
| - | - | - | - |
| | | | |
| | | | |
| | | | |
| 1,772 | 1,869 | 1,971 | 2,161 |
| 5,598 | 5,837 | 6,568 | 7,355 |
| 38,856 | 38,584 | 40,882 | 41,934 |
| 46,226 | 46,290 | 49,421 | 51,450 |
| | | | |
| 0% | 0% | 0% | 0% |

o weekends and bank holidays.

APPENDIX 3: Interest Rate Forecasts 2016 – 2019

PWLB rates and forecast shown below have taken into account the 20 basis point certainty rate reduction effective as of the 1st November 2012.

| Capita Asset Services Interest Rate View | | | | | | | | | | | | | |
|--|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| | Mar-16 | Jun-16 | Sep-16 | Dec-16 | Mar-17 | Jun-17 | Sep-17 | Dec-17 | Mar-18 | Jun-18 | Sep-18 | Dec-18 | Mar-19 |
| Bank Rate View | 0.50% | 0.50% | 0.50% | 0.50% | 0.75% | 0.75% | 1.00% | 1.00% | 1.25% | 1.25% | 1.50% | 1.50% | 1.75% |
| 3 Month LIBID | 0.50% | 0.50% | 0.50% | 0.60% | 0.80% | 0.90% | 1.00% | 1.10% | 1.30% | 1.30% | 1.60% | 1.80% | 1.90% |
| 6 Month LIBID | 0.70% | 0.70% | 0.70% | 0.80% | 0.90% | 1.00% | 1.20% | 1.40% | 1.60% | 1.70% | 1.80% | 2.00% | 2.20% |
| 12 Month LIBID | 1.00% | 1.00% | 1.00% | 1.10% | 1.20% | 1.30% | 1.50% | 1.70% | 1.90% | 2.00% | 2.10% | 2.30% | 2.40% |
| 5yr PWLB Rate | 1.70% | 1.90% | 2.00% | 2.10% | 2.20% | 2.30% | 2.40% | 2.60% | 2.70% | 2.80% | 2.90% | 3.00% | 3.10% |
| 10yr PWLB Rate | 2.30% | 2.40% | 2.50% | 2.60% | 2.70% | 2.80% | 2.90% | 3.00% | 3.10% | 3.30% | 3.40% | 3.50% | 3.60% |
| 25yr PWLB Rate | 3.20% | 3.20% | 3.30% | 3.30% | 3.50% | 3.50% | 3.60% | 3.60% | 3.70% | 3.70% | 3.70% | 3.80% | 3.80% |
| 50yr PWLB Rate | 3.00% | 3.00% | 3.10% | 3.10% | 3.30% | 3.30% | 3.40% | 3.40% | 3.50% | 3.60% | 3.60% | 3.70% | 3.70% |
| Bank Rate | | | | | | | | | | | | | |
| Capita Asset Services | 0.50% | 0.50% | 0.50% | 0.50% | 0.75% | 0.75% | 1.00% | 1.00% | 1.25% | 1.25% | 1.50% | 1.50% | 1.75% |
| Capital Economics | 0.50% | 0.50% | 0.50% | 0.75% | 0.75% | 1.00% | 1.00% | 1.25% | - | - | - | - | - |
| 5yr PWLB Rate | | | | | | | | | | | | | |
| Capita Asset Services | 1.70% | 1.90% | 2.00% | 2.10% | 2.20% | 2.30% | 2.40% | 2.60% | 2.70% | 2.80% | 2.90% | 3.00% | 3.10% |
| Capital Economics | 2.10% | 2.20% | 2.50% | 2.55% | 2.80% | 2.80% | 3.05% | 3.05% | - | - | - | - | - |
| 10yr PWLB Rate | | | | | | | | | | | | | |
| Capita Asset Services | 2.30% | 2.40% | 2.50% | 2.60% | 2.70% | 2.80% | 2.90% | 3.00% | 3.10% | 3.30% | 3.40% | 3.50% | 3.60% |
| Capital Economics | 2.85% | 2.85% | 3.10% | 3.10% | 3.30% | 3.30% | 3.45% | 3.45% | - | - | - | - | - |
| 25yr PWLB Rate | | | | | | | | | | | | | |
| Capita Asset Services | 3.20% | 3.20% | 3.30% | 3.30% | 3.50% | 3.50% | 3.60% | 3.60% | 3.70% | 3.70% | 3.70% | 3.80% | 3.80% |
| Capital Economics | 2.85% | 2.85% | 3.10% | 3.10% | 3.30% | 3.30% | 3.45% | 3.45% | - | - | - | - | - |
| 50yr PWLB Rate | | | | | | | | | | | | | |
| Capita Asset Services | 3.00% | 3.00% | 3.10% | 3.10% | 3.30% | 3.30% | 3.40% | 3.40% | 3.50% | 3.60% | 3.60% | 3.70% | 3.70% |
| Capital Economics | 2.90% | 2.90% | 3.15% | 3.15% | 3.35% | 3.35% | 3.50% | 3.50% | - | - | - | - | - |

Please note – The current PWLB rates and forecast shown above have taken into account the 20 basis point certainty rate reduction effective as of the 1st November 2012

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MRP Policy Statement

The Prudential Code requires that all capital expenditure is financed by a credit to the Capital Adjustment Account. If funding is not immediately available then a capital financing requirement (CFR) arises.

Essentially the CFR has to be mitigated over time on a prudent basis by making a “minimum revenue provision”. This is a charge to the General Fund made from the “Adjustments between Accounting Basis and Funding Basis under Regulations” and the Capital Adjustment account. The Council is also allowed to undertake additional voluntary payments if required (voluntary revenue provision - VRP).

The Department of Communities and Local Government has issued regulations which require the Cabinet to approve **an MRP Statement** in advance of each year. A variety of options are open to councils, and auditors will be satisfied as long as there is a prudent provision. Members should also note that this is a real charge to both the General Fund and Housing Revenue Account and not just an accounting adjustment. We have no option but to make a prudent provision.

The Cabinet is therefore recommended to approve the following MRP Statement:

1. For capital expenditure incurred before 1 April 2008 the MRP policy will be:
 - **Based on CFR** – MRP will be based on the CFR, This option provides for an approximate 4% reduction in the borrowing need (CFR) each year.
2. From 1 April 2008 for all unsupported borrowing (including Public Finance Initiative (PFI)) the MRP policy will be:
 - **Asset life method** – MRP will be based on the estimated life of the assets, in accordance with the regulations (this option must be applied for any expenditure capitalised under a Capitalisation Direction).
3. Finance lease will have their capital financing applied on a straight line basis over the life of the lease contract.
4. The Council makes no additional voluntary revenue provision.

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CABINET 10 MARCH 2016:

PERFORMANCE AND RISK REPORT FOR THE THIRD QUARTER OF 2015-16

Cabinet Member Cllr Peter Hare-Scott
Responsible Officer Head of Communities & Governance, Amy Tregellas

Reason for Report: To provide Members with an update on performance against the corporate plan and local service targets for 2015-16 as well as providing an update on the key business risks.

RECOMMENDATION: That the Cabinet reviews the Performance Indicators and Risks that are outlined in this report and feeds back any areas of concern.

Relationship to Corporate Plan: Corporate Plan priorities and targets are effectively maintained through the use of appropriate performance indicators and regular monitoring.

Financial Implications: None identified

Legal Implications: None

Risk Assessment: If performance is not monitored we may fail to meet our corporate and local service plan targets or to take appropriate corrective action where necessary. If key business risks are not identified and monitored they cannot be mitigated effectively.

1.0 Introduction

- 1.1 Appendices 1-6 provide Members with details of performance against the Corporate Plan and local service targets for the 2015-16 financial year.
- 1.2 Appendix 7 shows the higher impact risks from the Corporate Risk Register. This includes operational and Health and Safety risks where the score meets the criteria for inclusion
- 1.3 All appendices are produced from SPAR, the Corporate Service Performance and Risk Management system.
- 1.4 When benchmarking information is available it is included.

2.0 Performance

Managing the Environment Portfolio - Appendix 1

- 2.1 The roll out for the **chargeable garden waste** scheme commenced on 1 September 2015 but was not completed until the end of quarter 3. So far 6,097 bin permits have been sold; the uptake is expected to increase in the Spring because garden waste is seasonal.

Decent and affordable Homes Portfolio - Appendix 2

- 2.2 The **Ratio between planned and responsive repairs** – starts to make more sense by quarter 3 and is only just below target.
- 2.3 **Decent Council Homes** - We currently only have 14 properties that are non-decent with access, works are scheduled to ensure these are addressed before year end.
- 2.4 For **Gas safety** – there were 2 properties with expired certificates, as at the end of January there is only 1 remaining.

Community Well Being Portfolio - Appendix 3

- 2.5 The number of **empty shops** in all 3 towns is above target, only the number in Tiverton is higher than the previous year-end.
- 2.6 The **% of food premises** inspected is much improved from last year but still below target.
- 2.7 The “Scores on the Doors” for the year is included as Appendix 8 92% of premises are broadly compliant.

Planning and Regeneration Portfolio - Appendix 4

- 2.8 As previously, the performance for quarter 3 of 2015/16 shows that in the majority of instances targets are being met or exceeded. However **building regulations applications** remain below target for the third quarter running.
- 2.9 The Government has indicated its intention to tighten planning performance requirements so that local authorities making 50% or fewer decisions on time or those processing minor applications too slowly are at risk of designation. The Government’s **planning guarantee** requires that authorities determine all planning applications within 26 weeks unless an extension of time is agreed with the applicant. If not, the planning fee is returned. Planning performance continues to be closely monitored.
- 2.10 The report which went to Planning Committee on 21 October is included as Appendix 4; this includes comments on performance and further information about **enforcement**.

Working Environment Portfolio - Appendix 5

- 2.11 The **sickness** figures continue to be monitored closely but have been favourable against target for all 3 quarters to date this year.
- 2.12 The figures for **complaints** still cannot be relied upon unfortunately although they are reported as being below target this cannot be verified at present. Work to correct this has been delayed due to staff absence and pressure on IT due to other project work.

Finance Portfolio - Appendix 6

2.13 Both % **Council Tax** and % **NDR** collected are below target at present. However 2015/16 is the first year targets have been profiled so this will be monitored closely and targets reset as necessary for 2016/17.

3.0 Risk

3.1 The Corporate risk register is reviewed by Management Team (MT) and updated, risk reports to committees include risks with a total score of 15 or more and all those with an impact score of 5. (Appendix 7)

3.2 Service and Corporate Business risks will be reviewed when the Corporate Plan for 2015-19 is published.

3.3 The profile of these risks for this quarter is:

| | | | | | | |
|---------------|----------|-------------------|----------|----------|----------|----------|
| Impact | 5 | 13 | 2 | 1 | | |
| | 4 | | | | | |
| | 3 | | | | | |
| | 2 | | | | | |
| | 1 | | | | | |
| | | 1 | 2 | 3 | 4 | 5 |
| | | Likelihood | | | | |

4.0 Conclusion and Recommendation

4.1 That the Cabinet reviews the performance indicators and risks that are outlined in this report and feeds back any areas of concern.

Contact for more Information: Amy Tregellas, Head of Communities & Governance ext 4246

Circulation of the Report: Management Team and Cabinet Member

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MTE PDG Performance Report - Appendix 1

Quarterly report for 2015-2016

No headings

For Environment - Cllr Neal Davey Portfolio

For MDDC - Services

Filtered by Performance Status: Exclude PI Status: Data not due, Not calculable

Key to Performance Status:

| | | | | | | |
|-------------------------|---------|-------------------|--------------|-----------|--------------|-------------------|
| Performance Indicators: | No Data | Well below target | Below target | On target | Above target | Well above target |
|-------------------------|---------|-------------------|--------------|-----------|--------------|-------------------|

MTE PDG Performance Report - Appendix 1

| Performance Indicators | | | | | | | | |
|---|---|---------------|-----------------------------------|-----------------------------------|--------|--------|--------|--------|
| Status | Title | Prev Year End | Annual Target | Current Target | Q1 Act | Q2 Act | Q3 Act | Q4 Act |
| No Target | <u>Number of Fixed Penalty Notices (FPNs) Issued (Environment)</u> | n/a | No target - for information only. | No target - for information only. | 2 | 4 | 12 | |
| Management Notes: | | | | | | | | |
| Above target | <u>Residual household waste per head (measured in Kilograms)</u> | 462.6 | 455.00 | 341.25 (3/4) | 117.44 | 225.63 | 329.42 | |
| Management Notes: (Quarter 1 - 3) This is reducing hopefully due to introduction of new scheme (SK) | | | | | | | | |
| Below target | <u>% of Household Waste Reuse, Recycled and Composted</u> | 48.2% | 52.0% | 52.0% (3/4) | 50.2% | 52.2% | 50.9% | |
| Management Notes: (Quarter 3) Recycling Rate for the year is up compared to previous years rate of 48.2%. The new scheme has been rolled out during Q3 to all HHS so should see Q4 performance rise as more is recycled. (SK) | | | | | | | | |
| Well above target | <u>Number of Households on Chargeable Garden Waste</u> | n/a | 15% | 11% (3/4) | 0% | 0% | 18% | |
| Management Notes: (Quarter 3) 6,097 bin permits sold. (SK) | | | | | | | | |
| Well above target | <u>% of missed collections reported per Quarter (refuse and organic waste)</u> | 0.10% | 0.03% | 0.03% (3/4) | 0.02% | 0.02% | 0.02% | |
| Management Notes: | | | | | | | | |
| Well below target | <u>% of Missed Collections logged per Quarter (recycling)</u> | 0.13% | 0.03% | 0.03% (3/4) | 0.05% | 0.08% | 0.13% | |
| Management Notes: (Quarter 3) This is below target due to the reschedule of rounds to match waste rounds following phase 2 roll out of new scheme. Drivers notes have not been correct due to IT issues. Some missed are due to residents not reading new calendars which has changed weeks of collection. | | | | | | | | |

MTE PDG Performance Report - Appendix 1

| Performance Indicators | | | | | | | | |
|---|--|---------------|---------------|----------------|--------|--------|--------|--------|
| Status | Title | Prev Year End | Annual Target | Current Target | Q1 Act | Q2 Act | Q3 Act | Q4 Act |
| High level of agency staff used during roll out has also reduced route knowledge. PI expected to improve again in Q4 | | | | | | | | |
| (SK) | | | | | | | | |
| Well above target | <u>Number of Missed Collections reported per Quarter (refuse and organic waste)</u> | 1,797 | 540 | 405 (3/4) | 99 | 203 | 354 | |
| <u>Management Notes:</u> | | | | | | | | |
| Well below target | <u>Number of Missed Collections reported per Quarter (Recycling)</u> | 1,162 | 270 | 203 (3/4) | 126 | 380 | 895 | |
| <u>Management Notes:</u> (Quarter 3) | | | | | | | | |
| This is below target due to the reschedule of rounds to match waste rounds following phase 2 roll out of new scheme. Drivers notes have not been correct due to IT issues. Some missed are due to residents not reading new calendars which has changed weeks of collection. High level of agency staff used during roll out has also reduced route knowledge. PI expected to improve again in Q4 | | | | | | | | |
| (SK) | | | | | | | | |

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DAH PDG Performance Report - Appendix 2

Quarterly report for 2015-2016

No headings

For Decent and Affordable Homes - Cllr Ray Stanley Portfolio

For MDDC - Services

Filtered by Performance Status: Exclude PI Status: Data not due, Not calculable

Key to Performance Status:

| | | | | | | |
|-------------------------|---------|-------------------|--------------|-----------|--------------|-------------------|
| Performance Indicators: | No Data | Well below target | Below target | On target | Above target | Well above target |
|-------------------------|---------|-------------------|--------------|-----------|--------------|-------------------|

DAH PDG Performance Report - Appendix 2

| Performance Indicators | | | | | | | | |
|--|--|---------------|---------------|----------------|---------|---------|---------|--------|
| Status | Title | Prev Year End | Annual Target | Current Target | Q1 Act | Q2 Act | Q3 Act | Q4 Act |
| Well below target | <u>Deliver 15 homes per year by bringing Empty Houses into use</u> | 12 | 15 | 11 (3/4) | 1 | 4 | 5 | |
| Management Notes: (Quarter 3) | | | | | | | | |
| <p>This property was originally vacated due to Housing Conditions and required substantial works triggered by the Conservation Team and PSH in 2013/14. projected out turn for this year end is estimated as achieving no more than 8 returned empties</p> <p>The structural changes in 2014 removed the PSH resource to proactively deal with Empty Homes. The new Public Health Service together with the Cabinet Member for Housing has sought to correct that. An Empty Homes Officer will be available 2 days per week from March 2016 as we have secured a partnership arrangement with Exeter CC. This will also link in with initiatives focussed on Town Centre Regeneration as the role progresses</p> | | | | | | | | |
| (HS) | | | | | | | | |
| Well below target | <u>Number of affordable homes delivered (gross)</u> | 58 | 80 | 60 (3/4) | 0 | 14 | 19 | |
| Management Notes: (Quarter 1 - 3) | | | | | | | | |
| <p>In Q3 we completed on 5 affordable homes, three were Shared Ownership and two were affordable rent within the Urban area.</p> <p>Therefore the total to date for the year is 19 homes. 3 are Shared Ownership, 16 are affordable rented. All in the Urban area.</p> | | | | | | | | |
| (NC) | | | | | | | | |
| On target | <u>% Emergency Repairs Completed on Time</u> | 100.00% | 100.00% | 100.00% (9/12) | 100.00% | 100.00% | 100.00% | |
| Management Notes: | | | | | | | | |
| On target | <u>% Urgent Repairs Completed on Time</u> | 99.94% | 100.00% | 100.00% (9/12) | 100.00% | 100.00% | 100.00% | |
| Management Notes: | | | | | | | | |
| Below target | <u>% Routine Repairs Completed on Time</u> | 99.98% | 100.00% | 100.00% (9/12) | 100.00% | 99.95% | 99.97% | |
| Management Notes: | | | | | | | | |
| Below target | <u>% Repairs Completed at First Visit</u> | 99.87% | 100.00% | 100.00% (9/12) | 98.28% | 98.30% | 98.11% | |
| Management Notes: | | | | | | | | |
| Below target | <u>Ratio of expenditure between planned and responsive repairs</u> | 81.19 | 70.30 | 70.30 (3/4) | 29.71 | 55.45 | 69.31 | |
| Management Notes: | | | | | | | | |

DAH PDG Performance Report - Appendix 2

| Performance Indicators | | | | | | | | |
|--------------------------|--|---------------|----------------------------------|----------------------------------|----------|----------|----------|--------|
| Status | Title | Prev Year End | Annual Target | Current Target | Q1 Act | Q2 Act | Q3 Act | Q4 Act |
| Below target | <u>Rent Collected as a Proportion of Rent Owed</u> | 100.09% | 100.75% | 100.54% (9/12) | 96.96% | 99.13% | 99.72% | |
| Management Notes: | | | | | | | | |
| Well above target | <u>Rent Arrears as a Proportion of Annual Rent Debit</u> | 0.60% | 1.00% | 1.00% (9/12) | 0.94% | 1.05% | 0.81% | |
| Management Notes: | | | | | | | | |
| Below target | <u>% Decent Council Homes</u> | 100.00% | 100.00% | 100.00% (9/12) | 99.38% | 99.28% | 99.45% | |
| Management Notes: | | | | | | | | |
| Below target | <u>% Properties With a Valid Gas Safety Certificate</u> | 99.86% | 100.00% | 100.00% (9/12) | 99.72% | 99.95% | 99.91% | |
| Management Notes: | | | | | | | | |
| Below target | <u>Average Days to Re-Let Local Authority Housing</u> | 14.9days | 17.0days | 17.0days (9/12) | 16.3days | 15.8days | 17.9days | |
| Management Notes: | | | | | | | | |
| No Target | <u>Dwelling rent lost due to voids</u> | n/a | no target - for information only | no target - for information only | 0.73% | 0.64% | 0.68% | |
| Management Notes: | | | | | | | | |

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CWB PDG Performance Report - Appendix 3

Quarterly report for 2015-2016

No headings

For Community Well-Being - Cllr Colin Slade Portfolio

For MDDC - Services

Filtered by Performance Status: Exclude PI Status: Data not due, Not calculable

Key to Performance Status:

| | | | | | | |
|-------------------------|---------|-------------------|--------------|-----------|--------------|-------------------|
| Performance Indicators: | No Data | Well below target | Below target | On target | Above target | Well above target |
|-------------------------|---------|-------------------|--------------|-----------|--------------|-------------------|

CWB PDG Performance Report - Appendix 3

| Performance Indicators | | | | | | | | |
|---|---|---------------|---------------|----------------|--------|--------|--------|--------|
| Status | Definition | Prev Year End | Annual Target | Current Target | Q1 Act | Q2 Act | Q3 Act | Q4 Act |
| Well above target | <u>The number of Empty Shops. (TIVERTON)</u> | 12 | 20 | 20 (3/4) | 17 | 16 | 16 | |
| Management Notes: (Quarter 3) | | | | | | | | |
| 16 empty shops out of 248 shops = 6.45% of shops in Tiverton were empty at the time of the survey in January 2016 | | | | | | | | |
| (JB) | | | | | | | | |
| Well above target | <u>The number of Empty Shops. (CREDITON)</u> | 10 | 10 | 10 (3/4) | 9 | 5 | 7 | |
| Management Notes: (Quarter 3) | | | | | | | | |
| 7 empty shops out of 118 shops = 5.93% of shops in Crediton were empty at the time of the survey in January 2016 | | | | | | | | |
| (JB) | | | | | | | | |
| Well above target | <u>The number of Empty Shops (CULLOMPTON)</u> | 11 | 14 | 14 (3/4) | 12 | 7 | 8 | |
| Management Notes: (Quarter 3) | | | | | | | | |
| 8 empty shops out of 93 shops = 8.60% of shops in Cullompton were empty at the time of the survey in January 2016 | | | | | | | | |
| (JB) | | | | | | | | |
| Well below target | <u>Percentage of food premises inspections that should have been carried out that were carried out for A & B (High Risk) premises</u> | 46% | 100% | 100% (3/4) | | | 75% | |
| Management Notes: | | | | | | | | |
| Below target | <u>The percentage of Leisure's operational expenditure recovered through customer receipts</u> | 88.16% | 88.50% | 88.50% (3/4) | 79.19% | 83.76% | 84.36% | |
| Management Notes: | | | | | | | | |
| Below target | <u>% of Leisure members retained from month beginning to month end.</u> | 95.33% | 96.50% | 96.50% (3/4) | 96.87% | 95.46% | 95.65% | |
| Management Notes: | | | | | | | | |
| Above | <u>Issue of TENS within 3</u> | n/a | 97% | 97% (3/4) | 94% | 97% | 98% | |

REPORT OF THE HEAD OF PLANNING AND REGENERATION

PLANNING PERFORMANCE QUARTER 3 2015/16

RECOMMENDATION:

For information and discussion.

REASON FOR REPORT:

To provide the Committee with information on the performance of Planning Services for quarter 3 within the 2015-16 financial year.

MATTERS FOR CONSIDERATION:

Performance against targets and Planning Service staffing in the immediate future.

RELATIONSHIP TO CORPORATE PLAN:

Well Managed Council

FINANCIAL IMPLICATIONS: Planning performance has the potential for significant financial implications in the event that applications are not determined within 26 weeks or an extension of time negotiated. In that instance the planning fee is returned.

LEGAL IMPLICATIONS: The Government monitors planning performance in terms of speed and quality of decision making. In the event minimum standards are not met, an authority may be designated as being in special measures allowing applicants to apply for permission direct from the Planning Inspectorate and bypassing local decision making. The speed measure is the number of major applications determined within 13 weeks as measured over a 2 year period. The target of more than 40% has been met (56%), but the target is to be increased to 50%. The quality measure is the percentage of major applications determined over a two year period that have been overturned at appeal. The less than 20% target has been met (5%).

RISK ASSESSMENT: Financial risk as a result of fee return and the designation of planning authorities in special measures for underperformance is referred to above. These aspects are actively monitored, to allow priorities to be adjusted as required to reduce the risk.

1.0 PLANNING PERFORMANCE

Set out below are the Planning Service performance figures for quarter three from 1st October – 31st December 2015 together with a comparison with the target and figures from the earlier quarters in this financial year.

Performance data is published quarterly on the Council's website at <https://new.middevon.gov.uk/planning/performance-standards/>

The performance for this first quarter is set out below and expressed as a percentage unless marked otherwise and reports against a mix of Government and local performance targets.

| Planning Service Performance | Target | Qu 1 2015/16 | Qu 2 2015/16 | Qu3 2015/16 |
|---|---------------|-------------------------|-------------------------|------------------------|
| Major applications determined within 13 weeks | 60% | 57% | 50% | 75% |
| Minor applications determined within 8 weeks | 65% | 68% | 73% | 74% |
| Other applications determined within 8 weeks | 80% | 91% | 85% | 75% |

| | | | | |
|--|---------------------------|------|-----|-----|
| Householder applications determined in 8 weeks | 85% | 92% | 97% | 95% |
| Listed Building Consents determined in 8 weeks | 80% | 70% | 67% | 85% |
| Enforcement site visits undertaken within 15 days of complaint receipt | 87% | 100% | 94% | 89% |
| Delegated decisions | 90% | 94% | 93% | 94% |
| Applications over 13 weeks old without a decision | Less than 45 applications | 25 | 26 | 36 |
| Major applications determined within 13 weeks (over last 2 years) | More than 40% | 51% | 58% | 56% |
| Determine all applications within 26 weeks or with an extension of time (per annum –Government planning guarantee) | 100% | 97% | 96% | 94% |
| Building Regulations Applications examined within 3 weeks | 95% | 70% | 70% | 76% |
| Building Regulation Full Plan applications determined in 2 months | 95% | 99% | 98% | 97% |

In addition during this quarter activity within the enforcement part of the Planning Service included and can be compared against that of earlier quarters:

| Enforcement 2015/16 | Qu 1 | Qu 2 | Qu 3 |
|---|--------------------------|-------------|-------------|
| Number of new enforcement cases registered | 14 | 71 | 54 |
| Number of enforcement cases closed | 47 | 53 | 39 |
| Number of committee authorisations sought | 3 | 2 | 1 |
| Number of planning contravention notices served | Data available from Qu 2 | 9 | 5 |
| Number of breach of condition notices served | 0 | 1 | 0 |
| Number of enforcement notices served | 2 | 1 | 0 |

The performance for quarter 3 of 2015/16 shows that in the majority of instances targets are being met or exceeded. Listed Building Consent performance during this quarter has improved, with the 80% target for applications determined within 8 weeks being exceeded. The major application target of 60% determined within 13 weeks was also exceeded within this quarter (75%), but will need to be monitored closely in the final quarter of this financial year as the two earlier quarters missed this target. However there remain some areas of concern identified in the performance figures:

The 'other' type application performance target of more than 80% of decisions within 8 weeks was missed

Planning Service staffing continues to still not be at full strength due to the maternity leave of several senior staff. This has had knock on effects in terms of associated arrangements for staff cover and redeployment of staff into different roles. Not all posts have been backfilled.

In the publication 'Fixing the foundations: creating a more prosperous nation' as part of the summer budget 2015, the Government has indicated its intention to tighten planning performance requirements so that local authorities making 50% or fewer decisions on time or those processing minor applications too slowly are at risk of designation. The Government's planning guarantee requires that authorities determine all planning applications within 26 weeks unless an extension of time is agreed with the applicant. If not, the planning fee is returned. Within this publication the Government has also indicated its intention to significantly tighten the planning guarantee for minor applications. Planning performance continues to be closely monitored. The performance of the planning service against targets will therefore become increasingly important, requires resourcing and presents a financial risk to the authority in the event that the planning guarantee is not met.

Every effort continues to be made to maintain our charter standards of customer service and our performance levels within the eight and thirteen week government target periods. The impact of a challenging period for staffing, particularly within Development Management continues to be reflected in some of the application time taken figures. Staffing change within this team will continue throughout the financial year as a result of maternity leave and associated cover arrangements.

Contact for Information: Jenny Clifford, Head of Planning and Regeneration
01884 234346

List of Background Papers: PS1 and PS2 returns
'Fixing the foundations – creating a more prosperous nation' HM Treasury July 2015

Circulation of the Report: Cllr Richard Chesterton
Members of Planning Committee

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Working Environment Portfolio Performance - Appendix 5

Quarterly report for 2015-2016

No headings

For Working Environment and Support Services - Cllr Margaret Squires Portfolio

For MDDC - Services

Filtered by Performance Status: Exclude PI Status: Data not due, Data not entered

Key to Performance Status:

| | | | | | | |
|-------------------------|---------|-------------------|--------------|-----------|--------------|-------------------|
| Performance Indicators: | No Data | Well below target | Below target | On target | Above target | Well above target |
|-------------------------|---------|-------------------|--------------|-----------|--------------|-------------------|

Working Environment Portfolio Performance - Appendix 5

| Performance Indicators | | | | | | | | |
|---|--|---------------|----------------------|----------------------|--------|--------|--------|--------|
| Status | Title | Prev Year End | Annual Target | Current Target | Q1 Act | Q2 Act | Q3 Act | Q4 Act |
| No Target | <u>Number of phone calls to CF per month</u> | 12,670 | For Information Only | For Information Only | 11,192 | 11,420 | 12,483 | |
| Management Notes: | | | | | | | | |
| Above target | <u>Satisfaction with front-line services</u> | 81.75% | 80.00% | 80.00% (2/4) | 80.00% | 81.50% | | |
| Management Notes: (Quarter 3) | | | | | | | | |
| staff training on running stats and reports to be provided in March, all stats will be brought up to date by year end. | | | | | | | | |
| (LR) | | | | | | | | |
| Well below target | <u>% complaints acknowledged w/in 3 days</u> | 46% | 80% | 80% (3/4) | 39% | 50% | 58% | |
| Management Notes: | | | | | | | | |
| Below target | <u>% of complaints resolved w/in timescales (10 days - 12 weeks)</u> | 97% | 90% | 90% (3/4) | 83% | 87% | 87% | |
| Management Notes: | | | | | | | | |
| Above target | <u>% Emails received by Customer Services responded to within 5 days</u> | 98.0% | 95.00% | 95.00% (3/4) | 99.00% | 98.50% | 98.67% | |
| Management Notes: | | | | | | | | |
| Not calculable | <u>Number of Complaints</u> | 74 | For information only | For information only | 61 | 39 | 87 | |
| Management Notes: | | | | | | | | |
| Not calculable | <u>Number of Digital payments</u> | 8,989 | For information only | For information only | 11,886 | 12,563 | | |
| Management Notes: (Quarter 3) | | | | | | | | |
| staff training is needed to run stats reports. this will provided in March and all stats brought up to date by year end | | | | | | | | |
| (LR) | | | | | | | | |
| No Target | <u>Number of web hits per month</u> | n/a | For information only | For information only | 0 | 0 | 0 | |
| Management Notes: | | | | | | | | |
| On target | <u>% electoral registration forms returned during</u> | 0% | 90% | 90% (3/4) | 0% | 0% | 98% | 0% |

| Working Environment Portfolio Performance - Appendix 5 | | | | | | | | |
|--|--|---------------|---------------|----------------|----------|----------|----------|--------|
| Performance Indicators | | | | | | | | |
| Status | Title | Prev Year End | Annual Target | Current Target | Q1 Act | Q2 Act | Q3 Act | Q4 Act |
| | <u>annual canvass of electors</u> | | | | | | | |
| Management Notes: | | | | | | | | |
| On target | <u>% Electoral Commission Registration Performance Standards</u> | 0% | 90% | 90% (3/4) | 0% | 0% | 100% | 0% |
| Management Notes: | | | | | | | | |
| Below target | <u>Response to FOI Requests (within 20 working days)</u> | 95% | 100% | 100% (2/4) | 70% | 90% | | |
| Management Notes: (Quarter 3) staff training is needed to run reports. this will provided in March and all stats brought up to date by year end (LR) | | | | | | | | |
| Above target | <u>Working Days Lost Due to Sickness Absence</u> | 9.21days | 8.00days | 6.00days (3/4) | 1.64days | 3.68days | 5.71days | |
| Management Notes: | | | | | | | | |

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Finance Portfolio Performance - Appendix 6

Quarterly report for 2015-2016
No headings
For Finance - Cllr Peter Hare-Scott Portfolio
For MDDC - Services

Key to Performance Status:

| | | | | | | |
|-------------------------|---------|-------------------|--------------|-----------|--------------|-------------------|
| Performance Indicators: | No Data | Well below target | Below target | On target | Above target | Well above target |
|-------------------------|---------|-------------------|--------------|-----------|--------------|-------------------|

Finance Portfolio Performance - Appendix 6

| Performance Indicators | | | | | | | | |
|---|---|---------------|---------------|----------------|--------|--------|--------|--------|
| Status | Title | Prev Year End | Annual Target | Current Target | Q1 Act | Q2 Act | Q3 Act | Q4 Act |
| Below target | <u>% total Council tax collected - monthly</u> | 97.80% | 98.0% | 94.0% (10/12) | 29.4% | 56.7% | 83.4% | |
| Management Notes: | | | | | | | | |
| Below target | <u>% total NNDR collected - monthly</u> | 99.00% | 98.00% | 96.00% (10/12) | 31.10% | 55.80% | 80.59% | |
| Management Notes: | | | | | | | | |
| Above target | <u>Percentage of Invoices Paid on Time</u> | 99.26% | 97.50% | 97.50% (1/2) | n/a | 99.57% | n/a | |
| Management Notes: (April - September) | | | | | | | | |
| The Creditors team continue to perform very well continually looking to improve their processes including being very proactive in encouraging departments to GRN invoices promptly on receipt of goods. | | | | | | | | |
| (RF) | | | | | | | | |
| Well above target | <u>Time taken to process Housing Benefit/Council Tax Benefit new claims and change events</u> | 8days | 14days | 14days (3/4) | 14days | 13days | 12days | |
| Management Notes: | | | | | | | | |

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Risk Report Appendix 7

Report for 2015-2016
 Filtered by Flag:Include: * CRR 5+ / 15+
 For MDDC - Services

Not Including Risk Child Projects records or Mitigating Action records

Key to Performance Status:

Risks: No Data (0+) High (15+) Medium (5+) Low (1+)

Risk Report Appendix 7

Risk: Asbestos Health risks associated with Asbestos products such as lagging, ceiling/wall tiles, fire control.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Housing Services

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Nick Sanderson

Review Note: Recommendations from the HSE after the events last year have now been implemented.

Risk Report Appendix 7

Risk: Breaches in HR Legislation Failure to keep Council policies up to date, that complement the appropriate legislation

Failure to develop staff knowledge and competence regarding legislation/changes

Effects (Impact/Severity): - The Council could face poor reports from assurance bodies
 - Failure to meet statutory duties could result in paying penalties, stretching already thin financial resources
 - Failure to comply with legislation could lead to legal challenge against individuals or the Council as a whole
 - Future legislation changes, their impact on services and the cost of implementing changes to policies, procedures and service delivery

Causes (Likelihood):

Service: Human Resources

| | | |
|--------------------------------|---|--|
| Current Status: No Data | Current Risk Severity: 5 - Very High | Current Risk Likelihood: 1 - Very Low |
|--------------------------------|---|--|

Head of Service: Jill May

Review Note: The council employs four Chartered Ins of Personnel and Development (CIPD) staff who undertake regular employment law updates. All policies are reviewed on an three year programme which has slipped lately due to pressure of work (reorganisations, consultations and redundancies) however we always prioritise legislative change. Therefore whilst this is a huge risk it is a risk which is managed.

Risk: Chemicals Staff using chemicals incorrectly.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

| | | |
|-----------------------------------|---|--|
| Current Status: Medium (5) | Current Risk Severity: 5 - Very High | Current Risk Likelihood: 1 - Very Low |
|-----------------------------------|---|--|

Head of Service: Jill May

Review Note:

Risk Report Appendix 7

Risk: Council Finances - Banking Arrangements Problems with banks and online services may affect ability to access funds when we need to or receive / process payments on a timely basis

Effects (Impact/Severity): Unable to promptly pay suppliers or treasury commitments

Causes (Likelihood): ICT systems down at Council or Bank so impossible to review cash position or make urgent payments

Service: Financial Services

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Andrew Cawdron, Andrew Jarrett

Review Note:

Risk: Council Finances - Investments Failure to invest in the Council's funds in an efficient and effective manner may cause potential of a loss of monies invested

Effects (Impact/Severity): • Could result in cash flow loss of up to £3M

Causes (Likelihood): • Future banking collapses

Service: Financial Services

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Andrew Cawdron, Andrew Jarrett

Review Note: Cabinet have recently agreed to invest in CCLA

Risk: Council Finances - Treasury Management Failure to comply with the CIPFA Code of Practice on Treasury Management /local authority accounting would be a breach in statutory duty

Effects (Impact/Severity):

Causes (Likelihood):

Service: Financial Services

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Andrew Cawdron, Andrew Jarrett

Review Note: Strategy is approved by Cabinet annually.
2015 Audit found no issue with this

Risk Report Appendix 7

Risk: Document Retention If documents fail to be retained for the statutory period then we may face financial penalties

Effects (Impact/Severity):

- The Council may be disadvantaged in taking or defending legal action if prime documents are not retained;
- Performance statistics cannot be verified;
- The external auditor may not be able to verify the Council's final accounts and subsidy may be lost.
- Mismanagement of burial records

Causes (Likelihood): • "Data debris" cluttering system and storage space

Service: Management Team

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Christina Cross

Review Note:

Risk: Eastern Urban Extension Tiverton If progress on a masterplan is delayed, the Council becomes vulnerable to speculative planning applications being submitted which do not accord with adopted policies. This could lead to unsustainable development which would not meet policy requirements for essential infrastructure.

Effects (Impact/Severity): Delay will reduce confidence in the deliverability of the urban extension in a comprehensive and coordinated manner, thereby increasing the likelihood of planning applications being submitted for disparate areas of land without the necessary infrastructure provision or without a means of ensuring that infrastructure can be provided at the right time and in the right place. Additionally, individual applications increase the risk of proposals prejudicing the delivery of other areas of land within the allocation.

Causes (Likelihood):

Service: Development Management

Current Status: No
Data

Current Risk Severity: 5 - Very
High

Current Risk Likelihood: 3 -
Medium

Head of Service: None

Review Note:

Risk: Failure to comply with card security standards As an organisation we need to comply with the requirements of TrustWave to be authorised as card payment processors.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Management Team

Current Status:
Medium (5)

Current Risk Severity: 5 -
Very High

Current Risk Likelihood: 1 -
Very Low

Head of Service: Liz Reeves

Review Note: Annual review of policy and training for all staff. ICT advise on all payment systems to ensure comply to PCI standard.

Risk Report Appendix 7

Risk: Fire and Explosion Risks associated with storage of combustible materials, fuels and flammable substances and sources of ignition, as well as emergency procedures (existence, display and knowledge of), accessibility (or obstruction) of emergency exits and walkways to. Also, risks associated with use of fire extinguishers, having correct type in location, in date and trained operatives on site.

Effects (Impact/Severity): Very High (5) – Although the risk is low, a fire in the server or storage room could potentially cause loss of life, have serious financial implications and severely impact the councils ability to provide services due to loss of IT infrastructure.

Causes (Likelihood): Very Low (1) – The likelihood of a fire within ICT is extremely low. No quantities of combustible materials are stored within the work area. There is easy access to the emergency exit and all staff have received fire awareness training.

Service: I C T

Current Status: No Data

Current Risk Severity: 5 - Very High

Current Risk Likelihood: 1 - Very Low

Head of Service: Christina Cross

Review Note: we had an incident 7 pm Tuesday evening and our heat sensors and recovery team worked all as it should and problem averted

Risk: Information Security Inadequate Information Security could lead to breaches of confidential information, damaged or corrupted data and ultimately Denial of Service. If the council fails to have an effective information strategy in place.

Risk of monetary penalties and fines, and legal action by affected parties

Effects (Impact/Severity):

Causes (Likelihood):

Service: I C T

Current Status: Medium (5)

Current Risk Severity: 5 - Very High

Current Risk Likelihood: 1 - Very Low

Head of Service: Christina Cross

Review Note:

Risk: Legionella Legionella

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

Current Status: Medium (5)

Current Risk Severity: 5 - Very High

Current Risk Likelihood: 1 - Very Low

Head of Service: Jill May

Review Note:

Risk Report Appendix 7

Risk: Plant Rooms plant rooms

Effects (Impact/Severity):

Causes (Likelihood):

Service: Leisure Services

**Current Status:
Medium (5)**

**Current Risk Severity: 5 -
Very High**

**Current Risk Likelihood: 1 -
Very Low**

Head of Service: Jill May

Review Note:

Risk: St Andrew Street A staircase in the new development does not meet current building regulations due to conservation requirements.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Property Services

**Current Status: High
(15)**

**Current Risk Severity: 5 - Very
High**

**Current Risk Likelihood: 3 -
Medium**

Head of Service: None

Review Note: Can we make sure that tenants allocated do not increase the potential risk?

Risk: Vehicles, Transport, Driving Risk of collisions with other moving or stationary vehicles, cycles and/or pedestrians.

Effects (Impact/Severity):

Causes (Likelihood):

Service: Environmental Enforcement

**Current Status: No
Data**

**Current Risk Severity: 5 - Very
High**

**Current Risk Likelihood: 1 -
Very Low**

Head of Service: None

Review Note:

Risk: Waste Collection - Health and Safety Inadequate training with regards to Manual Handling and workplace hazards (eg contact with broken glass) could result in Health and Safety risks

Effects (Impact/Severity):

Causes (Likelihood): - Increasing demand and service costs due to increasing population, consumer society and an increasing amount of waste

Service: Street Scene Services

**Current Status:
Medium (10)**

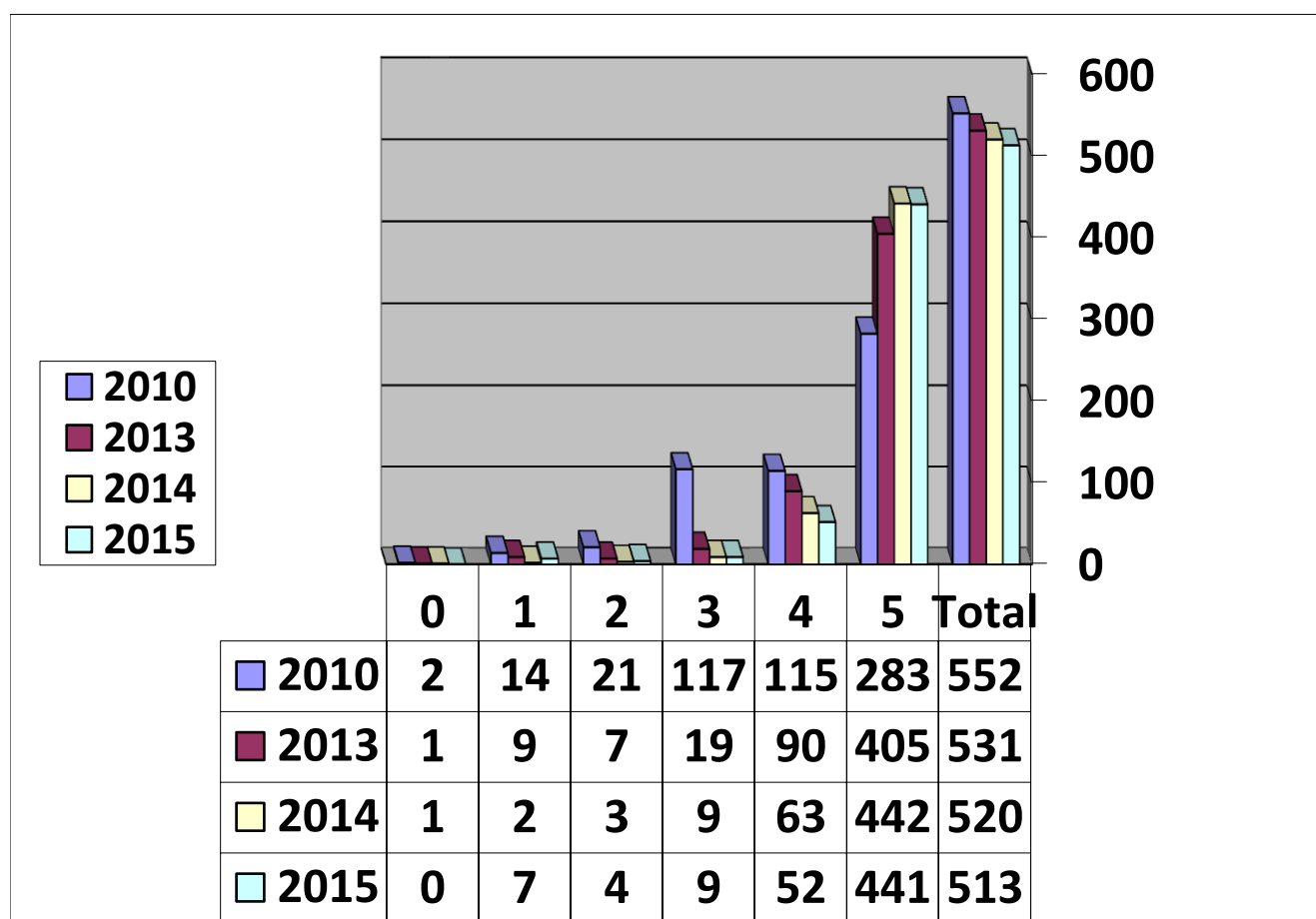
**Current Risk Severity: 5 - Very
High**

**Current Risk Likelihood: 2 -
Low**

Head of Service: Andrew Jarrett

Review Note:

Food Hygiene Rating Scheme 2010-2015



FOOD HYGIENE RATING SCHEME BANDINGS

- 0 Urgent improvement necessary
- 1 Major improvement necessary
- 2 Improvement necessary
- 3 Generally satisfactory
- 4 Good
- 5 Very good

* The national food hygiene rating scheme was launched in 2010

BROADLY COMPLIANT PREMISES

92% of all food premises are broadly compliant premises (a premises scoring < 10 for hygiene; structure or management), equivalent to a food hygiene rating of 3 and above. This includes food manufacturers and low risk food premises which does not come under the food hygiene ratings scheme

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MID DEVON DISTRICT COUNCIL – NOTIFICATION OF KEY DECISIONS

March 2016

The Forward Plan containing key Decisions is published 28 days prior to each Cabinet meeting

| Title of report and summary of decision | Decision Taker | Date of Decision | Officer contact | Cabinet Member | Intention to consider report in private session and the reason(s) |
|---|--|---------------------------------|--|----------------|---|
| <p>Land for Affordable Housing To acquire land (in consultation with the Cabinet Member for Housing) for the provision of affordable housing (under the scheme of delegation) at Waddeton Park, Post Hill, Tiverton</p> | <p>Head of Housing and Property Services</p> | <p>Not before 20th Oct 2015</p> | <p>Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960</p> | | <p>Open</p> |
| <p>Partial Disposal of Council Asset To agree in consultation with the Cabinet Member for Housing and the Cabinet Member for Planning & Economic Development the disposal to Premier Inn for 125 years of part of the multi-storey car park and ancillary grass area for the provision of a hotel.</p> | <p>Head of Housing and Property Services</p> | <p>Not before 31st Oct 2015</p> | <p>Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960</p> | | <p>Open</p> |

| Title of report and summary of decision | Decision Taker | Date of Decision | Officer contact | Cabinet Member | Intention to consider report in private session and the reason(s) |
|---|--|--|--|---|---|
| <p>Play Area Inspection Policy Report of the Head of Housing and Property Services regarding a revision to the policy.</p> | <p>Managing the Environment Policy Development Group Cabinet</p> | <p>8 Mar 2016 7 Apr 2016</p> | <p>Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960</p> | <p>Cabinet Member for the Environment (Councillor Neal Davey)</p> | <p>Open</p> |
| <p>Private Sector Housing Renewal Policy To receive a report from the Head of Housing and Property Services reviewing the existing policy.</p> | <p>Decent and Affordable Homes Policy Development Group Cabinet</p> | <p>22 Mar 2016 7 Apr 2016</p> | <p>Jill May, Head of HR and Development Tel: 01884 234381</p> | <p>Cabinet Member for Housing (Councillor Ray Stanley)</p> | <p>Open</p> |
| <p>Housing Strategy To receive a report from the Head of Housing and Property Services reviewing the existing strategy.</p> | <p>Decent and Affordable Homes Policy Development Group Cabinet</p> | <p>22 Mar 2016 7 Apr 2016</p> | <p>Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960</p> | <p>Cabinet Member for Housing (Councillor Ray Stanley)</p> | <p>Open</p> |
| <p>Succession and Assignment Policy To receive a report from the Head of Housing and Property Services reviewing the existing policy.</p> | <p>Decent and Affordable Homes Policy Development Group</p> | <p>22 Mar 2016</p> | <p>Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960</p> | <p>Cabinet Member for Housing (Councillor Ray Stanley)</p> | <p>Open</p> |

| Title of report and summary of decision | Decision Taker | Date of Decision | Officer contact | Cabinet Member | Intention to consider report in private session and the reason(s) |
|--|---|--|--|---|---|
| | Cabinet | 7 Apr 2016 | | | |
| Single Equalities Policy 2016-17 Report of the Head of Communities and Governance regarding this revised policy | Community Well Being Policy Development Group Cabinet | 29 Mar 2016 7 Apr 2016 | Amy Tregellas, Head of Communities and Governance and Monitoring Officer Tel: 01884 234246 | Cabinet Member for Community Well Being (Councillor Colin Slade) | Open |
| Toward Investment Policy Report of the Head of Communities and Governance regarding this policy | Community Well Being Policy Development Group Cabinet Council | 29 Mar 2016 7 Apr 2016 27 Apr 2016 | Amy Tregellas, Head of Communities and Governance and Monitoring Officer Tel: 01884 234246 | Cabinet Member for Planning and Economic Regeneration (Councillor Richard Chesterton) | Open |
| Review of Grass Cutting The Grounds Maintenance Service and future arrangements for cutting grass on land that does not belong to the authority. | Managing the Environment Policy Development Group Cabinet | 8 Mar 2016 7 Apr 2016 | Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960 | Cabinet Member for the Environment (Councillor Neal Davey) | Open |
| Masterplan - Area B Tiverton Eastern Urban | Cabinet | 7 Apr 2016 | Jenny Clifford, Head of Planning and | Cabinet Member for Planning and | Open |

| Title of report and summary of decision | Decision Taker | Date of Decision | Officer contact | Cabinet Member | Intention to consider report in private session and the reason(s) |
|--|--|-------------------------------|---|---|---|
| Extension Report of the Head of Planning and Regeneration requesting the Cabinet to consider consultation drafts | | | Regeneration Tel: 01884 234346 | Economic Regeneration (Councillor Richard Chesterton) | |
| Tiverton Eastern Urban Extension Design Guide Report of the Head of Planning and Regeneration regarding a design guide for the Tiverton Eastern Urban Extension. | Cabinet | 7 Apr 2016 | Jenny Clifford, Head of Planning and Regeneration Tel: 01884 234346 | Cabinet Member for Planning and Economic Regeneration (Councillor Richard Chesterton) | Open |
| Tourism Action Plan To consider a report of the Head of Communities and Governance regarding a new policy | Community Well Being Policy Development Group Cabinet | 2 Feb 2016 7 Apr 2016 | Amy Tregellas, Head of Communities and Governance and Monitoring Officer Tel: 01884 234246 | Cabinet Member for Planning and Economic Regeneration (Councillor Richard Chesterton) | Open |
| Local Enforcement Plan A Plan setting out the approach and policies towards planning enforcement within the district | Cabinet Council | 7 Apr 2016 27 Apr 2016 | Jenny Clifford, Head of Planning and Regeneration Tel: 01884 234346 | Cabinet Member for Planning and Economic Regeneration (Councillor Richard Chesterton) | Open |

| Title of report and summary of decision | Decision Taker | Date of Decision | Officer contact | Cabinet Member | Intention to consider report in private session and the reason(s) |
|---|----------------|------------------|---|---|---|
| <p>Strategic Land Issues To receive a report of the Head of Housing and Property Services advising on responses to the Town Centre Masterplanning to include expressions of interest and the potential for acquiring a new site for depot redevelopment.</p> | Cabinet | 7 Apr 2016 | Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960 | Cabinet Member for Housing (Councillor Ray Stanley) | Fully exempt <i>Financial and business issues</i> |
| <p>Climate Strategy and Action Plan Report of the Head of Housing and Property Services regarding this revised policy</p> | Cabinet | 7 Apr 2016 | Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960 | Cabinet Member for the Environment (Councillor Neal Davey) | Open |
| <p>Future Joint Working with other Local Authorities To receive a report of the Head of Planning and Regeneration outlining opportunities for joint working on Forward Planning and Economic Development</p> | Cabinet | 7 Apr 2016 | Jenny Clifford, Head of Planning and Regeneration Tel: 01884 234346 | Cabinet Member for Planning and Economic Regeneration (Councillor Richard Chesterton) | Open |
| <p>S106 Monitoring Fees Report of the Chief Executive on monitoring arrangements</p> | Cabinet | 7 Apr 2016 | Stephen Walford, Chief Executive | Cabinet Member for Planning and Economic | Open |

| Title of report and summary of decision | Decision Taker | Date of Decision | Officer contact | Cabinet Member | Intention to consider report in private session and the reason(s) |
|--|---|-------------------------------|--|---|---|
| for S106 Agreements | | | | Regeneration (Councillor Richard Chesterton) | |
| Community Engagement Strategy 2016-17 Report updating Members on progress made with the Community Engagement Action Plan (2015-16) and to review the strategy and focus for 2016-17. | Community Well Being Policy Development Group Cabinet | 29 Mar 2016 7 Apr 2016 | Amy Tregellas, Head of Communities and Governance and Monitoring Officer Tel: 01884 234246 | Cabinet Member for Community Well Being Councillor Colin Slade | Open |
| Community Engagement Action Plan To receive information regarding the action plan. | Community Well Being Policy Development Group Cabinet | 29 Mar 2016 7 Apr 2016 | Amy Tregellas, Head of Communities and Governance and Monitoring Officer Tel: 01884 234246 | Cabinet Member for Community Well Being Councillor Colin Slade | Open |
| Allocations Policy and Procedures Report regarding a revised policy | Decent and Affordable Homes Policy Development Group Cabinet | 22 Mar 2016 7 Apr 2016 | Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960 | Cabinet Member for Housing (Councillor Ray Stanley) | Open |

| Title of report and summary of decision | Decision Taker | Date of Decision | Officer contact | Cabinet Member | Intention to consider report in private session and the reason(s) |
|--|---|------------------------------------|--|--|---|
| <p>Landscape Implications of Solar Energy Proposals Supplementary Planning Document Report of the Head of Planning and Regeneration regarding proposals for the Supplementary Planning Document following consultation.</p> | <p>Cabinet Council</p> | <p>12 May 2016 29 Jun 2016</p> | <p>Jenny Clifford, Head of Planning and Regeneration Tel: 01884 234346</p> | <p>Cabinet Member for Planning and Economic Regeneration (Councillor Richard Chesterton)</p> | <p>Open</p> |
| <p>Service Standards Review To receive a report from the Head of Housing and Property Services reviewing standards within the Housing Service.</p> | <p>Decent and Affordable Homes Policy Development Group Cabinet</p> | <p>24 May 2016 9 Jun 2016</p> | <p>Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960</p> | <p>Cabinet Member for Housing (Councillor Ray Stanley)</p> | <p>Open</p> |
| <p>Gas Service Contract Report of the Head of Housing and Property Services regarding the awarding of the tender for maintenance, servicing and responsive repairs.</p> | <p>Cabinet</p> | <p>9 Jun 2016</p> | <p>Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960</p> | <p>Cabinet Member for Housing (Councillor Ray Stanley)</p> | <p>Fully exempt</p> |
| <p>Safeguarding Children and Vulnerable Adults Policy</p> | <p>Community</p> | <p>9 Jun 2016</p> | <p>Amy Tregellas, Head of</p> | <p>Cabinet Member for Community</p> | <p>Open</p> |

| Title of report and summary of decision | Decision Taker | Date of Decision | Officer contact | Cabinet Member | Intention to consider report in private session and the reason(s) |
|---|---|---|---|--|---|
| and Procedures To consider a updating the policy and procedures. | Well-Being Policy Development Group Cabinet | 2 Aug 2016 | Communities and Governance and Monitoring Officer Tel: 01884 234246 | Well Being (Councillor Colin Slade) | |
| Tenancy Inspection Policy To consider a revised policy | Decent and Affordable Homes Policy Development Group Cabinet | 19 Jul 2016 4 Aug 2016 | Nick Sanderson, Head of Housing and Property Services Tel: 01884 234960 | Cabinet Member for Housing (Councillor Ray Stanley) | Open |
| Ageing Well Strategy Report of the Head of Communities and Governance regarding a new strategy. | Community Well Being Policy Development Group Cabinet Council | 2 Aug 2016 1 Sep 2016 26 Oct 2016 | Amy Tregellas, Head of Communities and Governance and Monitoring Officer Tel: 01884 234246 | Cabinet Member for Community Well Being (Councillor Colin Slade) | Open |
| Town and Parish Charter To undertake a four yearly review the Town and Parish | Cabinet | 7 Jul 2016 | Amy Tregellas, Head of Communities and | Cabinet Member for Community Well Being | Open |

| Title of report and summary of decision | Decision Taker | Date of Decision | Officer contact | Cabinet Member | Intention to consider report in private session and the reason(s) |
|---|--|--------------------------------|--|--|---|
| Charter | | | Governance and Monitoring Officer Tel: 01884 234246 | (Councillor Colin Slade) | |
| Economic Development Strategy To consider a report of the Head of Communities and Governance revising this policy | Cabinet | 4 Aug 2016 | Amy Tregellas, Head of Communities and Governance and Monitoring Officer Tel: 01884 234246 | Cabinet Member for Planning and Economic Regeneration (Councillor Richard Chesterton) | Open |
| Grant Payments to External Organisations 2017-18 To consider grant funding for 2017/18 | Community Well Being Policy Development Group Cabinet | 27 Sep 2016 27 Oct 2016 | Amy Tregellas, Head of Communities and Governance and Monitoring Officer Tel: 01884 234246 | Cabinet Member for Community Well-Being (Councillor Colin Slade) | Open |
| Regulation of Investigatory Powers To undertake an annual review of the Policy | Cabinet Member for Community Well Being Cabinet | 27 Sep 2016 27 Oct 2016 | Jill May, Head of HR and Development Tel: 01884 234381 | Cabinet Member for Community Well Being (Councillor Colin Slade) | Open |

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