

Date: 7<sup>th</sup> April 2022

Dear Councillor,

**Housing and Community Services Committee**

A Meeting of the **Housing and Community Services Committee** will be held at **Council Chamber**, Civic Offices, Civic Way, Swadlincote on **Tuesday, 19 April 2022 at 18:00**. You are requested to attend.

Yours faithfully,



Chief Executive

To:- **Labour Group**

Councillor Rhind (Chair), Councillor Mulgrew (Vice-Chair) and  
Councillors Dunn, Richards and Shepherd.

**Conservative Group**

Councillors Ackroyd, Corbin, Ford, Haines and Smith.

**Independent Group**

Councillors Dawson and Roberts.

**Non-Grouped**

Councillor Churchill

## **AGENDA**

### **Open to Public and Press**

- |          |                                                                                               |                  |
|----------|-----------------------------------------------------------------------------------------------|------------------|
| <b>1</b> | Apologies and to note any Substitutes appointed for the Meeting                               |                  |
| <b>2</b> | To note any declarations of interest arising from any items on the Agenda                     |                  |
| <b>3</b> | To receive any questions by members of the public pursuant to Council Procedure Rule No.10.   |                  |
| <b>4</b> | To receive any questions by Members of the Council pursuant to Council procedure Rule No. 11. |                  |
| <b>5</b> | PUBLIC OPEN SPACE (POS) – HISTORICAL ADOPTIONS                                                | <b>4 - 10</b>    |
| <b>6</b> | COUNTY WIDE HOMELESS STRATEGY                                                                 | <b>11 - 41</b>   |
| <b>7</b> | COUNCIL HOUSE RELETS                                                                          | <b>42 - 48</b>   |
| <b>8</b> | SUSTAINABLE WARMTH FUNDING AND LOW CARBON HOMES                                               | <b>49 - 118</b>  |
| <b>9</b> | COMMITTEE WORK PROGRAMME                                                                      | <b>119 - 122</b> |

### **Exclusion of the Public and Press:**

- |           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|-----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>10</b> | The Chairman may therefore move:-<br>That in accordance with Section 100 (A)(4) of the Local Government Act 1972 (as amended) the press and public be excluded from the remainder of the Meeting as it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that there would be disclosed exempt information as defined in the paragraph of Part I of the Schedule 12A of the Act indicated in the header to each report on the Agenda. |
| <b>11</b> | To receive any Exempt questions by Members of the Council pursuant to Council procedure Rule No. 11.<br>Details                                                                                                                                                                                                                                                                                                                                                                        |
| <b>12</b> | ACTIVE COMMUNITIES AND HEALTH STAFFING                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

## **13 ACQUISITION OF NEW COUNCIL HOUSING AT MOAT STREET**

<b>REPORT TO:</b>	<b>HOUSING AND COMMUNITY SERVICES COMMITTEE</b>	<b>AGENDA ITEM: 5</b>
<b>DATE OF MEETING:</b>	<b>19 APRIL 2022</b>	<b>CATEGORY: RECOMMENDED</b>
<b>REPORT FROM:</b>	<b>ALLISON THOMAS STRATEGIC DIRECTOR - SERVICE DELIVERY</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>CHRISTOPHER WORMAN PARKS AND GREEN SPACES MANAGER</b>	<b>DOC:</b>
<b>SUBJECT:</b>	<b>PUBLIC OPEN SPACE (POS) – HISTORICAL ADOPTIONS</b>	
<b>WARD(S) AFFECTED:</b>	<b>ALL WARDS</b>	<b>TERMS OF REFERENCE: (HCS10)</b>

## **1.0 Recommendations**

1.1 That the Committee agrees to officers negotiating the transfer of parcels of unadopted land at the following locations:

- Grampian Way/Nairn Close, Stenson Fields
- Auden Close, Church Broughton
- Eureka Park, Belmont Primary School
- Kingfisher Lane, Willington
- Bretby Heights, Newhall.

1.2 That the Committee agrees to the Strategic Director – Service Delivery negotiating the transfer of land at Manor Farm Cadley from the developer into the Council's ownership with an accompanying additional S106 contribution.

1.3 That the Committee endorses the process by which land is transferred to Management Companies and monitored thereafter be fully reviewed and a new policy statement be included in the new Local Plan.

1.4 That Committee confirms the Council's general policy not to sell public open space and authorises officers to take all appropriate action to recover land subject to encroachment.

1.5 That the report, in respect of the proposed land acquisition matters, is referred to the Finance and Management Committee for approval.

## **2.0 Purpose of the Report**

2.1 To seek approval to resolve a number of historical issues related to the adoption of Public Open Space. .

- 2.2 To outline work being undertaken to review the processes and procedures by which land is transferred to Management Companies and monitored thereafter to form part of a future policy in the District's new Local Plan.

### **3.0 Executive Summary**

- 3.1 The Council can acquire land by agreement or gift under section 120 of the Local Government Act 1972 for the purposes of any of their functions under this or any other enactment or the benefit, improvement, or development of their area.
- 3.2 In addition, the Council can adopt new POS as part of the section 106 planning process.
- 3.3 There are several examples across the District, where for a variety of historical reasons land was not initially adopted by the Council. This has resulted in subsequent issues for the Council and residents. In addition, there are 'buffer strips' and boundaries disputes that have raised concerns for the Council and residents.
- 3.4 This report outlines some of the challenges and issues associated with the Council's current position relating to several outstanding historical land adoption issues and recommends action to address these.

### **4.0 Detail**

- 4.1 There are a number of sites across the District, where for a variety of historical reasons land was not initially adopted by the Council. These are posing some challenges for the Council and for local residents in that there is a lack of clarity as to ongoing maintenance obligations regarding POS. These include:

- a) Public Open Space in residential areas left unadopted following developer liquidation:

#### Grampian Way/ Nairn Close, Stenson Fields

A small number of parcels of land have been transferred to the Crown due to the developer (FE Woods Bros Ltd) becoming insolvent. The Crown will not maintain the land; therefore, the Council has been maintaining the site for several years, pro bono publico.

It is proposed to negotiate the transfer of these parcels of land from The Crown into the Council's ownership.

#### Auden Close, Church Broughton

POS is unadopted in part, due to Company liquidation. This is now with The Crown who will not maintain it. The Parish Council does not want to take on responsibility for the POS. Additionally, residents do not want to form a Management Company to have land transferred to. The site contains several mature trees which require safety work. The Council has been undertaking grounds maintenance for several years.

It is proposed to negotiate the transfer of this land from The Crown into the Council's ownership.

#### Bretby Heights, Newhall

The POS has been maintained by the Council for a number of years despite there being no agreement under s106 or otherwise to maintain. This has been raised with the Developer who is keen to transfer the land to the Council together with an appropriate commuted sum. The land is planted with mature trees and there are also retaining walls.

It is proposed to negotiate the transfer of this land to the Council, with an appropriate commuted sum for maintenance and negotiations are undertaken regarding the repair and possible transfer (together with a commuted sum) of the retaining wall(s).

- b) Unregistered Public Open Space which impacts on Council land/ activities:

#### Eureka Park/Belmont Primary School.

There is a parcel of 'unregistered' land between the park and the school. It was planted many years ago with a row of approximately 40 Lombardy Poplar trees which became dangerous, many falling in recent storms. The trees provide a screen/shelter for the benefit of the school. Due to the potential risk of harm to school children and park users the Council arranged for the trees to be pollarded pro bono publico. The parcel of land is a valuable wildlife/biodiversity corridor with a ditch/water course flowing from nearby Swadlincote Woodlands and the trees and hedges provide good nesting and roosting habitat. The ditch has overflowed on occasions causing flooding in the park.

It is proposed to apply to HM Land Registry (HMLR) for possessory title of the parcel of land.

#### Kingfisher Lane, Willington

The Council is due to adopt the POS associated with this development. There is a small parcel of unregistered land adjacent to POS which could be considered for inclusion in the land holdings on the site. It has a large willow next to a busy footpath which the Council recently pollarded to make safe pro bono publico. The land adjacent to POS is a valuable wildlife site with a brook flowing through it and the trees and grassland provide good nesting opportunities for birds. The land is prone to flooding.

It is proposed to apply to HMLR for possessory title of the area.

- c) Public Open Space designed as 'buffer strips' as part of developments which the Council is being asked to adopt.

Many developments require/include 'buffer strips', usually of tree or hedgerow planting to act as visual screens, noise insulation barriers and/or green corridors as part of the ecological network required by the Local Plan. These can prove to be problematic and costly in terms of future maintenance if not well-designed and/or well-managed.

The Council has been approached by the developer of Manor Fields, Cadley requesting that in addition to adopting the POS as provided for under the S106 agreement, the Council also adopts the areas of landscape buffer planting with the provision of additional S106 contributions.

If the Council refuses, as it is quite able to do, it is likely that the buffer planting areas will be transferred to a management company to maintain.

Management companies often fail to maintain buffer planting properly and the Council receives complaints regarding them.

It is proposed to negotiate the transfer of this land from the developer into the Council's ownership.

d) Challenges for the Council relating to the adoption of POS by Management Companies (ManCos).

Typically, where the Council adopts POS land, there is a S106 maintenance sum for 10 years and the Council retains the site assets (and potential problems) in perpetuity:

Typically, where POS land is transferred to a ManCo, there will be funding in perpetuity from a contractual levy on each household. The Council is required to monitor the ManCos compliance to the agreed maintenance plan.

The Council cannot dictate whether it should adopt POS. If the developer is minded to transfer land to a ManCo the Council cannot prevent this.

The transfer of land from a developer to a ManCo is a different process to transfer to the Council for adoption. The transfer to a ManCo and discharge of conditions and implementation of the agreed management plan requires authorisation from a Planning Officer and there is an ongoing need for this to be monitored to ensure compliance. There are currently over thirty such sites in this process.

It is proposed that the process by which land which is transferred to Management Companies and monitored thereafter is fully reviewed and a new policy statement be included in the new Local Plan.

e) Encroachments of POS

The Committee will be familiar with this issue, it resolved to refuse to dispose of land at Sandholes on 21 October 2021

The Council has identified another encroachment and subsequently a request to transfer the POS land. The owner of the adjacent land has enclosed part of the neighbouring POS by planting a laurel hedge. The owner cannot succeed with an adverse possession claim as the appropriation is not of sufficient length.

It is requested that the Committee confirms the Council's general policy not to sell public open space and authorises officers to take all appropriate action to recover land subject to encroachment.

## 5.0 Financial Implications

- 5.1 The costs of adopting the sites identified in the report at 4.1a and 4.1b are de minimus in terms of their impact of the Grounds Maintenance budget given that these sites have historically been subject to maintenance by the Council.
- 5.2 Negotiating an appropriate additional S106 contribution for the land at 4.1c Manor Fields, Cadley, will offset the costs of future ongoing maintenance on this site.
- 5.3 Negotiating a relevant commuted sum for the land at 4.19a) Bretby Heights will offset the costs of future ongoing maintenance on this site.

## **6.0 Corporate Implications**

### **Employment Implications**

- 6.1 None arising from this report.

### **Legal Implications**

- 6.2 The Council has power to acquire public open space by virtue of a planning agreement or otherwise by agreement pursuant to s120 Local Government Act 1972. The Council has the power to prevent encroachments by way of possession proceedings or an action in trespass.
- 6.3 The Council has duties to the public in relation to the POS it maintains as follows
- Occupiers Liability Acts of 1957 & 1984
  - Highways Act 1980 (especially section 130),
  - The Miscellaneous Provisions Act 1976 'Dangerous Trees and Excavation'
  - Health & Safety at Work Act 1974 (for bystanders sec 3(1)).

### **Corporate Plan Implications**

- 6.4 Both the Policy and Management Plan contributes significantly to the Corporate Plan Priorities and Key aims including:

#### **Our Future**

##### Support economic growth and infrastructure

- Enable the delivery of housing across all tenures to meet Local Plan targets.
- Influence the improvement of infrastructure to meet the demands of growth.

##### Transforming the Council

- Provide modern ways of working that support the Council to deliver services to meet changing needs.

#### **Our People**

##### Supporting and safeguarding the most vulnerable

- Promote health and wellbeing across the District  
Deliver excellent services
- Ensure consistency in the way the Council deals with its service users



- Have in place methods of communication that enables customers to provide and receive information
- Ensure technology enables us to effectively connect with our communities
- Invest in our workforce.

## Our Environment

- Improve the environment of the District  
Enhance biodiversity across the District.
- Tackle Climate Change  
Strive to make South Derbyshire District Council carbon neutral by 2030.
- Enhance the attractiveness of South Derbyshire  
Enhance the appeal of Swadlincote town centre as a place to visit  
Improve public spaces to create an environment for people to enjoy.

## Risk Impact

- 6.5 Entering into negotiations to adopt the sites identified in this report will mitigate the risks of this Public Open Space not being appropriately managed.

## 7.0 Community Impact

### Consultation

- 7.1 None directly required for this report, however, any future policies contained in the next Local Plan will be subject to extensive statutory consultation.

### Equality and Diversity Impact

- 7.2 None specifically related to this report.

### Social Value Impact

- 7.3 Use of local contractors can promote local businesses.
- 7.4 Working closely with developers to enable the delivery of housing across all tenures to meet Local Plan targets.
- 7.5 Potential to involve communities in planting schemes etc.

### Environmental Sustainability

- 7.6 Once the areas of public open space are formally adopted they can be managed appropriately and sustainably in line with corporate policies on biodiversity.

## 8.0 Conclusions

- 8.1 That there are a number of historic issues associated with the adoption of public open space that require resolution. By adopting the sites identified in the report will provide local residents with certainty about their future management.

## 9.0 **Background Papers**

None.

<b>REPORT TO:</b>	<b>HOUSING AND COMMUNITY SERVICES COMMITTEE</b>	<b>AGENDA ITEM: 6</b>
<b>DATE OF MEETING:</b>	<b>19 APRIL 2022</b>	<b>CATEGORY: (See Notes) DELEGATED or RECOMMENDED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR SERVICE DELIVERY</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>PAUL WHITTINGHAM</b> <a href="mailto:Paul.whittingham@southderbyshire.gov.uk">Paul.whittingham@southderbyshire.gov.uk</a>	<b>DOC:</b>
<b>SUBJECT:</b>	<b>COUNTY WIDE HOMELESS STRATEGY</b>	
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: HCS01</b>

## **1.0 Recommendations**

- 1.1 That the draft Derbyshire Homelessness and Rough Sleeping Strategy is endorsed subject to clarification on the agencies and forums that will assist in delivering the actions contained within it.

## **2.0 Purpose of the Report**

- 2.1 This report provides the Committee with the draft County-wide Homelessness and Rough Sleeping Strategy. This has been created by Homeless Link in collaboration with all District Councils in the County and other partner agencies. (The Draft Strategy is attached at Appendix A)
- 2.2 This strategy complements the Council's Homeless and Rough Sleeping Strategy which was presented to this Committee on 28 January 2021. It also provides a collaborative framework for the delivery of services in a consistent and accessible manner across the County.
- 2.3 The strategy itself builds on the long-standing success of the Derbyshire Homeless Officer Group (DHOG) which the Council has been a contributory member and beneficiary of the group's work.

## **3.0 Executive Summary**

- 3.1 This strategy has been developed by the Derbyshire Homelessness Officer's Group (DHOG), Derbyshire County Council, Public Health, NHS, Police, Probation and a wide range of partner agencies and sets out a clear and ambitious plan to transform the response to homelessness across the County. It sets out a vision to "work

collaboratively across Derbyshire to prevent and reduce homelessness –making it everyone’s responsibility.”

- 3.2 The Strategy identifies a number of key priority areas and has a strong focus on the need for greater collaborative working with the Health and Social Care sectors in both the prevention of Homelessness and also the ongoing support for those who are homeless.
- 3.3 The complexities of people’s circumstances are often much more than simply not having a permanent home and these circumstances continue to become more complex as economic and housing market pressures build on households. A coordinated response to these challenges is already necessary and will become essential over coming months and years.

#### **4.0 Detail**

- 4.1 The COVID-19 pandemic has provided the catalyst for a collective partnership approach to protecting the most vulnerable members of our communities. Councils in Derbyshire, in partnership with the other statutory and voluntary agencies, have demonstrated what working together can achieve through creativity, innovation, improved partnership working and a wider recognition of the intrinsic link between homelessness and health. This has improved outcomes for residents with long and complex histories of homelessness.
- 4.2 The strategy aims to build upon this collaborative approach and create new permanent systems and models of service that break down current blockages within the system, ensuring a multi-disciplinary approach designed around the needs of customers.
- 4.3 The Strategy identifies four key priorities each with a series of actions which are broadly in line with the Council’s own homelessness and Rough Sleeping Strategy.

##### **Make homelessness everyone’s responsibility through a system wide approach**

- Secure System-wide commitment to transform services in recognition that homelessness is everyone’s responsibility.
- Embed homeless prevention across public services.

##### **Prevent homelessness and respond to homelessness through early intervention and personalised solutions**

- Intervene earlier to ensure opportunities for homeless prevention are maximised with effective and targeted tools in place.
- Promote customer choice in developing bespoke housing solutions.

##### **End rough sleeping and repeat homelessness**

- Deliver a multi-agency, trauma informed approach to meet the multiple and complex needs of individuals through multidisciplinary interventions
- Develop targeted rough sleeping prevention services and rapid accommodation and support
- Prevent repeat homelessness through individually tailored accommodation and support options.

##### **Develop sustainable supported and settled housing solutions**

- Advocate for higher standards in the regulation of supported housing at a national level

- Develop, improve, then maintain the standards and management of supported housing provision to meet the needs of the homeless population
  - Improve access to affordable, quality, private sector homes to respond to homelessness
- Secure commitment from social housing providers to tackle homelessness as a corporate priority
- Ensure an adequate supply of temporary accommodation and minimise the use of Bed and Breakfast accommodation.

4.4 There is a detailed series of actions within the strategy to address these four key strategic aims.

4.5 The strategy also underlines the need for the continued work of DHOG in order to deliver these aims across the County and also in accessing funding and services that benefit individual districts. This is particularly relevant for the Council who as a relatively small provider have often received the benefit of funding and services that have been collectively created and include:

- Securing match funding of £86,000 from Derbyshire County Council in order to pool COVID-19 emergency funds to enable a collaborative approach.
- Bringing together partners from the NHS, public health, adult social care, police, substance misuse services and the charitable sector to provide support to those accommodated as part of the crisis response.
- Establishing a Keeping Everyone In Service (KEIS) to continue to provide accommodation and support to clients with severe and multiple deprivation, securing funding from a wide range of partners.
- Establishing a Derbyshire Move-on support protocol.
- Jointly commissioning an integrated ICT solution to meet the requirements of the Homelessness Reduction Act 2017.
- Co-ordinating rough sleeper counts across Derbyshire and Staffordshire Moorlands.
- Successfully securing Rough Sleeper Initiative funding bid to provide outreach services across Derbyshire.
- Jointly commissioning of a countywide out of hours service
- Jointly commissioning the Call B4U Serve to prevent homelessness from the private rented sector.

4.6 The strategy is currently under consultation. As its contents are broadly in line with the Council's own strategy there are no major substantive comments proposed. However, the Council has requested that the strategy provides a clear indication of the social care and public health bodies, forums and agencies that are going to play a part in the delivery of this strategy.

## **5.0 Financial Implications**

5.1 There are no direct financial implications within this report.

## **6.0 Corporate Implications**

## **Employment Implications**

- 6.1 There are no direct employment implications contained within this report.

## **Legal Implications**

- 6.2 There are no direct legal implications contained within this report.

## **Corporate Plan Implications**

- 6.3 The County-wide strategy does directly contribute to the aims within the corporate Plan regarding: Supporting and safeguarding the most vulnerable
- a. With partners encourage independent living and keep residents healthy and happy in their homes.
  - b. Promote health and wellbeing across the District.
  - c. Improve the condition of housing stock and public buildings.

## **Risk Impact**

- 6.4 This report contributes directly to mitigating the risk identified in the Service Delivery Risk Register: SD7 - Insufficient supply of affordable homes to meet Council needs relating to allocations and homelessness.

## **7.0 Community Impact**

### **Consultation**

- 7.1 The draft strategy has been circulated to partner agencies across the County for their comments.

### **Equality and Diversity Impact**

- 7.2 An Equality Impact Assessment will be completed prior to the completion of the strategy.

### **Social Value Impact**

- 7.3 The multi-agency “joined up” approach to delivering services for those who are homeless or threatened with homelessness provides a positive impact on the health and well being of residents within the District.

### **Environmental Sustainability**

- 7.4 There are no direct environmental sustainability impacts within this report.

## **8.0 Conclusions**

- 8.1 Homelessness is often a symptom of many other issues and circumstances. These issues cannot often be resolved simply through the provision of a new home and if not resolved may only allow for a crisis to re occur.

8.2 Joint work between Districts across the County through DHOG has always sought to address the housing related issues. The COVID pandemic and this new strategy has provided the platform for the creation and delivery of a much wider range of services that genuinely prevent homelessness occurring and reoccurring for particular households.

## **9.0 Background Papers**

Report to Housing and Community Services Committee January 2021- South Derbyshire Homeless and Rough Sleeping Strategy.

# Derbyshire Homelessness & Rough Sleeping Strategy

2022 – 2027

**Derbyshire  
Homelessness Officers  
Group in partnership  
with Homeless Link**

Page 16 of 122



**Laura Paterson**, Homeless Link Associate

**Sophie Price**, Consultancy Manager,  
[sophie.price@homelesslink.org.uk](mailto:sophie.price@homelesslink.org.uk)

March 2022

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## Foreword

### Stronger Together

I am delighted to introduce Derbyshire's first ever countywide Homelessness and Rough Sleeping Strategy. This strategy marks a pinnacle moment in our approach to tackling homelessness, signalling a multi-agency collaborative approach, recognising that we are stronger together.

The reasons that lead to homelessness are multiple and often extremely complex. Many people have needs that extend beyond the basic need for a home and impact on their health and wellbeing. It is not possible for Local Housing Authorities to meet those needs in isolation, but rather a successful strategic approach to preventing homelessness is dependent upon a coordinated multi-agency response, ensuring that the right advice and support is given at the right time, with opportunities for early intervention and promotion of wellbeing being prioritised wherever possible.

Partners in Derbyshire face considerable challenges in responding to homelessness and rough sleeping, set against a backdrop of the global pandemic, increases in the cost of living and an increasingly unaffordable housing market.

The multi-agency response to protecting people experiencing homelessness during the pandemic shows what can be achieved when we

work together. The close collaboration between district and borough councils, our partners at Derbyshire County Council, the NHS, criminal justice system and the Health & Wellbeing board proved what can be achieved when we work together and the driving force behind this strategy is to ensure that this new way of working remains the new normal.

Derbyshire's Homelessness Strategy builds on the work during COVID-19 by further preventing people from experiencing homelessness in the first place and helping people who are experiencing homelessness build a more positive healthier future.

Meeting these challenges requires a radical change in how everyone works; simply carrying on as before will not deliver the reduction in homelessness and rough sleeping that needs to be achieved.

This is an exciting time with opportunities to transform our approach to tackling homelessness and ending the need for anyone to sleep rough.

The vision is simple – **“working collaboratively across Derbyshire to prevent and reduce homelessness – making it everyone's responsibility.”** This Strategy reflects our strong shared commitment to realising this vision.



**Dean Wallace**  
*Director of Public Health for Derbyshire*

We are excited to be able to adopt such an ambitious Countywide Homelessness & Rough Sleeping Strategy and are committed to working in partnership across the County to transform our response to homelessness.



**Cllr Paul Hillier**  
Leader and Cabinet Member  
for Housing & Public Health  
Amber Valley Borough Council



**Cllr Paul Maginnis**  
Lead Member for Health  
and Wellbeing  
Erewash Borough Council



**Cllr Sandra Peake**  
Portfolio Holder –  
Housing  
Bolsover District Council



**Cllr Fiona Sloman**  
Executive Councillor for  
Housing & Licensing  
High Peak Borough Council



**Cllr Christine Ludlow**  
Cabinet Minister for  
Housing  
Chesterfield Borough  
Council



**Cllr Carolyn Renwick**  
Cabinet Member for  
Housing & Community  
Safety  
North East Derbyshire  
District Council



**Cllr Chris Furness**  
Chair of Community and  
Environment  
Derbyshire Dales District  
Council



**Cllr Gordon Rhind**  
Chair of Housing &  
Community Service  
Committee  
South Derbyshire District  
Council



**Derbyshire  
Homelessness  
Officers Group**

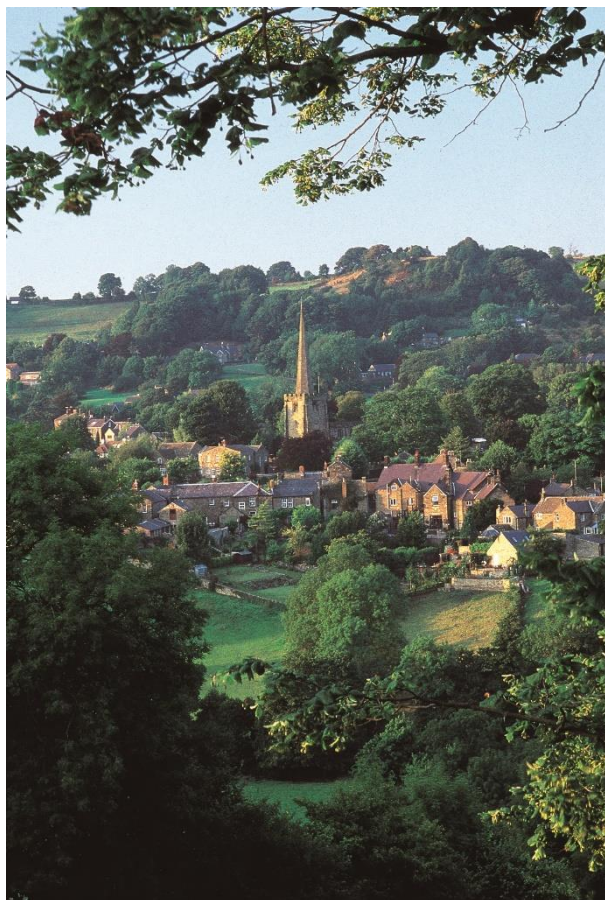


## Introduction

This is Derbyshire's first Countywide Homelessness and Rough Sleeping Strategy and signifies a transformation in our response to homelessness. Through this strategy we want to ensure a whole system approach whereby homelessness is everyone's responsibility.

It is widely recognised that homelessness, in its causes and consequences, is a cross-cutting issue, which cannot be tackled by one agency alone. In order to effectively prevent and respond to homelessness it is essential that all partner agencies work collaboratively together in an integrated way to both address the underlying causes that have led to homelessness, but also develop a system that meets the needs of this, often vulnerable, client group in a coordinated way.

The homelessness response to the COVID-19 pandemic has seen a collective partnership approach to protecting the most vulnerable members of our communities. Through our response to the pandemic we have demonstrated what working together can achieve and there is strong evidence to show that our actions have saved lives and prevented hospital and intensive care admissions.



This unprecedented challenge has led to creativity, innovation, improved partnership working, and a wider recognition of the intrinsic link between homelessness and health. Through a co-ordinated approach to service delivery we have witnessed improved outcomes for some of our clients with long and complex histories of homelessness.

Through this strategy we want to build upon this collaborative approach and create a new normal that breaks down current blockages within the system, ensuring a multi-disciplinary approach designed around the needs of customers.

The response to the pandemic has created a unique opportunity to ensure that systems change permanently.


Through this strategy we want to ensure

that there is a legacy; changing the way homelessness and wider services are designed, commissioned, and delivered across Derbyshire.

This strategy sets out a clear and ambitious plan to transform our response to homelessness and has been developed through close collaboration between the Derbyshire Homelessness Officer's Group (DHOG), Derbyshire County Council, Public Health, NHS, Police, Probation, and a wide range of partner agencies. The success of its delivery will rest upon the ongoing commitment of all of these organisations to meet our vision, and to ensure that homelessness is everyone's responsibility and the response that we saw during the pandemic becomes the new normal.

## Our Vision

### Our Vision for Homelessness Across Derbyshire



**Working  
collaboratively  
across Derbyshire to  
prevent and reduce  
homelessness –  
making it everyone's  
responsibility.**

We recognise that while each district and borough is unique, many of the challenges we face in tackling homelessness are common across the whole of Derbyshire, and therefore this Strategy provides us with a platform upon which to transform homelessness services across Derbyshire. We recognise that the impact that we have when we work together is greater and we can achieve more. Together we are stronger.

Through this Strategy we aim to:

- Create, share, and replicate best practice and innovation in responses to homelessness and its prevention across Derbyshire.
- Commission and develop joint services and improve collaboration wherever possible.
- Prevent homelessness across the whole system by intervening earlier and developing individual solutions.
- Respond to homelessness by ensuring individuals have prompt access to homes and tailored support.
- Secure system wide transformation of all services in recognition that homelessness is everyone's responsibility.
- Increase the range of affordable housing options available across the County.
- Develop a better understanding of the causes of homelessness through better data capture across the sub region.

## Meeting our Vision

### Transforming our Approach

This Strategy sets out an ambitious plan for transforming our response to homelessness across the County. The scale and complexity of the challenges that face the partnership over the lifetime of this strategy cannot be under-estimated; these challenges include the recovery from the pandemic, high increases in the cost of living, national increases in homelessness and rough sleeping, and pressures on budgets – set against an increasingly unaffordable housing market

Through the delivery of the Strategy we will continue to work closely with partners to develop a new approach to responding to homelessness that focuses on preventing homelessness at the earliest opportunity, while providing rapid housing responses to those that need them. We will work to embed homelessness prevention approaches across all public services. To meet the vision and aims of the strategy there is a need to transform service delivery through the following principles:

#### **Collaboration**

A collaborative partnership approach is fundamental to being able to effectively tackle homelessness. This Strategy is a multi-agency document and has been developed with partners to tackle the underlying causes of homelessness, create effective pathways out of homelessness, and design out system blockages.

#### **Making homelessness everyone's responsibility**

We are clear that all agencies have a responsibility to prevent homelessness. We will work with partners and local communities to ensure that the factors that lead to homelessness can be better understood and identified, with effective pathways into preventative services in place, and clear and accessible referral mechanisms. We aim to embed this approach across Derbyshire, significantly reducing crisis presentations and ensuring effective homelessness prevention interventions, partnerships and pathways are in place.

#### **A personalised approach**

We recognise that people experiencing homelessness are individuals and have different and unique circumstances and needs. Through this Strategy we intend to deliver solutions that are tailored to the individual needs of people. Our approach is to recognise the strengths and assets that individuals have, and we will build upon these strengths, empowering individuals, and ensuring a trauma informed approach across all key services.

## Strategic Priorities

This Strategy will meet the vision and aims through the delivery of 4 clear priorities:

### 1. Make homelessness everyone's responsibility through a system wide approach

- Secure System-wide commitment to transform services in recognition that homelessness is everyone's responsibility.
- Embed homeless prevention across public services.

### 2. Prevent homelessness and respond to homelessness through early intervention and personalised solutions

- Intervene earlier to ensure opportunities for homeless prevention are maximised with effective and targeted tools in place.
- Promote customer choice in developing bespoke housing solutions

### 3. End rough sleeping and repeat homelessness

- Deliver a multi-agency, trauma informed approach to meet the multiple and complex needs of individuals through multi-disciplinary interventions

- Develop targeted rough sleeping prevention services and rapid accommodation and support
- Prevent repeat homelessness through individually tailored accommodation and support options

### 4. Develop sustainable supported and settled housing solutions

- Advocate for higher standards in the regulation of supported housing at a national level
- Develop, improve, then maintain the standards and management of supported housing provision to meet the needs of our homeless population
- Improve access to affordable, quality, private sector homes to respond to homelessness
- Secure commitment from social housing providers to tackle homelessness as a corporate priority
- Ensure an adequate supply of temporary accommodation and minimise the use of B&B accommodation.

The Strategy sets out how these strategic priorities will be delivered.



## **Building on Success: Derbyshire Homelessness Officers Group**

Derbyshire Homelessness Officers Group's (DHOG) purpose is to promote homelessness reduction and prevention through strategic leadership and the development and commissioning of improved and integrated homelessness services in the County. DHOGs mission is to make homelessness, and the causes of homelessness, everyone's responsibility.

DHOG is made up of homeless leads from the 9 District and Borough Authorities, together with representatives from Public Health and Derbyshire County Council.

DHOG recognises that this Strategy sets out an ambitious plan and vision for tackling homelessness over the next five years, and to successfully deliver this will require significant commitment from all of the Local Authorities and our key partners. However this strategy is built upon a successful partnership, which has a unique reputation for getting things done, and bringing about collaboration and change.

The response to the pandemic has crystalised the impact that a joint and collaborative approach can have, and the combined effort of all DHOG partners ultimately saved lives. Our response included:

- Jointly commissioning the use of a local hotel to provide emergency accommodation.
- Securing match funding of £86,000 from Derbyshire County Council in order to pool COVID-19 emergency funds to enable a collaborative approach.
- Bringing together partners from the NHS, public health, adult social care, police, substance misuse services and the charitable sector to provide support to those accommodated as part of the crisis response.
- Establishing a Keeping Everyone In Service (KEIS) to continue to provide accommodation and support to clients with severe and multiple deprivation, securing funding from a wide range of partners.
- Development of the Mount Cook Winter provision to provide emergency cold weather provision, with multi-agency support available on site.

Other achievements and successes of DHOG include:

- Derbyshire Move-on support protocol.
- Joint commissioning on an integrated ICT solution to meet the requirements of the Homelessness Reduction Act 2017.

- Co-ordination of rough sleeper counts across Derbyshire and Staffordshire Moorlands.
- Successful Rough Sleeper Initiative funding bid to provide outreach services across Derbyshire.
- Joint commissioning of a countywide out of hours service
- Joint commissioning of Call B4U Serve to prevent homelessness from the private rented sector

These achievements provide us with a solid platform of collaboration to meet the ambitions set out in this strategy.



## Homelessness in Figures

### Understanding Homelessness across Derbyshire

A full data report is available upon request.

Insert Infographics

## **Make Homelessness Everyone's Responsibility Through a System-Wide Approach**

**Secure system-wide  
commitment to  
transform services in  
recognition that  
homelessness is  
everyone's  
responsibility**

**Embed  
homeless  
prevention  
across public  
services**

In order to be able to meet the vision of this Strategy we intend to develop a clear Derbyshire Homelessness Charter for partner agencies to be sign up to. The Charter will set out our vision for homelessness and ask partner agencies to sign up to this and make a pledge as to what they can do to help us achieve the vision. Building upon this we will explore the feasibility of developing a commitment from partners to collaborate to prevent homelessness in order to embed homeless prevention across public services. In the meantime we will streamline the existing duty to refer process to ensure timely and quality referrals.

We know that there are currently missed opportunities across the system to prevent homelessness; a wide range of agencies have opportunities to reduce housing crisis amongst the clients that they work with. We can achieve this by working in a more joined up way to identify those individuals that are at a greater risk of homelessness. By working to identify the triggers for homelessness and ensuring that agencies can recognise the indicators of housing stress, we can ensure that partner agencies are equipped to prevent homelessness and make appropriate timely referrals. We are clear that homelessness is everyone's responsibility, and by all agencies accepting this responsibility we can transform our approach to homelessness across the County.

While it is widely recognised that there are strong correlations between homelessness and severe physical and mental health conditions, alongside significantly reduced life expectancy, the pandemic has crystallised the links between health and homelessness like never before.

We will work to improve access to health services for people experiencing homelessness to address both immediate and longer term needs, while recognising that people experiencing homelessness may not find it easy to access mainstream service provision.

It is acknowledged that there are currently barriers within the current system that often mean that individuals experiencing homelessness with complex needs aren't always able to access the wider services that they need to, including mental health, substance misuse, and adult social care services. Often individuals with complex and multiple needs fail to attend appointments at specific locations and times, or engage with the necessary services, this can result in them being discharged from services. We will work closely with Public Health and Derbyshire County Council to ensure that services are accessible to those experiencing multiple and severe deprivation and that individual outcomes are improved.

We have identified high levels of evictions from social housing in some parts of the County, we will work closely with all social housing providers to end evictions into homelessness, through the development of pre-eviction protocols and encouraging landlords to sign up to the principles of Homes for Cathy.

Significant parts of the County are very rural and as such homelessness in these areas is often hidden. People who are experiencing homelessness or in housing difficulty are more likely to try and make temporary arrangements with family and friends, compared with more urban areas with greater provision available. We will undertake research into the nature and extent of rural homelessness across the County and raise awareness within rural communities of the help and support that is available to people who are at risk of experiencing homelessness.

This Strategy provides the opportunity to develop more consistent approaches to how each Local Authority delivers their housing options and homelessness services, including learning from, sharing, and replicating best practice and innovation.

We will also ensure that data informs and underlies everything that we do. We will ensure that we collect data more effectively across the wider system and use this data to improve targeted interventions and joint approaches.

## Actions

What we will do to make homelessness everyone's responsibility through a system-wide approach	
1.	Develop a Homelessness Charter for partner agencies across Derbyshire to sign up to.
2.	Assess the feasibility of a Commitment to Collaborate in order to embed homeless prevention across public services.
3.	Identify the key triggers for homelessness and work with partners to ensure that they are equipped to prevent homelessness and/or make seamless referrals where necessary.
4.	Streamline the Duty to Refer referral system and work with partner agencies to improve the timeliness and quality of referrals.
5.	Develop a Countywide Homelessness Forum.
6.	Understand the baseline health position of the homeless population by undertaking Homeless Link's Health Needs Audit.
7.	Improve access to health services, and health outcomes for individuals experiencing homelessness.
8.	Work with Derbyshire County Council and Public Health to influence and inform the commissioning and delivery of mental health, substance misuse, and adult social care services to ensure they are accessible and meet the needs of clients experiencing homelessness with complex and multiple needs.
9.	Seek that stock holding authorities sign up to the principles for Homes for Cathy.
10.	Encourage all social housing providers to become a member of Homes for Cathy.
11.	Undertake research into the nature and extent of rural homelessness across the area and raise awareness within rural communities of how to access help.
12.	Create more consistent approaches to the delivery of Housing Options services across Derbyshire.
13.	Develop a common referral form to access homeless services across Derbyshire.
14.	Ensure that data is captured widely and effectively across the system to understand homelessness and the wider determinants, and that this data is used to improve interventions and joint approaches.

## **Prevent and Respond to Homelessness Through Early Intervention and Personalised Solutions**



Across Derbyshire we have had significant success in both preventing and relieving homelessness following the implementation of the Homelessness Reduction Act 2017, but we recognise that we can always do more.

By acting quicker and earlier to identify problems alongside the provision of high-quality advice, assistance, and advocacy, we will ensure people have the best chance of staying in their home. We will also develop a greater understanding of the impact of wider social issues such as childhood poverty and disadvantage, unemployment, poor health and wellbeing, and lack of access to affordable, decent homes. We believe this will greatly increase the chances of positive outcomes for people at risk of experiencing homelessness.

Alongside our intention to promote the earliest possible prevention by embedding homelessness prevention awareness and information through a multi layered, whole system, partnership approach, we are committed to ensuring all Housing Options services work with individuals prior to the statutory 56-day threat of homelessness. We will work with people at the earliest possible point to ensure that opportunities for prevention are maximised, this will include undertaking an awareness raising campaign encouraging people to seek help at the earliest point.

In order to ensure that we are able to deliver personalised housing solutions we will develop an integrated homelessness and wellbeing assessment which will identify the wider support and wellbeing areas that people need help with alongside understanding their strengths and aspirations.



We will continue to work with partners to develop and deliver effective, targeted, and consistent homelessness prevention services targeted at the main causes of homelessness – in particular we will undertake research into the causes of family evictions across Derbyshire in order to gain an in depth insight into this area and develop targeted interventions accordingly. We will work with key partners to ensure that a range of joint protocols are in place to prevent homelessness and create clear pathways out of homelessness.

It is anticipated that increases in the cost of living, together with the ongoing impact of the COVID-19 pandemic will lead to people finding it increasingly difficult to meet their housing costs. We will ensure that a range of measures are in place to prevent homelessness linked to the wider economy, increases in the cost of living, and the recovery from the pandemic. We will work in partnership to ensure adequate services are in place to improve people's financial capability, including accessing education, employment and training. We will also ensure that there are targeted interventions to support both tenants and landlords in order to minimise evictions from the private rented sector.

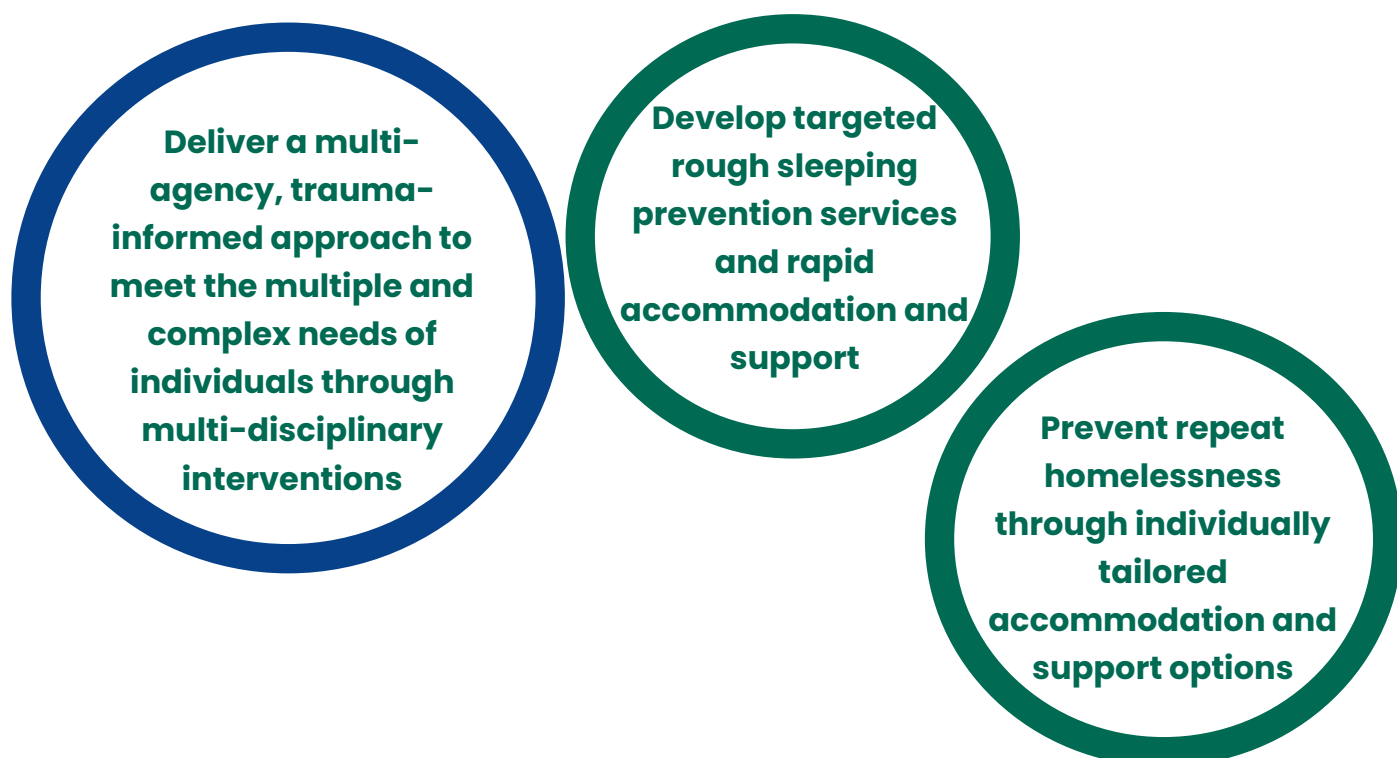
Following the enactment of the Domestic Abuse Act 2021 we will work closely with Derbyshire County Council to meet the requirements of the Act, and ensure that for those experiencing domestic abuse there are a range of options and choice available to assist them in having a safe home to live in.



## Actions

What we will do to prevent and respond to homelessness through early intervention and personalised solutions	
1.	Undertake research into the impact of wider social issues on homelessness and develop partnership interventions accordingly.
2.	Commit to working to prevent homelessness prior to 56 days, and where funding allows develop a specialist early intervention project.
3.	Undertake an awareness raising campaign focusing on homeless prevention, encouraging individuals to seek help at the earliest point.
4.	Develop an integrated homelessness and wellbeing assessment.
5.	Work with Derbyshire County Council to meet the requirements of the Domestic Abuse Act 2021, including ensuring that there is a range of housing options, choice and information available to those experiencing domestic abuse.
6.	Ensure a range of measures are in place to prevent homelessness linked to the wider economy and increases in the cost of living.
7.	Ensure adequate access to services to improve customer's financial capability, including access to education, training, and employment.
8.	Commit to improving the consistency of prevention toolkits across Derbyshire.
9.	Undertake detailed research into the nature and extent of family evictions and develop targeted preventative tools accordingly.
10.	Work to minimise preventions from the private rented sector through the development of targeted interventions.
11.	Explore the viability of creating a county-wide private landlords forum.
12.	In partnership with social housing providers develop a pre-eviction protocol.
13.	Develop a supported housing pre-eviction protocol in partnership with providers.
14.	Develop a prison release protocol.
15.	Work with the relevant hospitals to develop a hospital discharge protocol.
16.	Review the 16/17 year old joint protocol with Children's services and develop a young person's protocol.

## End Rough Sleeping and Repeat Homelessness



Through this strategy we are committed to ensure that we can end the need for anyone to sleep rough across Derbyshire. Rough sleeping is harmful to both individuals and communities and we believe that no one should have to sleep on the streets.

We will deliver a reduction in rough sleeping and address the multiple harms it brings to individuals and communities through rapid intervention to offer a route off the street for all, improving health and wellbeing, and tackling street activity associated with rough sleeping.

If we are to minimise the considerable harm caused by rough sleeping, the most important thing we can do is to prevent it from happening in the first place. However, we can't do this in isolation, rather, we need to ensure that the right support is in place from other key agencies, including health services, adult social care, prison, probation, police, the care system and the Job Centre working together to support the most vulnerable, with services in place that prevent people ending up in crisis.

We will identify the key triggers that lead to rough sleeping, and work with partner agencies to ensure that these key triggers and risk factors are identified, and referrals are made. We will also ensure that effective preventative work is targeted at groups who have a greater likelihood of experiencing homelessness and rough sleeping.

We will provide a rapid intervention for all rough sleepers which will offer a route off of the streets for everyone, through an assertive outreach service, that works effectively and rapidly with those new to the streets – alongside supporting more entrenched rough sleepers into accommodation and support and providing supported reconnections to those from out of area.

We will ensure that no one in Derbyshire has to sleep rough through the creation of a clear accommodation pathway from the streets into a range of accommodation options, including exploring the feasibility of a Countywide assessment centre. We will also create specialist winter provision, building upon the success of the Mount Cook project.

While rough sleeping is the most visible form of homelessness, and one that creates the greatest risk of harm, we recognise that across the majority of Derbyshire Local Authority areas rough sleeping levels are low; however there has been over recent years an increase in the number of individuals with complex and multiple needs who have a history of repeat homelessness across all areas of Derbyshire.

For many people experiencing homelessness is not just a housing issue, it is closely linked with complex and chaotic life experiences, often having their roots in entrenched disadvantage, and leaving people socially and economically excluded.

We cannot successfully tackle homelessness and rough sleeping without addressing the multiple needs of clients, and to do this we must work in partnership.

Through the establishment of a Multi-Disciplinary Team we aim to deliver assertive and co-ordinated services to those clients with the most complex needs to ensure a holistic and collaborative approach to responding to their homelessness and the wider support and health issues that they experience, breaking down some of the existing system blockages and preventing repeat homelessness from occurring.

We recognise that homelessness in adults is more likely amongst those who have experienced a history of childhood adversity and poverty. We are committed to working to develop trauma-informed approaches to delivering homelessness services and ensuring that existing systems do not result in retraumatising individuals.

Many of the current rough sleeping and complex needs services across Derbyshire are funded through Rough Sleeper Initiative (RSI) funding from central Government which is only confirmed until 2025. Over the first two years of this strategy we will assess the impact and outcomes of the RSI funded projects, including a cost benefit analysis – working to develop a business case to secure future ongoing funding for these essential services which are critical to our aim to end rough sleeping.

While rough sleeping is the most visible form of homelessness, the COVID-19 pandemic has revealed the true extent of hidden homelessness across the County, individuals living in insecure accommodation, vulnerably housed and/or sofa surfing. We will undertake research to understand the nature and scale of hidden homelessness across Derbyshire and develop targeted interventions.

We will also work in partnership to develop specialist services for families with complex needs to prevent repeat cycles of homelessness occurring, with the aim of tackling inter-generational homelessness.

## **Actions**

<b>What we will do to end rough sleeping and repeat homelessness</b>
1. Embed a targeted prevention approach to prevent the flow of new rough sleepers on to the street.
2. Establish a multi-disciplinary team to work to deliver assertive and coordinated services to rough sleepers and individuals experiencing homelessness with complex and multiple needs, with a focus on preventing repeat homelessness.
3. Ensure there is a rapid offer of off the street so no-one has to spend a second night on the streets.
4. Explore the feasibility of developing an assessment centre.
5. Plan and develop specialist winter provision for future winters, and where possible avoid the use of hotels.
6. Develop a supported reconnection policy to support rough sleepers to return safely to their home areas.
7. Assess the impact and outcomes of the RSI funded projects, and develop a business case to secure future funding, including a detailed cost benefit analysis.
8. Develop an alternative giving campaign, and work to promote public awareness around rough sleeping and begging.
9. Develop specialist education, employment, and training opportunities for those with a complex history of homelessness and rough sleeping.
10. Undertake research into the extent of dual diagnosis within the homelessness population in order to create an evidence base to work with commissioners to create new service pathways.
11. Undertake research to understand the nature and scale of hidden homelessness across Derbyshire and develop targeted interventions.
12. Collaborate with key partners to develop services to meet the complex needs of homeless families, with a view to preventing intergenerational homelessness.

## **Develop Sustainable Supported and Settled Housing Solutions**



We want to maximise every mechanism to increase the number of affordable housing options available across Derbyshire to both prevent and relieve homelessness ensuring long-term solutions to people's housing situation. A range of accommodation options is needed across the social, affordable private and supported sector to cater for a wide range of housing needs.

We will work across Derbyshire with all social housing developers to increase the provision of appropriate and affordable social housing to meet the identified need in each area.

The private rented sector plays an increasingly critical role in meeting the housing needs of those who are experiencing homelessness or threatened with homelessness.

There are clear opportunities to increase access to the private rented sector through the development of an attractive and comprehensive Derbyshire landlord offer, alongside this we will explore the feasibility of developing a countywide private sector leasing scheme.

Supported housing has an important role to play in meeting the housing and support needs of clients who are not ready to live independently. However, this must provide quality accommodation with good support. Increasingly we are seeing a rise in unscrupulous landlords taking advantage of the exempt accommodation rules and failing to provide the necessary levels of support or expected standards of tenancy management. Through this Strategy we will advocate at a national level for higher standards in the regulation of supported accommodation.

Locally we will develop a Charter of Rights and Responsibilities for exempt accommodation, we also recognise we have many good private landlords of exempt accommodation, and we will support them to achieve Registered Provider status.

To ensure that supported housing provision is able to meet our customers' increasingly complex and multiple needs, we will undertake a detailed needs assessment of housing related support services, to understand the current and future needs of our residents. This will provide the basis for a robust commissioning strategy.

DHOG is committed to investing in a supported housing model that acts as a place of change. We will work with the Derbyshire County Council to develop appropriate housing for clients with complex, multiple and care needs, ensuring that provision and support is psychologically informed, and build upon the assets of the individuals supported.

We will also work closely with Derbyshire County Council to develop provision for those experiencing domestic abuse, including rapid safe provision together with advocacy support.

Where homelessness cannot be prevented, temporary accommodation is an essential part of a household's journey out of homelessness. There has been an increase in the use of temporary accommodation across Derbyshire over the last three years, including increases in the use of bed & breakfast accommodation, this is partly linked to the response to the pandemic.

By ensuring a continued focus on early intervention and prevention work we aim to reduce the flow of new placements into temporary accommodation. However, as a County we need to ensure that we have a sufficient supply of temporary accommodation to meet demand, of the right type and in the right place. This will be essential to avoid the high use of B&B.

In order to achieve this we will undertake a review of temporary accommodation identifying future need and an options appraisal for future delivery arrangements. We will also explore the feasibility of jointly commissioning nightly paid accommodation as an alternative to B&B.

## Actions

What we will do to develop sustainable supported and settled housing solutions	
1.	Work towards increasing the provision of appropriate, affordable social housing.
2.	Following consultation with private landlords develop a comprehensive and attractive countywide landlord offer.
3.	Explore opportunities to develop a countywide private sector leasing scheme
4.	Advocate for higher standards in the regulation of supported housing at a national level
5.	Develop a charter of rights and quality standards for exempt supported accommodation.
6.	Work with current exempt supported accommodation providers to achieve Registered Provider status.
7.	Undertake a detailed needs assessment of housing related support and develop an appropriate delivery strategy.
8.	In partnership with Derbyshire County Council develop appropriate housing provision for clients with complex, multiple and longer-term care needs. (sub action to include Housing lead solutions, accommodation of high risk offenders)
9.	Work with Derbyshire County Council to develop additional provision for domestic abuse, including immediate access provision and advocacy support.
10.	Carry out a review of the use of temporary and interim accommodation, identifying future need and an options appraisal for future delivery arrangements.
11.	Explore the feasibility of jointly procuring nightly paid emergency provision.
12.	Develop a countywide temporary accommodation forum.



## Transforming our Approach to Homelessness: Delivering our Homelessness and Rough Sleeping Strategy

In order to deliver the priorities that we have set out in this Strategy we need to continue to work closely with our key partners to ensure that across Derbyshire we have the expertise, services, provision, resources, partnerships and infrastructure to deliver the Strategy.

The Strategy and its action plan will be reviewed annually so that it is responsive to emerging needs, alongside policy, and legislative changes.

While Derbyshire Homelessness Officers Group will lead on the delivery of the strategy, it is essential that it joins up with over workstreams across the County. DHOG will report into the County's Housing and Health Systems Group, who will adopt the Strategy as priority 2 of their own work plan. The Housing and Health Systems Group operates as a coalition of partners who share good practice and expertise around housing and health, as well as explore external investment opportunities and work towards a joined-up system.

The delivery of the Strategy will be governed by Derbyshire's Health and Wellbeing Board, ensuring the intrinsic link between homelessness and health is fully understood and cementing the partnership approach required to deliver the Strategy.

We acknowledge that the plans set out within this Strategy are ambitious, however we are confident that with the full commitment from all of the Local Authorities and our key partners we can transform our response to homelessness across the County and make homelessness everyone's responsibility.



## Appendix 1: About Homeless Link

Homeless Link is the national membership charity for organisations working with people experiencing or at risk of homelessness In England. We aim to develop, inspire, support, and sustain a movement of organisations working together to achieve positive futures for people who are homeless or vulnerably housed.

Representing over 900 organisations across England, we are in a unique position to see both the scale and nature of the tragedy of homelessness. We see the data gaps; the national policy barriers; the constraints of both funding and expertise; the system blocks and attitudinal obstacles. But crucially, we also see – and are instrumental in developing – the positive practice and ‘what works’ solutions.

As an organisation we believe that things can and should be better: not because we are naïve or cut off from reality, but because we have seen and experienced radical positive change in the way systems and services are delivered – and that gives us hope for a different future.

We support our members through research, guidance, and learning, and to promote policy change that will ensure everyone has a place to call home and the support they need to keep it.

### Homeless Link

Minorities House  
2-5 Minorities  
London  
EC3N 1BJ  
[www.homeless.org.uk](http://www.homeless.org.uk)

# Let's End Homelessness Together



<b>REPORT TO:</b>	<b>HOUSING AND COMMUNITY SERVICES COMMITTEE</b>	<b>AGENDA ITEM: 7</b>
<b>DATE OF MEETING:</b>	<b>19 APRIL 2022</b>	<b>CATEGORY: (See Notes)</b> <b>DELEGATED or RECOMMENDED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR SERVICE DELIVERY</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>PAUL WHITTINGHAM</b> <a href="mailto:paul.whittingham@southderbyshire.gov.uk">paul.whittingham@southderbyshire.gov.uk</a>	<b>DOC:</b>
<b>SUBJECT:</b>	<b>COUNCIL HOUSE RELETS</b>	
<b>WARD(S) AFFECTED:</b>	<b>ALL WHERE THE REPORT AFFECTS THE DISTRICT AS A WHOLE <u>OR</u> SPECIFIC WARDS</b>	<b>TERMS OF REFERENCE: HCS01</b>

## **1.0 Recommendations**

- 1.1 That the Committee notes the progress that has been made in reducing the overall number of empty Council properties and the number of properties under repair.
- 1.2 That the Committee receives further reports on progress in this area and additional information regarding the reasons for property offers being refused by applicants, the reasons for current tenants vacating Council dwellings and the impact of reclassifying sheltered dwellings for general needs use.

## **2.0 Purpose of the Report**

- 2.1 This report outlines the progress made with reletting Council properties during 2021/22.
- 2.2 The report also identifies actions taken so far to improve performance along with short and longer-term actions to improve the overall performance in letting Council properties.

## **3.0 Executive Summary**

- 3.1 Average re-let time and the current average vacancy time for Council properties is reported quarterly as part of the Council's Corporate Performance summary. Whilst performance has improved since April 2021 the current performance must improve still further in order to satisfy customers and reduce rent loss through properties being vacant.
- 3.2 The focus of attention over the past twelve months has been to improve the delivery of repairs to empty properties. The Housing Services Team has identified further actions that are needed to improve the entire delivery of this service, including the overall management of the process and the advertising and allocations of vacant

properties when demand for the different types of properties in different locations across the Councils' stock is variable.

## **4.0 Detail**

### **4.1 Headline Analysis**

- 4.2 At 31 March 2021, there were a total of 111 Council properties empty prior to being relet. There were a further seven properties that were empty but not in a position to be relet. This backlog of properties had built up during the year 2020/21. For much of that financial year the Council like all landlords was prohibited from letting property other than in exceptional or emergency circumstances due to the "Lockdown" restrictions of the COVID pandemic. These restrictions and the knock-on effect on the construction supply chain also limited the amount of work that was allowed to be carried out on Council owned homes.
- 4.3 However, during this period additional properties continued to arise as tenancies continued to terminate, leaving the Council in a position of playing "catch up" in order to let properties.
- 4.4 During the year up to 25 March 2022, a further 209 properties became vacant after the tenancy was terminated. 261 properties have been relet during this period.
- 4.5 As at 25 March 2022, there were 82 Properties empty prior to relet. The table below provides a detailed comparison of the numbers of vacant properties at each stage in the relet process.

<b>RELET STAGE</b>	<b>MARCH 2021</b>	<b>MARCH 2022</b>
METER CHECK/SURVEY	8	12
CONTRACTOR	54	19
FINAL CHECK	20	19
READY TO LET	29	32
<b>TOTAL</b>	<b>111</b>	<b>82</b>

### **4.6 Property Under repair**

The table shows that the overall number of properties to be relet has reduced with the greatest reduction in the number of properties under repair. Numerically the Council has let the same number of properties that became vacant during the year plus an additional 52.

- 4.7 Carrying out of repair works is a significant part of the relet process. This work has been completed by contractors with only minimal input from the Councils own tradesmen due to the fact that the Council is not in a position to undertake the Construction Design Management (CDM) function for building works at the present time.
- 4.8 The Council's Repair Policy includes a lettable standard, which is a minimum standard at which properties can be let and includes the checking of gas and electrical systems as required by statute and regulation.
- 4.9 In some circumstances the minimum standard was exceeded sometimes out of necessity as in the case of rewiring property rather than carrying out costly electrical repair works. In other cases, new kitchens and bathrooms were provided where

replacement was likely within the next three years. Alongside these more major works comes the need for additional works such as specialist asbestos surveys and removal works along with extensive replastering and making good.

4.10 More frequently the standard was exceeded by the provision of decoration to properties where previously only a modest decoration voucher was provided.

4.11 In all cases the delivery of more major works and decoration has added to the time taken to complete repairs to vacant properties. The completion of works in a timely fashion has been pursued with the main contractor NOVUS through regular operational meetings and with its Senior team. Through the course of the "lockdowns" there were some issues with regard to the supply of materials and also skilled labour in certain trade areas such as flooring which is usually required when providing new kitchens and bathrooms. NOVUS identified these issues and its proposed actions to address them in its presentation to the Council's Overview and Scrutiny Committee on 13 October 2021. Since then, the proposed actions have been deployed and good progress has continued to be made in turning properties around and making them available for letting, with the number of properties under repair now at pre pandemic levels.

#### 4.12 Council duties, tenancy termination and reletting.

4.13 The "metercheck/survey, final check and ready to let stages of the process are the responsibility of the Council. The checking and clearing of electric meters have posed particular problems during 2021/22 with electrical testing and works unable to be commenced until power has been restored once a previous tenant's account and any debt has been cleared. This involves identifying the previous tenant's utility supplier and gaining access to their accounts in order to make payments to clear outstanding debt.

4.14 Advertising, offering and letting of property is subject to the varying demand for properties by their type and location. A summary of the average bids received through the Choice Based Lettings system for each property type is included in the table below. This also shows the range of bids from lowest to highest.

Property Type	Average Bids per property	Range of Bids (Lowest- Highest)
1 Bed Houses	23	17 Swadlincote -29 Overseal
2 Bed Houses	25	8 Seales- 42 Woodville
3 Bed Houses	17	2 Netherseal -44 Newhall
4 Bed Houses	16	11 Midway -20 Swadlincote
5 Bed Houses	5	5 Swadlincote (only 1 property)
1 Bed flats	7	1 Shardlow -16 Church Gresley
2 Bed flats	5	2 Overseal -9 Repton

1 Bed Bungalows	16	6 Hartshorne -30 Swadlincote
2 Bed Bungalows	12	1 Willington -19 Castle Gresley

4.15 The table shows that Flats, bungalows and three-bedroom houses in Shardlow, Willington and Netherseal have proved least popular to applicants receiving only one or two bids. Houses in Newhall and Woodville along with bungalows in Swadlincote have proved most popular receiving up to 44 bids per property. One and two-bedroom flats are on average the least popular properties across the District receiving an average of only five to seven bids. Bungalows received an average of 12 to 16 bids with houses receiving an average from 16 to 23 per property. A number of offers of properties are refused each year and further work is underway to quantify these refusals and the reasons for them.

4.16 A breakdown of the number of terminations and lettings is shown in the table below.

Property Type	Terminations	Relets	Current Voids
Bungalow	47 (23%)	56(22%)	19 (23.5%)
Sheltered Flat	36(17%)	40(15%)	19(23.5%)
Flat	56(27%)	66(25%)	24 (29%)
House	70 (33%)	99 (38%)	20 (24%)
TOTAL	209	261	82

4.17 As shown in the table the majority of tenancies that are terminated and available for re-letting are either bungalows or flats. This suggests that further action is needed to identify possible reasons for the lower demand for these properties whilst the supply of them remains high and is likely to do so. Of the 209 tenancies terminated, 67 (32%) were due to the tenant being deceased or moving into long term care. Transfers from one Council property to another accounted for 58 (28%) of terminations with 56 Council tenants (27%) moving to homes provided by Housing Associations. Whilst the Council cannot control the number of deceased tenants, further work is needed to understand the reasons for tenants moving to generally more expensive Housing Association homes and also the number of internal transfers which do create additional vacancies.

4.18 The proportion of flats and bungalows in the housing stock that become available to relet is likely to increase over time as the Council's stock of houses is diminished by around twenty per year through the Right to Buy. This is unless the Council can replace these homes with new ones to keep pace with the loss. The Council has acquired/built 37 homes in the last two/three years via the work of the Council House Development Group with more properties in the pipeline. Flats and bungalows are rarely purchased by existing tenants.

#### 4.19 Actions to Improve Performance

Since September 2021 as a result of the recent restructure of the Housing Services Team a new Management Team of four managers has been in place supported by

new Policy and performance Officer and Compliance Officer roles. The end to end relet process involves all of these teams and having full time permanent staff in these roles has provided the necessary capacity to identify areas for improvement and take action to deliver this. During the course of 2021/22, a number of issues have been addressed with regard to the delivery of repairs to vacant properties and the advertising and letting of property. This has included:

- Improving the management of empty properties by deploying the Orchard IT system to replace manual management process.
- Introducing clearer joint working processes and communication between Council Repairs and Allocations teams along with NOVUS and the other contractors involved in empty property repairs.
- Changing the management by NOVUS of its maintenance teams.
- Improving procedures for the certification and recording of electrical safety works
- Implementing a new Housing Jigsaw choice Based Lettings system.

4.20 There are further improvements to the entire process that will be necessary over the coming year. From 1 April 2022, relet performance will be reported as an overall average along with an “in year” indicator which will show the relet time for all tenancies terminated after this date. Performance over each stage of the process will also be able to be measured more robustly thanks to the deployment of the Orchard Housing Management system to do this. Previously this relied on cumbersome and inefficient spreadsheet systems to do this. This will allow for the early identification of delays and what action needs to be taken to mitigate this.

4.21 The other actions that have been identified are:

- **Performance**
  - Measurable targets for Housing Teams and Contractors for each stage of the relet process.
- **Property**
  - Follow on repairs after reletting rather than during void period
  - Greater control of repairs that are chargeable to the tenant
  - Improve procedures for clearing utility meters
  - Targeted decoration of properties
- **Information Technology**
  - Enhancing the use of the Lifespan Stock condition systems to update stock condition and property safety information.
  - Staff Training in Orchard and Lifespan products
  - Greater use of the Jigsaw system to identify demands and trends
- **Allocations**
  - Greater control of transfers to reduce the number of tenancy terminations
  - Earlier advertising of vacant properties
  - Streamlining Sign Up processes
- **Hard to Let Properties**
  - Early identification of Hard to Let Properties and alternative advertising strategies
  - Possible Declassification of Sheltered Housing Stock

- **Tenants and Other Customers**
- Revise the new tenants' customer satisfaction Survey
- Involve Tenant Panel in relet process and reporting.

4.22 Some of these actions such as the retraining of staff are already in progress and may be completed in the short-term. Others such as the declassification of sheltered stock would need to be the subject of consultation with existing tenants and also the approval of Housing and Community Services Committee.

## **5.0 Financial Implications**

- 5.1 One of the aims of the improvements identified is to reduce the overall rent loss to the Council of properties being vacant which is reported to Committee on a quarterly basis. to Committee on a quarterly basis.
- 5.2 Reports to Finance and Management Committee throughout 2021/22, have highlighted the loss of income from void properties compared to that included in the HRA's Budget. As reported to that Committee on 17 March, the overall reduction in rent due to voids, was expected to total £450k in 2021/22 compared to a budget provision of £215k.
- 5.3 In addition, the additional works identified in this report, are projected to cost an additional £300k more overall in the Repairs Budget for 2021/22. Although the rent loss and cost of repairs is being contained in the overall level of HRA Reserves, it will potentially put pressure on the HRA's longer term financial position.

## **6.0 Corporate Implications**

### **Employment Implications**

- 6.1 There are no direct employment implications contained within this report.

### **Legal Implications**

- 6.2 There are no direct legal implications contained within this report.

### **Corporate Plan Implications**

- 6.3 The contents of this report directly contribute to the aims within the Corporate Plan to: Support and safeguarding the most vulnerable. With partners encourage independent living and keep residents healthy and happy in their homes. Promote health and wellbeing across the District. Improve the condition of housing stock and public buildings.

### **Risk Impact**

- 6.4 The contents of this report directly contribute to the mitigation of the risks identified within the Service Delivery Risk Register :SD1 - Loss of income to the Housing Revenue Account and SD3 – Safety standards.

## **7.0 Community Impact**



## **Consultation**

- 7.1 A revised customer satisfaction survey for new tenants will be introduced during 2022/3 with the results used to inform future service delivery. The newly formed tenants' group have also requested that reletting properties is discussed with them.

## **Equality and Diversity Impact**

- 7.2 There is no direct Equality and Diversity Impact contained within this report.

## **Social Value Impact**

- 7.3 Providing safe secure homes especially for vulnerable people provides a direct and valuable contribution to the well-being of the community.

## **Environmental Sustainability**

- 7.4 There are no direct environmental sustainability implications contained within this report.

## **8.0 Conclusions**

- 8.1 A combination of factors have led to Council homes being empty for long periods which has been unsatisfactory for the Council and the Local community. Progress has been made in addressing some of these factors to reduce the number of empty properties undergoing repair.
- 8.2 Work still needs to be done in order to re let safe and secure properties in a timely fashion and through a service that provides high levels of satisfaction to new tenants and their families.

## **9.0 Background Papers**

Quarterly Performance reports to Housing and Community Services Committee 2021/22

NOVUS Presentation to Overview and Scrutiny Committee 13/10/21



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<b>REPORT TO:</b>	<b>HOUSING AND COMMUNITY SERVICES COMMITTEE</b>	<b>AGENDA ITEM:8</b>
<b>DATE OF MEETING:</b>	<b>19 APRIL 2022</b>	<b>CATEGORY: RECOMMENDED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR - SERVICE DELIVERY</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>ALLISON THOMAS, STRATEGIC DIRECTOR – SERVICE DELIVERY, MATT HOLFORD – HEAD OF ENVIRONMENTAL SERVICES,</b>	<b>DOC:</b>
<b>SUBJECT:</b>	<b>SUSTAINABLE WARMTH FUNDING AND LOW CARBON HOMES</b>	<b>REF:</b>
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: HCS02</b>

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## **1. Recommendations**

- 1.1 That the Committee accepts the Sustainable Warmth Fund grant allocations totalling £1,214,800.
- 1.2 That the Committee authorises the Chief Executive to sign the relevant agreements and declarations necessary to accept the Sustainable Warmth Fund allocations.
- 1.3 That details of all further carbon reduction bid opportunities submitted under the Constitution delegated powers be reported to Environment and Development Services Committee through the annual report of the work of the Corporate Environmental Sustainability Group.
- 1.4 That Committee approves the establishment of a Low Carbon Homes Team consisting of two new temporary additions to the establishment;
  - Low Carbon Homes Team Manager
  - Low Carbon Homes Delivery Officer
- 1.5 That the financial, contractual and human resource aspects of the report are referred to Finance and Management Committee for approval.

## **2. Purpose of Report**

- 2.1 To advise the Committee of the outcomes of bids made to the Department for Business, Energy, and Industrial Strategy (BEIS) and to the Midlands Energy Hub (MEH) to invest in the private sector housing stock in South Derbyshire under the Sustainable Warmth Competition and the proposed next steps.

- 2.2 To accept the grant funding subject to consideration of amounts and conditions attached to the grants and sign relevant agreements and authorisations in relation to low carbon homes improvements.
- 2.3 To create the short-term capacity to deliver the low carbon homes improvements and to enable the Council to develop the capacity and competence to submit competitive bids for future low carbon homes funding opportunities.

### 3. Background

- 3.1 The Green Homes Grant – Local Authority Delivery (GHG – LAD) Scheme was launched in September 2020 by BEIS to save households money, cut carbon emissions and create green jobs. GHG – LAD Phase 1 allocated £200million to local authorities to co-ordinate improvements to both privately owned and local authority owned housing.
- 3.2 In December 2020, with the approval of this Committee, South Derbyshire District Council submitted a successful bid for £586,000 under **Green Homes Grant – Local Authority Delivery Phase 1b (LAD1b)**. The LAD1b project closed on 31 March 2022.
- 3.3 A further £300million was made available in 2021 to local authorities, administered through the eight regional energy hubs through a scheme called **Green Homes Grant – Local Authority Delivery Phase 2 (LAD2)**.
- 3.4 In June 2021, with the approval of this Committee, South Derbyshire District Council submitted a bid for an allocation of £425,000 under LAD2. Within the same bid this Council also applied for an additional £888,350 over and above the specific allocation made to the Council.
- 3.5 In July 2021 the Council was informed that the bid for £425,000 had been successful. In August 2021, the Council was informed that it would also receive a further £767,360 of additional LAD2 funding, bringing the overall LAD2 funding allocation to £1,192,360.
- 3.6 The LAD2 project is currently in delivery phase and closes on 30 June 2022.
- 3.7 In July 2021, BEIS announced the launch of the Sustainable Warmth Competition.
- 3.8 This is a competition to bring together two fuel poverty schemes – **Local Authority Delivery Phase 3 (LAD3)** and **Home Upgrade Grant Phase 1 (HUG1)**, which both have a shared goal to contribute to the aims set out in the ‘Sustainable Warmth: protecting vulnerable households in England’ strategy.
- 3.9 With the approval of this Committee, South Derbyshire District Council submitted a bid for £1,513,000 in July 2021. The Council also agreed to be a named partner in a Midlands consortium bid submitted by MEH.
- 3.10 The initial bid to BEIS was unsuccessful. However, BEIS subsequently invited the Council to resubmit a bid for improvement to ‘off-gas’ properties only (i.e., properties for which mains gas is not the primary source of heating).
- 3.11 The Council resubmitted a bid for £840,800 for HUG1 funding and has recently been informed that this bid was successful.
- 3.12 The consortium bid through MEH was also successful. MEH has subsequently offered an allocation of this funding to the Council and has invited the Council to submit a Delivery Plan to support the receipt of this allocation.

- 3.13 The Council has submitted a Delivery Plan proposal totalling £374,000 specifically targeted at 'on-gas' properties.
- 3.14 This Committee will also be aware of an additional successful bid by this Council for funding to improve the thermal efficiency of South Derbyshire's own housing stock under the Social Housing Decarbonisation Fund (SHDF). This has brought in external funding of £1,099,835. The HRA will contribute £529,422, resulting in a low carbon home investment of £1,557,123 in SDDC housing stock.
- 3.15 Appendix 1 provides a summary of the successful bid submissions to date.
- 3.16 Appendix 3 contains a copy of the relevant sections of the Memorandum of Understanding with BEIS which sets out the terms of the funding. The most significant condition of relevance is that any unspent funding at the closure date of the scheme of 31 March 2023 must be returned to BEIS.

#### **4. Proposed Low Carbon Homes Team**

- 4.1 Appendix 1 illustrates the magnitude of funding which the Council has recently secured to deliver low carbon housing and which now totals approximately £4,100,000.
- 4.2 Each of the bid submissions has a percentage allocation which the Council can allocate to 'administrative and auxiliary' activities. This includes recruiting staff to support the delivery of the project.
- 4.3 The total available funding for administrative and auxiliary' activities is approximately £300,000.
- 4.4 To date, the staffing resource allocated to the LAD1b and LAD2 projects has been met through the good will of existing staff and by recruiting a Green Homes Grant Project Co-ordinator from a recruitment agency.
- 4.5 One temporary agency member of staff above the existing headcount is significantly below the capacity necessary to deliver a £4million project. It is, therefore, proposed to create a small, dedicated Low Carbon Homes Team within the Council and to utilise third party providers to add extra support for marketing, lead development and conversion and customer support. Full details and costs of the proposed Team are contained in Appendix 2. The rationale for the creation of the Team is as follows:
- 4.5.1 The Low Carbon Homes Team and associated support would have the staffing levels necessary to deliver the various projects for which the Council has received funding until the end of March 2023.
- 4.5.2 The Team would be created on a task / finish basis, and it would therefore consist of temporary staff only and would come to an end at the end of March 2023.
- 4.5.3 The Low Carbon Homes Team would be entirely funded by finances from the external bids.
- 4.5.4 One of the functions of the Team will be to develop future low carbon homes bids. Given that Team will exist for as long as it continues to acquire external funding, this creates clear incentives to deliver bid submissions of the highest quality.
- 4.5.5 The proposed Team will provide the increased expertise needed to develop programme monitoring and tracking. Data analysis and data reporting is becoming an increasing part of these projects. Providing sufficient resources for this and aligning this data with the Councils own IT systems is critical to project success and will significantly help with future bids.

- 4.5.6 The Team will enable increased monitoring and reporting of data post installation to ensure that energy and carbon reductions are achieved, and fuel poverty reduction goals are achieved.
- 4.5.7 Officers are acutely conscious of the potentially significant future funding opportunities in this area of work. The creation of the Low Carbon Homes Team would create both the capacity and the technical expertise to significantly increase the Councils likelihood of continuing to successfully bid for future funding streams.
- 4.5.8 The Low Carbon Homes Team will be given a broader brief than to just deliver the low carbon home projects which have been funded. Most households in South Derbyshire fall outside the qualifying criteria to receive support from these bids. Therefore, if the Council wants to proactively pursue the stated aspiration in the Climate and Environment Action Plan to decarbonise the entire housing stock, we need to be engaging with a much wider cohort of property owners than those who fall under the existing low carbon homes projects. The proposed Team will provide some capacity to do this.
- 4.5.9 One of the most significant barriers to the delivery of the LAD1b and LAD2 projects has been finding property owners who may qualify for the grant support and then making a sufficiently persuasive case to get adequate numbers to apply. It is proposed to engage a third-party provider to help develop a pipeline of homeowners interested in potential future grant support.
- 4.6 The proposed Low Carbon Homes Team will consist of a Low Carbon Homes Manager, supported by a Low Carbon Homes Delivery Officer.
- 4.7 The Low Carbon Homes Manager will be tasked with overall project management, stakeholder relationships, project governance and future bid production. The Council also intend to develop a medium to long term Low Carbon Homes Strategy which will offer strategic direction on how to decarbonise the South Derbyshire housing stock through to 2050.
- 4.8 The Low Carbon Homes Delivery Officer will be focused on guiding property owners through the application process and ensuring that the quality and quantity of completed grants meet the project targets and are to the satisfaction of the property owners and the project sponsors.
- 4.9 Both of the proposed new temporary posts will be filled by agency staff. Indicative grades for the two posts are as follows:
- Low Carbon Homes Team Manager PO3
  - Low carbon Homes Project Officer Grade 6
- 4.10 The Council will engage a third-party provider (Marches Energy Agency) to focus on finding candidates for grant support and getting them to a point of submitting their application. As well as this they will take a broader role of promoting low carbon home improvement to all property owners in South Derbyshire and developing a pipeline of potential future applicants for grant support.
- 4.11 Marches Energy Agency has already been procured and funded by the regional energy hub for the LAD3 project. It is proposed that the Council will directly appoint Marches Energy Agency (subject to it meeting provisions in the Contract Procedural Rules) to provide the same service for the HUG1 project as well as support for the SHDF project.

- 5.1 The financial implications of the proposals are summarised in Appendix 2. All of the costs of the proposals will be met by external funding.
- 5.2 Major beneficial. The various low carbon homes projects have attracted £4.1 million funding for investment in South Derbyshire until March 2023.
- 5.3 The creation of the Low Carbon Homes Team creates a significantly higher chance of attracting further funding.
- 5.4 The low carbon homes funding has also attracted private landlords to consider investing in their portfolio. Officers estimate that the funding obtained to date may also directly result in between £50,000 to £250,000 of privately funded improvements to private rented properties.
- 5.5 The low carbon homes project provides medium-term investment in the local energy retrofit market, thus boosting the green economy.

## **6. Corporate Implications**

- 6.1 **Employment.** The proposals would directly lead to the employment of two temporary members of staff within the Low Carbon Homes Team as well as employment of additional staff in Marches Energy Agency. The proposals will also create local opportunities for employment with the contractors who are delivering the low carbon home improvements.
- 6.2 **Legal.** The Sustainable Warmth bids are the subject of a Memorandum of Understanding between BEIS, MEH and the Council. The MoU sets out a reporting framework which will need to be completed by the Low Carbon Homes team in order to satisfy BEIS that the project aims are being met.
- 6.3 The contracts for the low carbon homes work are of a considerable size. The work can only be delivered by existing contractors who have met the Council's procurement requirements. This creates a constraint on the volume of work which can be delivered given that the number of contractors available to undertake the work is very limited and the Council cannot move work to a different contractor if the approved contractor cannot deliver the volumes required.
- 6.4 Marches Energy Agency has already been appointed by the regional energy hub to deliver a Customer Access Journey for the LAD3 project at no cost to the Council. Marches has been appointed to provide the same service for the HUG1 and SHDF projects.
- 6.5 Officers are looking at the viability of accessing additional contractors from the MEH's Dynamic Purchasing System subject to relevant internal approvals.
- 6.6 **Corporate Plan implications** – The proposals align with the key Corporate Plan theme of 'Our Environment' as well as the two key aims of "Strive to make South Derbyshire District Council carbon neutral by 2030" and "Work with residents, businesses and partners to reduce their carbon footprint".
- 6.7 **Risk impact** – Corporate Risk CR22 'Climate Emergency' currently has a red RAG rating. One of the two further actions required to minimise this risk is for the Council to actively seek external funding.

- 6.8 The proposals in this report all contribute to this action and therefore to reducing this corporate risk.

## **7. Community Implications**

- 7.1 **Consultation.** None
- 7.2 **Equality and Diversity.** Beneficial. The proposals will predominantly benefit those on low incomes and in fuel poverty.
- 7.3 **Social Value Impact.** Beneficial
- 7.4 **Environmental Sustainability.** Beneficial.

## **8. Conclusion**

- 8.1 The report seeks Committee approval to accept £1,214,800 of Sustainable Warmth Fund allocation from a bid originally approved by Committee on 30 September 2021 and to delegate the Chief Executive and Strategic Director (Corporate Resources) to sign the relevant agreements.
- 8.2 The report seeks approval to establish a temporary Low Carbon Homes Team in order to create the staffing capacity to deliver the Sustainable Warmth funded housing improvements and to better position the Council to deliver low carbon home improvements for the medium and long term.

## **9. References**

- 9.1 Housing and Community Services (HCS) Committee Item 28 January 2021.
- 9.2 GHG – LAD Phase 1b Allocation Policy December 2020.
- 9.3 Environment and Development Services Committee item, 27 May 2021, 'Climate and Environment Emergency'
- 9.4 Finance and Management Committee item, 10 June 2021, 'Climate and Environment Emergency'
- 9.5 HCS Committee item, 3 June 2021, 'Green Homes Grant – Local Authority Delivery Phase 2'.
- 9.6 HCS Committee item, 30 September 2021, Green Homes Grant – Local Authority Delivery Phase 3 / Homes Upgrade Grant'.

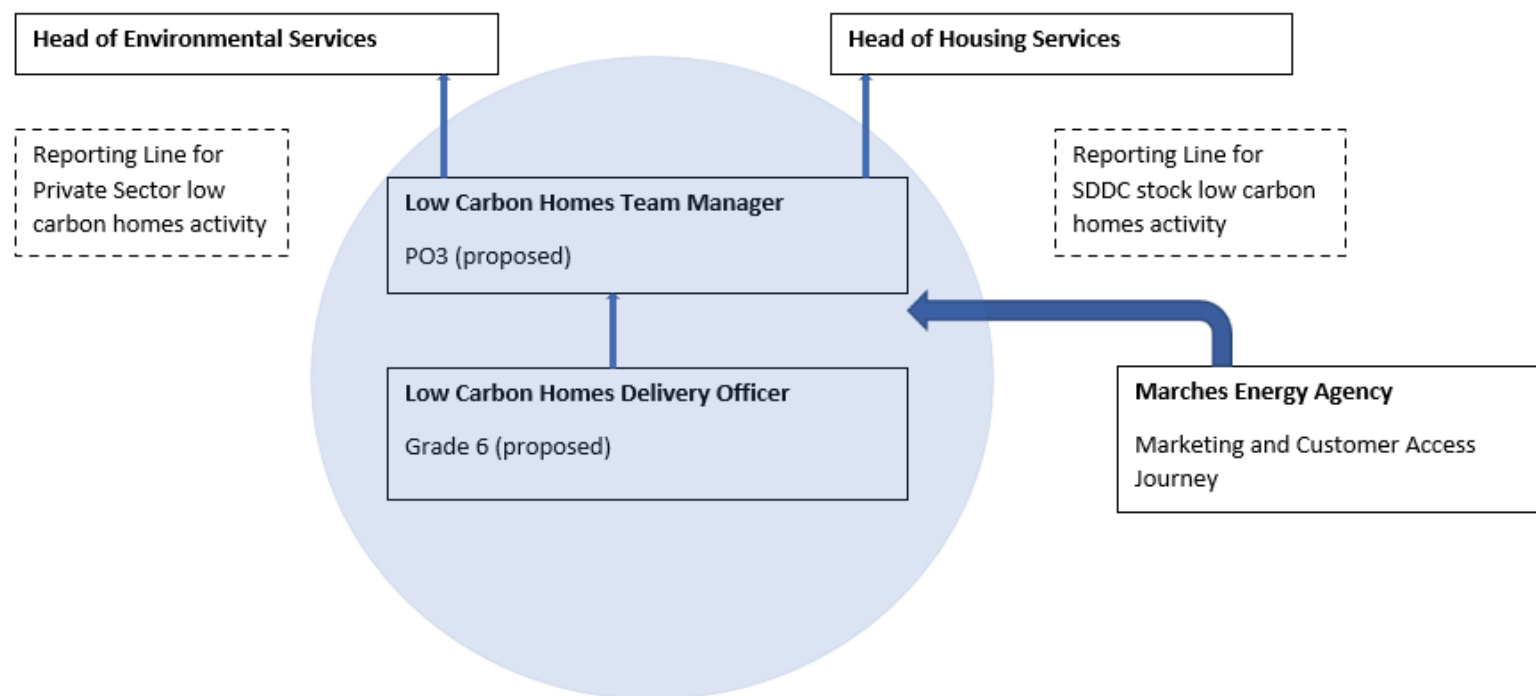
## Appendix 1 – Summary of all Approved Successful Low Carbon Homes Bids to date

Scheme	Funding Secured	Project End Date	Project Summary
GHG – LAD Phase 1b	£586,000	31 March 2022	Thermal insulation for up to 220 private sector properties occupied by low-income families
GHG – LAD Phase 2 Main bid	£425,000	30 June 2022	Thermal insulation for up to 60 private sector properties occupied by low-income families
GHG – LAD Phase 2 Supplementary bid	£767,360	30 June 2022	Thermal insulation for up to 100 private sector properties occupied by low-income families
SHDF Wave 1	£1,099,835	31 March 2023	Thermal insulation and low carbon heating for up to 111 Council owned properties.
HUG1	£840,800	31 March 2023	Thermal insulation for up to 115 private sector properties occupied by low-income families
LAD3	£374,000	31 March 2023	Thermal insulation for up to 69 private sector properties occupied by low-income families
<b>Total Funding</b>	<b>£4,092,995</b>		



## Appendix 2 – Proposed Low Carbon Home Team

Low Carbon Homes Team – Estimated Costs			
Post	Estimated JEQ evaluation	£	Estimated Cost
Project Supervisor	PO3	£41,000.00	£57,400.00
Delivery Officer	Grade 6	£27,500.00	£38,500.00
Marches Energy Customer Access Journey			£42,000.00
Set aside for bid production			£50,000.00
Total Estimated Cost			<b>£187,900.00</b>





**SUSTAINABLE WARMTH COMPETITION**  
**HOME UPGRADE GRANT PHASE 1**  
**MEMORANDUM OF UNDERSTANDING**  
**BETWEEN**  
**THE SECRETARY OF STATE FOR BUSINESS, ENERGY AND INDUSTRIAL STRATEGY**  
**And**  
**South Derbyshire Council**

FINAL

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## MEMORANDUM OF UNDERSTANDING

### DEFINITIONS

In this Memorandum of Understanding (MoU) the following terms will have the following meanings:

**“The Authority”** the Local Authority (LA) with whom this MoU is signed by and in the case of a Consortium, means the local authority that is to sign this MoU and is the lead Authority and to whom the Grant is to be paid by the Secretary of State subject to the provisions of this MoU.

**“BEIS”** means the Department for Business, Energy, and Industrial Strategy.

**“Data Capture Portal”** refers to the Data Capture Portal used by BEIS for Data Collection. This portal will capture the excel spreadsheet completed by LAs on a monthly basis to submit their Performance Monitoring (KPIs), Property and Installed measures data for the Home Upgrade Grant Phase 1 (HUG 1) scheme.

**“Consortium”** means a group of LAs working together to deliver the Proposal set out in Annex 7 under the leadership of the Authority.

**“Eligible Installer/Contractor”** means contractors that are currently trading, are registered with TrustMark<sup>1</sup> and all projects must be compliant with PAS 2035:2019 Retrofitting dwellings for improved energy efficiency. Installers are required to have the appropriate certifications for the Eligible Measures that they are installing on behalf of the Authority as set out in the Proposal.

PAS 2035:2019 requires that all energy efficiency measures within the scope of the PAS 2030:2019 standards must be delivered by installers who are certified to this standard and all low-carbon heating measures must be installed by a MCS certified<sup>2</sup> installer.

We expect all contractors to work safely as we recover from the pandemic, following Covid-19 secure working practices.

**“Eligible Expenditure”** means payments by the Authority during the Funding Period for the purposes of delivering the Proposal which comply in all respects with the rules set out in **paragraphs 15 to 20** (Scope of Activity) of this MoU.

**“Eligible Household”** means a household which meets the eligibility requirements to which Eligible Measures may be delivered on behalf of the Authority as set out in the Proposal i.e. households receiving measures are low-income and have a combined household annual income of no more than **£30,000** gross, before housing costs and where benefits are counted towards this figure; or are low-income households who are likely to be living in fuel poverty verified by LAs using alternative methodologies, such as means tested benefits, charity and health referrals, locally held data.

Eligible households must live in a domestic dwelling in England with an EPC Rating of D, E, F or G, or in a park home where this has been demonstrated as appropriate, to which Eligible Measures may be delivered on behalf of the Authority as set out in the Proposal.

<sup>1</sup> Or a scheme that the Secretary of State is satisfied is equivalent.

<sup>2</sup> Or a scheme that the Secretary of State is satisfied is equivalent.

**“Eligible Measures”** are any energy efficiency and heating measures compatible with the Standard Assessment Procedure (SAP) that will help improve EPC band D, E, F or G rated homes.

This includes, but is not limited to, energy efficiency measures (such as wall, loft, and underfloor insulation) and low carbon heating technologies.

This is with the exception of heating systems which are fuelled by fossil fuels, such as the installation or repair of a fossil fuel-based heating system, or the replacement of an existing fossil fuel-based heating system with another fossil fuel-based heating system, are not in scope.

For more information on Eligible Measures please refer to Section 2.1.5 of the Sustainable Warmth (SW) Competition Guidance document.

**“Funding Period”** is the period for which the Grant is awarded to **31 March 2023**.

**“The Grant”** is the capital funding made available by the Secretary of State to the Authority under this MoU to deliver the SW Competition as stated in **paragraphs 9 to 14**.

**“HUG 1”** the grant value available to support low-income households off-gas grid, through the Home Upgrade Grant Phase 1 scheme.

**“LAD 3”** is a third phase of the Local Authority Delivery Phase 3 with the value available for support. LAD 3 has a refined scope with support available to low-income households heated by mains gas only.

**“Monthly Report”** has the meaning given to it in **paragraph 51**.

**“The Parties”** means the Secretary of State and the Authority together collectively.

**“Project Team”** means the SW project team within BEIS responsible for the delivery of the SW Competition

**“Project Board”** means the lead governing authority for the SW Competition within BEIS.

**“Proposal”** means the Authority’s proposal set out in **Annex 7**.

**“Secretary of State”** means the Secretary of State for Business, Energy and Industrial Strategy.

**“Services”** are the services the Authority is expected to procure for delivery under the SW Competition.

**“Spend”** means any Capital, Administration or Ancillary funding committed and accrued to an Eligible Expenditure, as long as such activity is due for completion within the Funding Period.

**“SW Competition”** means funding via HUG 1 and LAD 3, which concludes on **31 March 2023**.

**“RHI”** means the Renewable Heat Incentive, a government financial incentive to promote the use of renewable heat.

## **PURPOSE**

1. To establish the way the parties to the MoU will work together to deliver the SW Competition in England.
2. To clarify the roles and responsibilities of the parties to the MoU.
3. The Parties to this MoU are:
  - (i) The Secretary of State for Business, Energy, and Industrial Strategy ("Secretary of State"); and
  - (ii) South Derbyshire Council known as "the Authority".

The Secretary of State and the Authority are known together collectively as "the Parties".

4. The Secretary of State has decided to grant capital funding through the SW Competition to the Authority. The Authority has committed to spend such funds to deliver Eligible Measures to Eligible Households, using Eligible Contractors.
5. The Parties wish to record their understanding regarding the Grant funding which are detailed in this MoU.

## **BACKGROUND**

6. The SW Competition is a single funding opportunity which brings together two fuel poverty schemes. Through the SW Competition, Government aims to save households money, reduce fuel poverty, cut carbon, and support the aims of the Prime Minister's 10 Point plan for a Green Industrial Revolution. The SW Competition provides funding to upgrade homes both on and off the mains gas grid and is comprised of **£286.8m** for low-income households heated by mains gas through a third phase of LAD, and of **£152.2m** for low-income households off the gas grid through HUG 1, with a further c. **£67m** made available in April 2022, totalling c. **£219m** of investment in HUG 1.
7. The SW Competition will provide funding to improve low energy performance off grid and on gas grid homes in England by installing Eligible Measures. A competition was launched on **16 June 2021** offering LAs and Local Energy Hubs the opportunity to apply for funding. Upgrades delivered through the SW Competition should be completed by the delivery deadline of **31 March 2023**.

## **OUTCOMES**

8. The primary purpose of the SW Competition is to raise the energy efficiency rating of low-income and low EPC rated homes (those with D, E, F or G) on the gas grid and off the gas grid. This funding will also support low-income households with the transition to low-carbon heating. We expect the SW Competition to result in the following outcomes:

- a. Tackle fuel poverty by increasing low-income homes' energy efficiency rating while reducing their energy bills – a key principle of the SW Competition: Protecting Vulnerable Households in England Strategy 2021.
- b. Deliver cost effective carbon savings to carbon budgets and progress towards the UK's target for net zero by 2050.
- c. Support clean growth and ensure homes are thermally comfortable, efficient, and well-adapted to climate change.
- d. Support economic resilience and a green recovery in response to the economic impacts of Covid-19.

The SW Competition will support energy efficiency measures and low carbon heating for off gas grid homes and on gas grid homes, with an aim of upgrading homes to a target energy efficiency rating of EPC C, or EPC D where this is not possible.

## THE GRANT

9. The Secretary of State grants the Authority capital funding of HUG Phase 1 £840,800.00 ("the Grant") to deliver the outcomes in line with their Proposal. This funding is subject to the Authority providing the documentation and information in accordance with **paragraph 10**.
10. The Project Team will issue the MoU for signing in the week commencing **21 February 2022** at the latest and the Authority is to provide the Secretary of State with the documentation and information listed in Table 1. The Authority will be given **20 working days** from the date of issue to have the MoU signed and sent back to Project Team.
11. The Secretary of State intends to pay the Grant during **April 2022**, following receipt of the signed MoU and information listed in Table 1. If receipt of the fully completed MoU is delayed, this will delay payment.
12. The Grant is made available for use during the Funding Period.
13. At the Secretary of State's sole discretion, the Secretary of State reserves the right to determine an extension to the Funding Period beyond **31 March 2023**, should the Authority provide a request in writing no later than **3 months** before the end of the Funding Period, so by **31 Dec 2022**.
14. The Authority will ensure that any public communications it issues about the SW Competition, or the Proposal are not misleading as to the extent to which they are funded by the Secretary of State.

## SCOPE OF ACTIVITY

15. The Authority will use the Grant in accordance with the provisions of this MoU to only incur Eligible Expenditure.

16. In delivering the Proposal, Eligible Expenditure are payments properly incurred in relation to:
- A recipient who is an 'Eligible Household'; and
  - Installation of 'Eligible Measures' which aims to improve homes towards EPC C and above; and
  - Completed by an 'Eligible Contractor'; and
  - Installation is completed during the 'Funding Period'.
17. Cost of upgrades for off the gas grid homes:

The average cost caps of upgrades will be on a sliding scale according to the starting EPC band and starting heating fuel type as set out below. Where housing is owner occupied (private homeowners), no household contribution towards the costs of the upgrade will be required. Where a property is rented to a tenant by a private landlord, the landlord will be required to fund one third of the cost of upgrades, with the remaining costs provided up to the respective total cost caps outlined below.

	F & G	E	D
Electric	£20,000	£15,000	£10,000
Off Gas Grid Fossil Fuel (Oil, LPG, Coal)	£25,000	£20,000	£15,000
Park Homes (off the mains gas grid)	£15,000		

18. Where the Grant includes capital funding, accounting standards permit, in certain circumstances, the capitalisation of costs incurred when delivering the capital assets for the Proposal (for example, administrative and ancillary). The Authority will keep such costs incurred in delivering the Proposal below 15% of the HUG total Grant provided by the Secretary of State. In all other cases capital funding must not be spent on revenue.
19. The Authority will use Eligible Installers who are suitably certified as defined above.
20. Without prejudice to any other provisions of this MoU, the Authority will not use the Grant for the following purposes:
- For the provision of measures which are not Eligible Measures.
  - To fund the provision of any lending to third parties.
  - To replace funding for an existing project, including any staff costs for an existing project and any projects to deliver statutory obligations, although the Grant may be used to extend the geographical coverage, scope or scale of an existing project (and for additional staff costs attributable to the extension of the project).
  - Use for activities of a political or religious nature.
  - Use in respect of costs reimbursed or to be reimbursed by funding from public authorities or from the private sector.



- f. Use in connection with the receipt of contributions in kind (a contribution in goods or services as opposed to money).
- g. Use to cover interest payments (including service charge payments for finance leases).
- h. Use for entertaining (entertaining for this purpose means anything that would be a taxable benefit to the person being entertained, according to current UK tax regulations).
- i. Use to pay statutory fines, criminal fines or penalties.
- j. Use to pay for eligible costs incurred before the date of signature of this MoU by the parties; or
- k. Use in respect of Value Added Tax (VAT) that the Authority is able to reclaim from HM Revenue and Customs.

### **VALUE ADDED TAX**

21. Eligible Expenditure is net of VAT recoverable by the grant recipient from HM Revenue & Customs, and gross of irrecoverable VAT. This means that all grants are outside the scope of VAT. This grant funding to the Authority falls out of scope for VAT. This is because the provision of the Grant is not a consideration of supply for VAT purposes. If the Authority enters into a third-party contractual relationship with a supplier (per the terms of the Secretary of State issuing the Grant) and incurs non-recoverable VAT on the supply provided, the Authority should ensure this does not exceed the total Grant award. This means recoverable VAT should not be included in the Grant requested.

### **USE OF THIRD-PARTY DELIVERY PARTNERS**

22. Where the Authority is not directly responsible for delivery and instead chooses to provide funding to other public bodies (e.g., LAs), the Authority will ensure that funding provided:
- a. Addresses the primary objectives of the SW Competition targeted at low income and low EPC rated households off-the-gas-grid and on the gas grid.
  - b. Is deliverable within the timescales set out for the Funding Period.
  - c. Addresses value for money regarding the total number of homes upgraded by measure and the total administrative and management costs which will be borne by the third party.
  - d. Identifies and implements any additional value-adding elements which are aligned to the overall objectives of the SW Competition.
  - e. Is reported in line with the KPIs and reporting arrangements as set out in this MoU.
  - f. If the use of Consortia is required then appropriate considerations need to be addressed to the extent of delivery across all areas within its consortium, and the opportunities for participation by all the LAs, including those who may be less experienced and/or capable.

- g. Includes provision for the return of funding under the circumstances set out in this MoU.
- 23. For the avoidance of doubt, where the Authority provides any funding to third parties for activities undertaken during the Funding Period, it will ensure that the provisions within this MoU are included in any arrangement with these third parties.
- 24. The Authority is expected to work with these third parties to ensure that key risks are identified and managed.
- 25. In the consideration of use of Consortia, the Secretary of State acknowledges that it may not be appropriate to implement commercial contractual arrangements between the Authority and other public bodies. However, the Authority will implement ways in which other public bodies' performance during the Funding Period can be appropriately managed such that the Grant will be redistributed from third parties who are poorly performing or slow to deliver to those which are meeting their performance and delivery targets.

## **INTERACTION WITH OTHER FUNDING**

- 26. Funding LAs receive from the SW competition cannot be blended with other government schemes such as the Energy Company Obligation (ECO), Boiler Upgrade Scheme, or the Social Housing Decarbonisation Fund schemes (SHDF) for the same individual measure, although it is possible for installations to be undertaken for the same property where the installation measures are not the same. For example, a contractor delivering support to a household may be funded through HUG Phase 1 to install a heat pump and funded separately by ECO to install solid wall insulation.
- 27. The SW Competition is grant funding from public funds, therefore, for the purposes of the Renewable Heat Incentive (RHI), any funding from SW Competition for low carbon heating measures would be deducted from RHI's payments as per the RHI rules on grant funding. LAs should be aware of RHI rules, including that to be eligible for RHI the applicant must have made some financial contribution toward the cost of purchasing or installing their heating system.
- 28. The Authority will introduce controls to ensure households are not in receipt of funding derived from the SW Competition and other government schemes, apart from the RHI, on the same measure.
- 29. The Authority can, however, blend funding they receive from the SW Competition with third party finance or local authority budgets to deliver additional support to communities.
- 30. The Secretary of State will utilise data matching between schemes in order to monitor that the same measure installed in the same property is not claimed for under different schemes.

## **SUBSIDY CONTROL**

- 31. The Authority acknowledges that it will ensure that the Grant and use of it does not breach any applicable subsidy control regime.

32. To minimise the risk that a court of competent jurisdiction requires grant funding to be repaid, the Authority will:
- a. Comply with any applicable subsidy control regime in its use of the Grant and its delivery of the Proposal.
  - b. Obtain and retain all declarations and information as may be required to enable both the Authority and the Secretary of State to comply with any applicable subsidy control regime, and to provide copies of such declarations and information to the Secretary of State when required to do so.

### **PROCUREMENT AND OTHER BENEFITS TO THIRD PARTIES**

33. The Authority will, in delivering the Proposal:
- a. Comply with all relevant requirements of UK law relating to public procurement in force and applicable from time to time.
  - b. The Authority will give due consideration to the use of Small & Medium Enterprises (SMEs) within the supply chain and ensure contracting and sub-contracting opportunities are advertised as such to encourage participation of SME and local supply chains. BEIS has its own SME action plan, which can be found using the following link:  
  
<https://www.gov.uk/government/publications/beis-small-and-medium-enterprises-sme-action-plan>
  - c. When conducting procurement activities, the Authority will comply with the obligations under the Equality Act 2010 and its associated Public Sector Equality Duty.
  - d. The Authority will comply with the Local Government Transparency Code 2015.

### **SUPPLY CHAIN MANAGEMENT EXPECTATIONS**

34. The Authority acknowledges that when managing its supply chain, it should expect its suppliers and subcontractors to meet the standards set out in the Government Supplier Code of Conduct published by the HM Government on best practice expectations referenced below and be able to demonstrate such:

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/779660/20190220-Supplier\\_Code\\_of\\_Conduct.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/779660/20190220-Supplier_Code_of_Conduct.pdf)

### **PROMPT PAYMENT**

35. In delivering the Proposal, the Authority will, unless the Secretary of State agrees otherwise in writing, pay the person from whom any goods, works or services are purchased within **30 calendar days** of receiving a valid undisputed invoice from that contractor.

- a. The Authority will also ensure this payment timeline is included within any sub-contract arrangements of the contractor.
36. The Authority will ensure that where it uses third-party delivery partners, in accordance with **paragraphs 22 to 25**, that the funding provided is also paid within **30 calendar days** of receiving a valid undisputed invoice from that contractor, or from receiving an acceptable proposal from a public body.
- a. When payment is made in accordance with **paragraph 22**, the Authority will ensure that these payment timelines are included within any sub-contractors of the third parties in accordance with **paragraph 23**.

## **MODERN SLAVERY, CHILD LABOUR AND INHUMANE TREATMENT**

37. The Authority acknowledges throughout the Grant period of delivery that it should maintain its own policies and procedures to ensure its compliance with the Modern Slavery Act 2015 and include in its contracts with its Suppliers and Subcontractors anti-slavery and human trafficking provisions.
38. If the Authority becomes aware of any concerns that any part of the supply chain may have breached the Modern Slavery Act 2015 then this must be reported within the Risk Management procedure and the Project team be informed instantly.

## **COMMERCIAL USE OF THE GRANT**

39. The Authority will not use the Grant, or any asset financed wholly or partly by it, to generate revenue or make a capital gain, except to the extent agreed as part of the Proposal. If the Authority does so, it will:
- a. Inform the Secretary of State immediately and in writing; and
  - b. Agree that the Grant may be reduced by the amount of that revenue or gain (as the case may be).

## **GRANT WITHDRAWAL AND REPAYMENT**

40. In accordance with **paragraphs 40 to 46**, it is the understanding of the Parties that the Secretary of State may request the Authority to repay all, or any proportion of, the Grant, together with interest (calculated in accordance with **paragraph 44**).
41. The Authority accepts that the Secretary of State may exercise these rights where the Secretary of State:
- a. Is required to cease grant funding or to recover all, or any proportion, of the Grant or any other amount by virtue of a decision of a court or other competent authority.
  - b. Has reasonable grounds to consider that the payment of the Grant, or the Authority's use of it, contravenes any requirement of law, in particular (but without limitation) law relating to subsidy control; or
  - c. Has reasonable grounds to consider that the Grant was irregularly obtained or spent in a way that does not meet the SW Competition outcomes or other requirements referred to in **paragraphs 15 to 20**.
  - d. Has reasonable grounds to consider that corrective action by the Authority is either not suitable or timely in the implementation and the conditions in **paragraph 54** are met.

42. When exercising these rights, the Secretary of State will notify the Authority of the grounds concerned and as far as possible, consider the Authority's representations made within any reasonable timeframe required by the Secretary of State.
43. A decision by the Secretary of State to ask the Authority to repay the Grant will be communicated by letter, and the Authority will make that repayment within **30 calendar days** of the date of that letter or within any later reasonable timeframe agreed by the Secretary of State in writing.
44. Where the Secretary of State requests repayment, interest will be calculated from the date of the Grant payment, in accordance with:
  - a. the retail prices index over the relevant period (that index being taken as 0% for any period during which the index is negative); or
  - b. any other rate required by law in the circumstances if it is higher.
45. Where the Authority does not make the relevant payment within the timeframe specified in **paragraph 43**, further interest on the outstanding sum (inclusive of interest already charged under **paragraph 44** will accrue, after that deadline, at the statutory rate of interest under Section 6 of the Late Payment of Commercial Debts (Interest) Act 1998 or any other rate required by law in the circumstances if it is higher).
46. Should the Secretary of State not exercise their options under **paragraph 41** or delay in doing so, this will not constitute a waiver of those options unless the Secretary of State confirms such a waiver in writing. Furthermore, any such written waiver will not be taken as a precedent for any other, or subsequent, circumstances.

## **SUSPENSION**

47. The Secretary of State may suspend payment of the Grant where:
  - a. One of the grounds in **paragraph 41** arises.
  - b. The Secretary of State has reasonable cause to believe that one of those grounds may have arisen, or is likely to arise; or
  - c. One of the provisions of this MoU is not met by the Authority.
48. In the case of any suspension, unless the Secretary of State confirms a contrary agreement in writing:
  - a. The Authority will continue to comply with the requirements of this MoU including any deadlines occurring during the period of suspension; but
  - b. The Authority will not make any further use of the Grant until the Secretary of State has authorised continued use of the Grant in writing.
49. The Authority will inform the Secretary of State immediately in writing, if it has any concerns that any of the grounds in **paragraph 41** might arise.

## **AGREED USE OF UNDERSPEND**

50. In the event that the Authority, including those operating as a lead Authority within a Consortium, considers that it will not be able to use, or does not use, all the Grant to secure delivery of the Proposal by the end of the Funding Period:

- a. The Parties will work together to agree how the Authority will spend any unspent Grant funding in line with the expected outcomes of the SW Competition.
- b. The Secretary of State reserves the right to determine an extension to the Funding Period, should the Authority provide a request in writing to do so as per **paragraph 13**.
- c. If the Parties are unable to reach an agreement described in sub-paragraph (a), the Authority agrees to promptly repay the unspent Grant and, in any event, no later than **30 calendar days** after the final reporting date.
- d. Final reports would consist of the project closure letter, signed declaration and final monthly report to be presented by the **28 April 2023**.

## GOVERNANCE

51. On a monthly basis, the Authority will provide a report to the Project Team covering the period from the first to last day of the month on or before the **10<sup>th</sup> working day** of the subsequent month (the "Monthly Report"). For example, the report covering the delivery period of **1 - 31 May 2022** will be required to be submitted by the **10<sup>th</sup> working day of June 2022**. This will need to include inputs as required from local authorities within the Authority's consortium, where applicable. At a minimum, the Authority will provide:
  - a. an update of the Authority's progress against each Key performance Indicator (KPI).
  - b. an update on overall delivery confidence assessment as described in **paragraphs 75 and 76**.
  - c. top 5 risks, issues and incidents of fraud; and
  - d. any items the Authority wishes to escalate to BEIS.
52. Should the Project Team identify in the Monthly Report a significant variation in the Authority's performance against their targets stipulated in relation to the KPIs, the Project Team, on behalf of the Secretary of State, may request a recovery plan detailing the interventions required to recover the project(s).
53. The Project Team will determine if the interventions detailed in the recovery plan provide confidence of project recovery. If necessary, the Project Team will provide further recommendations to address areas of concern. The Project Team and the Authority will jointly agree a timescale to implement the interventions.
54. Should the Authority need to action the (a) interventions of the KPIs being met, and fail to see project(s) recovery, or (b) report any of the Top Fraud Risks and (c) fail to implement the interventions necessary regarding corrective action, this will be escalated to the Project Board, who may recommend the claw back of funds, if the corrective action is either not suitable or timely in the implementation.
55. The Project Team and the Authority may seek to have a regular monthly meeting to discuss the progress of delivery of the Proposal and any issues arising from the Monthly Report. Where applicable, the Project Team will issue the agenda and relevant actions from these meetings. At a minimum, the Authority will provide everything listed in **paragraph 51** to the Project Team.



56. The Project Team and the Authority may agree to schedule ad-hoc meetings outside of the monthly meetings. These requests will be considered on a case-by-case basis and reasonable notice will be provided, as well as a proposed agenda.

## **CHANGE REQUESTS AND VARIATIONS**

57. BEIS expect the Authority to do all they can to deliver against the forecast set out in their approved SW bid and /or agreed in their MoU. In the event, that the Authority cannot deliver the same upgrades to the number of homes they originally forecasted or if there is any other deviation from their original bid or their MoU, they must notify the Project Team via their allocated Account Manager as soon as possible by using the change request process as set out by BEIS. Further details of the process including relevant guidance and templates will be shared at the start of the delivery period. A formal change request must be submitted as soon as a possible and at least no later than **3 months** before the end of the Funding Period.
58. The Project Team will manage the process within BEIS and co-ordinate all changes requested by the Authority. The Project Team will validate the change request by asking the Authority to directly discuss the details within the change request before progressing it to further decision-making process. BEIS will seek to respond within **10 working days**.
59. The Authority when submitting the change request must consider the following requirements for change requests:
- a. Take a 'worst-first' when considering which homes are identified for upgrade. This means treating homes with the lowest EPC ratings as a priority (EPC Bands E, F, G rather than Band D homes).
  - b. That the Authority follows a fabric-first approach when considering installation of measures, and any installations proposed should follow the recommendations of the Retrofit Co-ordinator. A Retrofit Coordinator is the individual who will be responsible for overseeing the assessment of dwellings as well as the subsequent specification, monitoring, and evaluation of energy efficiency measures, in accordance with PAS 2035. Their job is to comply with PAS 2035 and ensure quality is maintained throughout. This means maximising the proportion of insulation and clean heat measures installed (measures including SWI, CWI and LI, and heat pumps) and limiting the proportion of other measures (measures such as Solar PV/thermal, windows and doors).
60. No variation of this MoU will be effective unless it is agreed in writing and signed by both Parties. This does not prevent either Party making reasonable changes in relation to the administrative arrangements in the MoU (such as contact details) by notice in writing to the other Party, without such agreement in writing signed by both Parties. In the event that the approved change request shows that the Authority will not be able to utilise the allotted grant allocation, even with a recovery plan, then the Authority will work with the Project Team to identify any resulting underspend and facilitate the prompt return of that underspend to BEIS.



## **RISK MANAGEMENT**

61. The Authority agrees to provide assurance that risks in relation to the Proposal have been identified and mitigated. The Authority will complete the Risk Register in **Annex 4** and return it to the Secretary of State as part of their MoU submission.
62. In providing assurance about the management of risks, the Authority will identify risks and issues which arise from its own activities and those which arise from third parties, including those delivering measures or services under the scheme and those referring potential scheme recipients or otherwise publicising the scheme.
63. As part of the Monthly Report, the Authority will report the status of the risks and issues identified within the Reporting and whether any new risks or issues have emerged. The report will also provide a statement as to whether risk management is effective and whether any remedial action is necessary and, if so, the Authority is required to follow the process set out in the change process **Annex 11**. The Authority will share both the risks it is managing, and risks raised by local authorities or any other third-party delivery partners.
64. As soon as it becomes apparent to the Authority or the Project Team that a risk will significantly impact on the delivery of the Proposal, the Project Team and the Authority will provide a Recovery Plan and notify the Account Management Team to work through the recommendations to address the concerns and if needed, will propose a change request as stated in **Annex 11** to any variation.

## **FRAUD**

65. As part of the delivery of the Proposal, the Authority will be responsible for carrying out or arranging for the reasonable ongoing due diligence, controlling, monitoring, reporting, as well as managing any specific cases of suspected or identified fraud.
66. The Secretary of State has specified that all Authorities funded through the SW Competition should, at a minimum, have a robust Fraud Risk Assessment (FRA) in place (see **Annex 5**), with mitigating counter fraud actions, to provide assurance about the management of fraud risks. The Authority agrees to provide a completed FRA to the Secretary of State upon request.
67. The Authority acknowledges it should implement controls, considering the following options listed when doing so and BEIS should retain the right to inspect the robustness of controls to reduce the risk of fraud where possible:
  - a. Implementing strategies regarding Counter Fraud, Bribery and Corruption.
  - b. Staff awareness through training and educating all employees on fraud risk and appropriate action to take if fraud is suspected.
  - c. Aiming to design fraud out of the Authority's stages of the grant process.
  - d. Through regular risk assessments throughout the Projects time frame.

- e. The use of the Authority's Audit officer to proactively look for the potential fraud.
  - f. Appropriate whistleblowing arrangements to support the reporting of fraud.
  - g. Regular site visits regarding oversight of the delivery implementation.
68. In accordance with **paragraphs 65** and **66**, incidents of fraud will continue to be reported monthly throughout the Funding Period.
69. The Authority will inform the Project Team at the earliest opportunity of any reports it has received or identified relating to any suspected fraudulent activity relating to the delivery of the Proposal and include a summary of investigative and/or corrective action.

## PERFORMANCE

70. During the Funding Period, the Authority will provide the information (described as Authority responsibilities in the table below) to the Project Team in their Monthly Report submission in relation to the KPI targets described in the table below and as further stipulated in the Proposal (attached as **Annex 7**).
71. To measure performance, the Project Team will assess performance levels against the monthly target forecast (from the grant assessment proposal) given by the Authority as a benchmark in accordance with the levels set out in the table below. All forecasted figures against the KPIs will be reviewed to consider risks around deliverability.
72. KPIs 1a, 1b, 2a, 2b and 4 should reflect the figures of the reporting month provided to BEIS within **10 working days** of reporting month end. KPI 3 should reflect the figures of the reporting month, at the month end.
73. If the Authority fails to provide their monthly report submission on or prior to the reporting deadline, KPIs 1a, 1b, 2a, 2b, 3 and 4 (reporting on the previous month) within **10 working days** after the last day of the previous month, then the following reminders will be sent and escalated:
- a. **First Reminder (1 Working Day late)** - Project Team will alert the Authority via email to submit the information.
  - b. **Second Reminder (2 Working Days late)** - Project Team will alert the Authority via a call and email to submit the information.
  - c. **Third Reminder - Escalated (3 Working Days Late)** - Email from Project Director to CEO to explain that monthly reports have not been submitted in a timely fashion as agreed within the MoU, seeking explanation and date when the information will be forthcoming.
  - d. **Fourth and Final Reminder - Further Escalated (5 or More Working Days Late)** - Email from SRO to CEO to explain that monthly reports have still not been submitted in a timely fashion as agreed within the MoU, seeking explanation, date when the information will be forthcoming and any other actions.

74.

Sustainable Warmth KPIs				
Key Performance Indicators	Data & Reporting	Timing	Performance Level Ratings	Benchmark
<b>KPI 1a: PLANNING</b>  Number of houses validated and scheduled in to receive measures within the 3-month period (in period scheduling rather than installation).	<b>Authority responsibilities</b> - To provide the monthly report using the Monthly Reporting Template.  <b>Project Team responsibilities</b> - To calculate the rolling 3-month average. Calculation purpose to compare actual to forecast and to give a forward directional look to the project.	Report the current Month (return to BEIS within 10 days of Month end)	<b>1.) GREEN (ACCEPTABLE)</b> - Less than 10% variation  <b>2.) AMBER (ACTION REQUIRED)</b> - 11% - 40% variation  <b>3.) RED (AT RISK)</b> - 41% - 100% variation	90-100% Scheduled (GREEN - Less than 10% variation)
<b>KPI 1b: PLANNING</b>  Cumulative number of houses validated and scheduled in to receive measures within the to Date period (in period scheduling rather than installation).	<b>Authority responsibilities</b> - To provide the monthly report using the Monthly Reporting Template.  <b>Project Team responsibilities</b> - To calculate the cumulative to date view once data received from LA. To compare actual to forecast.	Report the current Month (return to BEIS within 10 days of Month end)	<b>1.) GREEN (ACCEPTABLE)</b> - Less than 10% variation  <b>2.) AMBER (ACTION REQUIRED)</b> - 11% - 40% variation  <b>3.) RED (AT RISK)</b> - 41% - 100% variation	90-100% Scheduled (GREEN - Less than 10% variation)

<b><u>KPI 2a: DELIVERY</u></b>  Number of homes with the installation of all measures completed within month.	<b>Authority responsibilities</b> - To provide the monthly report using the Monthly Reporting Template.  <b>Project Team responsibilities</b> - To calculate the monthly comparability actual to forecast.	Report the current Month (return to BEIS within <b>10 days</b> of Month end)	<b>1.) GREEN (ACCEPTABLE)</b> - Less than 10% variation  <b>2.) AMBER (ACTION REQUIRED)</b> - 11% - 40% variation  <b>3.) RED (AT RISK)</b> - 41% - 100% variation	<b>90-100% Fulfilled (GREEN - Less than 10% variation)</b>
<b><u>KPI 2b: DELIVERY</u></b>  Cumulative number of homes with the installation of all measures completed compared to the cumulative forecast.	<b>Authority responsibilities</b> - To provide the monthly report using the Monthly Reporting Template.  <b>Project Team responsibilities</b> - To calculate the cumulative to date view once received data from LA and to compare actual to forecast.	Report the current Month (return to BEIS within <b>10 days</b> of Month end)	<b>1.) GREEN (ACCEPTABLE)</b> - Less than 10% variation  <b>2.) AMBER (ACTION REQUIRED)</b> - 11% - 40% variation  <b>3.) RED (AT RISK)</b> - 41% - 100% variation	<b>90-100% Installations Completed (GREEN - Less than 10% variation)</b>
<b><u>KPI 3: REPORTING</u></b>  Submission of Performance Monitoring Data Monthly Report in an accurate and timely manner.	<b>Authority responsibilities</b> - To provide the monthly report using the Monthly Reporting Template.  <b>Project Team responsibilities</b> - To calculate the days late and for the system to flag gaps that need to be filled in.	Monthly (at the Month end)	<b>1.) GREEN (ACCEPTABLE)</b> - 0 days late  <b>2.) AMBER (ACTION REQUIRED)</b> - 1 - 2 days late  <b>3.) RED (AT RISK)</b> - 3 days + late	<b>100% complete and 0 days late</b>
<b><u>KPI 4: VALUE</u></b>  Actual funds spent (Capital, Admin & Ancillary costs – full Grant value) versus forecast within given month.	<b>Authority responsibilities</b> - To provide the monthly report using the Monthly Reporting Template.  <b>Project Team responsibilities</b> - To compare actual to forecast.	Report the current Month (return to BEIS within <b>10 days</b> of Month end)	<b>1.) GREEN (ACCEPTABLE)</b> - Less than 5% variation  <b>2.) AMBER (ACTION REQUIRED)</b> -	<b>95-100% Fulfilled (GREEN - Less than 5% variation)</b>

			<p>6% - 15% variation</p> <p>3.) Red (AT RISK) - 16% - 100% variation</p> <p>Benchmarks maybe challenged if cost savings transpire versus the original forecasts, however the volume of homes, number of measures and measure mix should stay the same. If this occurs, then the Authority must inform the BEIS project team.</p>	
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75. The Project Team will conduct a mid-term review to assess the overall performance of the Authority. The Authority will provide an update on delivering the outcomes for the Funding Period in line with their Proposal and this MoU. The Project Team will produce a Delivery Confidence Assessment (DCA), based on this update and the information from performance levels from monthly reports in accordance with **paragraph 51**. In the event that the mid-term review shows the Authority will not be able to utilise the allotted grant allocation, then the Authority will work with the project team on recovery to identify any resulting underspend and facilitate the prompt return of that underspend to BEIS.
76. The DCA will be conducted in accordance with the below.

DCA	Example Description
Green	Project will deliver its full scope within the timescale agreed.
Green/Amber	While there are risks to the project, these are being effectively managed, and delivery is still expected to be achieved to time and scope.
Amber	Project no longer expects to deliver the full scope within the timescale agreed. Corrective action(s) to improve performance should be identified and discussed with BEIS.

<b>Amber/Red</b>	Project delivery is at risk and corrective actions are not currently sufficient. There are severe risks threatening delivery of the project. This rating can also be used in other damaging circumstances such as when significant fraud has been perpetrated. A recovery plan may be required and/or projected underspend returned to BEIS.
<b>Red</b>	Project will not deliver the full scope within the specified timescales. A recovery plan would be requested and/or anticipated underspend returned to BEIS.

## **MONITORING, EVALUATION AND AUDIT**

77. The Authority will support all activities in relation to monitoring, evaluation and audit. The Authority will:

- a. Respond fully, truthfully and promptly to any enquiries the Secretary of State, or the Comptroller and Auditor General, or their representatives, may make about the Proposal or the use of the Grant and provide any information and evidence reasonably requested, including by providing a statement of usage of the Grant (at such times, and in such form, as they may reasonably specify).
- b. Allow the Secretary of State, the Comptroller and Auditor General, and their representatives, access to all relevant documents and records, and reasonable access for inspecting any relevant site.
- c. Where requested, ensure that any information or evidence provided to the Secretary of State, the Comptroller and Auditor General, or their representatives, is audited by an identified and independent reporting accountant or otherwise confirmed or verified by a person of such other relevant expertise as they may reasonably specify; and
- d. Give reasonable assistance to the Secretary of State or the Secretary of State's contractors to carry out work in connection with the Grant throughout delivery of the Proposal and up to two years after completion of the Proposal, for example as part of the Secretary of State's ongoing monitoring and evaluation commitments.
- e. Cooperate with BEIS contractors on related evaluation projects (e.g., the Green Homes Grant Local Authority Delivery scheme (GHG-LAD), the Home Upgrade Grant (HUG), the Smart Meter Enabled Thermal Efficiency Ratings (SMETER) Innovation Programme and cooperate with the Secretary of State's appointed advisers.
- f. Provide a monthly report to BEIS via the secure Data Management System, containing a text description of that month's overall delivery progress, risk and issues encountered, evidence of due diligence to manage fraud risk and data on progress against each KPI (see **paragraph 74**).
- g. Provide monthly record-level management information data on the status and characteristics of each installation delivered via the same platform. Please see Annex 8b for an example of the template we will provide for the submission of these reports. Further information is provided within the guidance document.
- h. Include these data collection requirements in all relevant contracts with installers and delivery partners, ensuring they understand and accept them. Make available



our standardised Privacy Notice (see **Annex 6**) to all data subjects, prior to the collection of data, to support compliance with data processing transparency requirements. Where explicit consent is required from data subjects, use either BEIS's consent statement (see **Annex 10**) or functional equivalent to capture this consent and maintain logs of this in your data as per the requirements.

- i. Agree and sign a standardised Data Sharing Agreement (provided separately) between the Authority and the Secretary of State prior to the transfer of the above data.
- j. Demonstrate sufficient staffing resource in funding applications to manage the above requirements to an effective level of quality and maintain this level of resource for the full project duration.

## **RECORD KEEPING**

78. The Authority will keep for **10 years**, records relating to any spending funded (or defrayed) by the Grant. Such records should indicate:
- a. The identity of any third party concerned and their business.
  - b. The amounts any third party has been given.
  - c. The purpose for which the money was spent.
  - d. Evidence that contracts have been awarded in accordance with public procurement law where they are required to be; and
  - e. Details of and information relating to any significant sub-contracting by the Authority.

## **DATA PROTECTION**

79. In so far as it is possible to do so in accordance with the Data Protection Act 2018, the UK General Data Protection Regulation (UK GDPR) and the Market Research Society Code regarding the collection and use of personal data for research and statistical purposes and all other law, the Authority agrees to collect information for evaluation and reporting purposes (referred to below as "the Information") in a way which:
- a. Allows it to share the Information with BEIS, in accordance with the principles set out in the Data Sharing Agreement (provided separately) and as referenced in the Monitoring, Evaluation and Audit section of this MoU.
  - b. Allows BEIS to share the Information with any of its research or evaluation service providers.
  - c. Allows BEIS to use the Information for research and statistical purposes (this does not include publishing the Information in a way that identifies individual households) provided always that BEIS complies with the provisions of the Data Protection Act 2018 and UK GDPR.
  - d. Allows BEIS to keep names and contact details of the local authority and its delivery partners on file for use in the in-house CRM system to enable better relationship management (see the LA privacy notice in **Annex 9**).



## **FREEDOM OF INFORMATION**

80. The Parties may be obliged to disclose information relating to the SW Competition, the Grant, and the Proposal under the Freedom of Information Act 2000, the Environmental Information Regulations 2004 or under another requirement of law.
81. The Parties will assist and cooperate with each other as reasonably requested to facilitate compliance with those requirements.
82. In the event that the Secretary of State provides information in response to a request for information under the Freedom of Information Act 2000 or the Environmental Information Regulations 2004, the Secretary of State may make that response publicly available for the purposes of transparency.

## **INTELLECTUAL PROPERTY**

83. In undertaking the Proposal, the Authority will not infringe the intellectual property rights of any third party.
84. Where the Proposal gives rise to the generation of any intellectual property, the Authority will not subsequently seek to make profit from the use of such intellectual property, for example through the grant of licences.
85. Unless otherwise agreed by the Secretary of State, the Authority will allow the Secretary of State royalty free use of any intellectual property created whilst delivering the Proposal.

## **COMPLIANCE WITH THE LAW**

86. The Authority will comply with all laws and regulatory requirements when delivering the Proposal (including, without limitation, compliance with all laws and regulatory requirements relating to public procurement and subsidy control).
87. In signing this MoU, the Authority confirms that use of the Grant for the purpose of the Proposal and in accordance with the MoU is in compliance with all laws and regulatory requirements.

## **ANTI-DISCRIMINATION**

88. The Authority will comply with the requirements of the Equality Act 2010 and avoid any unlawful discrimination.

## **RESPONSIBILITY FOR EMPLOYEES, CONTRACTORS, AGENTS AND PARTNERS**

89. The Authority will ensure that its employees, contractors, agents, partners and other local authorities or organisations it works with in delivering the Proposal (whether or not as part of a Consortium) comply with the commitments and principles set out in the MoU and will be responsible for any failure by them to meet those commitments and principles.

## **WARRANTIES**

90. The Authority warrants that:
  - a. It has full capacity and authority to deliver the Proposal and to enter into this MoU.

- b. It will obtain any consents necessary to undertake the Proposal.
- c. The information and evidence in its Proposal remains true, complete and accurate, and that its circumstances have not materially changed since submitting its Proposal.
- d. It does not know of the existence of any circumstances which might materially and adversely impact on its ability to undertake the Proposal or observe the provisions and principles of this MoU.
- e. If the Authority chooses to use electronic signing, then this will be done through secure means only.

### **LIMITATION OF LIABILITY**

91. The Authority confirms that the Secretary of State's liability to the Authority is limited to payment of the Grant (subject to the Authority meeting the commitments and principles of the MoU and its Annexes and to the Secretary of State's rights set out therein). The Authority remains entirely responsible for its risks and liabilities in undertaking the Proposal, and the Secretary of State will have no liability for any consequence, direct or indirect, that may arise through the Authority's undertaking of the Proposal or its use of the Grant.

### **ASSIGNMENT**

92. The Authority will not assign or otherwise transfer to any other person the benefit of the Grant or any other benefit arising by virtue of this MoU without the approval in writing of the Secretary of State.

### **STATUS**

93. This MoU is not intended to be legally binding, and no legal obligations or legal rights shall arise between the Parties from this MoU. The Parties do, however, enter the MoU intending to honour all their commitments under it.
94. Nothing in this MoU is intended to, or shall be deemed to, establish any partnership, joint venture or relationship of employment between the Parties, constitute either party as the agent of the other party, nor authorise either of the Parties to make or enter any commitments for or on behalf of the other party. Accordingly, the Authority will not hold itself out as having any such relationship with the Secretary of State.

### **FURTHER FUNDING**

95. The Secretary of State is under no obligation to provide the Authority with any further funding in respect of the Proposal or for any other purpose. Performance under this MoU may be considered in decisions relating to use, return or redistribution of underspend or the distribution of further funding.

### **REFERENCES**

96. In this MoU references to legislation are to that legislation as amended or re-enacted from time to time (including any amendment or re-enactment having taken place before the date of this MoU).

### **NOTICE AND COMMUNICATIONS**

97. The Authority will be able to contact BEIS using the following email address:

[sustainable.warmth@beis.gov.uk](mailto:sustainable.warmth@beis.gov.uk)

98. The Authority's day to day contacts for the Department are:

NAME	ROLE	EMAIL
Zelita Diei-Yoa	Project Manager/Main Contact	<a href="mailto:zelita.dieiyoa@beis.gov.uk">zelita.dieiyoa@beis.gov.uk</a>
Tony Michaels	Senior Project Manager	<a href="mailto:tony.michaels@beis.gov.uk">tony.michaels@beis.gov.uk</a>
Karli Conn	Communications Lead	<a href="mailto:karli.conn2@beis.gov.uk">karli.conn2@beis.gov.uk</a>
Shaun Garvey	Deputy Director	<a href="mailto:shaun.garvey@beis.gov.uk">shaun.garvey@beis.gov.uk</a>
Selvin Brown	SRO	<a href="mailto:selvin.brown@beis.gov.uk">selvin.brown@beis.gov.uk</a>

## ESCALATION

99. If the Secretary of State or the Authority has any issues, concerns or complaints about the SW Competition, or any matter in this MoU, that party will notify the other party and the parties will then seek to resolve the issue by a process of consultation. If the issue cannot be resolved within **21 calendar days**, the matter will be escalated to the senior management teams of both parties, which will decide on the appropriate course of action to take. If the matter cannot be resolved by the senior management teams within **60 calendar days**, the parties will consider mediation as an alternative dispute resolution process.
100. If a party receives claims made by a supplier or requests for information made under the Freedom of Information Act 2000 in relation to the SW Competition, that party will promptly inform the Project Board (or its nominated representatives) of the matter.

**Signed for and on behalf of the Secretary of State.**

Signature:

*S. Hurst*

Name:

Steph Hurst

Position:

Deputy Director, Energy Efficiency and Local, Department for Business, Energy & Industrial Strategy

Date:

21/02/2022

**Signed for and on behalf of the Authority.**

Signature:

[REDACTED]

Name:

[REDACTED]

Position:

[REDACTED]

Date:

[REDACTED]

**DOCUMENTS TO BE PROVIDED****Table 1:** Documentation to be provided by the Authority before the Grant will be released and once the LAs have been notified that their applications have been successful.

What needs to be provided?	Annex
A signed copy of this MoU	This document
A signed copy of the Section 151 or Section 73 Officer declaration	Annex 1
A completed and signed Grant Claim Form including Bank Details (AP1A Form)	Annex 3
A completed Risk Register	Annex 4
A completed Fraud Risk Assessment (FRA)	Annex 5
A completed and signed copy of the Data Sharing Agreement	Provided separately
A completed Oracle LA Registration Set-up Form	Annex 12

**Table 2:** Additional documentation to be completed or acknowledged by the Authority as required.

Additional documentation	Annex
A signed copy of the Section 31 Grant Determination Notice (by <b>28 April 2023</b> at the latest)	Annex 2
Scheme Participation Privacy notice	Annex 6
Approved Application Proposal (From the Authority's submission and approved through the Assessment Stage of the Grant application process)	Annex 7
Monthly Report and Data Collection (monthly requirement for Authority as stated in KPI)	Annexes 8a & 8b
LA Privacy Notice	Annex 9
Scheme Participant Privacy notice guidance	Annex 10
Change Request Form	Annex 11

## Annex 1: Section 151 or Section 73 Officer Declaration

In my position as the Section 151 or Section 73 Officer for South Derbyshire Council, I confirm that:

- a) South Derbyshire Council will accept the grant funding that has been offered through the Home Upgrade Grant Phase 1.
- b) The information and evidence pertaining to this grant claim is complete, true and accurate.
- c) South Derbyshire Council will ensure the delivery of the Services in accordance with the terms of the Proposal; and
- d) South Derbyshire Council will comply with the provisions of the Memorandum of Understanding in connection with its delivery of the Proposal.

Signature:

[REDACTED]

Name:

[REDACTED]

Position:

[REDACTED]

Date:

[REDACTED]



## Annex 2: Grant Determination

### **DETERMINATION (2022/23): 31/5947**

The Secretary of State for Business, Energy & Industrial Strategy (“the Secretary of State”), in exercise of the powers conferred by section 31 of the Local Government Act 2003, makes the following determination:

#### **Citation**

1) This determination may be cited as the Home Upgrade Grant Phase 1 Extension Determination (2022/23) 31/5947.

#### **Purpose of the grant**

2) The purpose of the grant is to provide support to Local Authorities in England towards expenditure lawfully incurred or to be incurred by them.

#### **Determination**

3) The Secretary of State determines as the authorities to which grant is to be paid and the amount of grant to be paid, the authorities and the amounts set out in Part A.

#### **Grant conditions**

4) Pursuant to section 31(3) and 31(4) of the Local Government Act 2003, the Secretary of State determines that the grant will be paid subject to the conditions in Part B.

#### **Treasury consent**

5) Before making this determination in relation to local authorities in England, the Secretary of State obtained the consent of the Treasury.

Signed by authority of the Secretary of State for Business, Energy & Industrial Strategy



Steph Hurst

Deputy Director, Energy Efficiency and Local, Department for Business, Energy & Industrial Strategy

## Part A of the Grant Determination

Authority to which	Amount of grant
grant is to be paid:	to be paid:
South Derbyshire Council	£840,800.00

## Part B of the Grant Determination

### GRANT CONDITIONS

1. Grant paid to a Local Authority under this determination may be used only for the purposes that a capital receipt may be used for in accordance with regulations made under section 11 of the Local Government Act 2003.

2. The Chief Executive and Chief Internal Auditor of each of the recipient Authorities are required to sign and return to the Team Leader of the Energy Efficiency and Local Division of the Department for Business Energy and Industrial Strategy a declaration, to be received no later than **28 April 2023**, in the following terms:

“To the best of our knowledge and belief, and having carried out appropriate investigations and checks, in our opinion, in all significant respects, the conditions attached to Home Upgrade Grant Phase 1 Extension No 31/5947 have been complied with”.

3. If an authority fails to comply with any of the conditions and requirements of **paragraphs 1 and 2**, the Secretary of State may-

(a) reduce, suspend or withhold grant; or

(b) by notification in writing to the authority, require the repayment of the whole or any part of the grant.

4. Any sum notified by the Secretary of State under **paragraph 3 (b)** shall immediately become repayable to the Secretary of State.

Chief Executive Signature: [REDACTED]

Date: [REDACTED]

Chief Internal Auditor Signature: [REDACTED]

Date: [REDACTED]

## Annex 3: Grant Claim Form

SECTION 1 REQUESTER DETAILS	
Local Authority	[REDACTED]
Bank Details	[REDACTED]
Purchase Order Number	[REDACTED]
Contact Name	[REDACTED]
Telephone Number	[REDACTED]
Email Address	[REDACTED]

SECTION 2 CLAIM DETAILS	
Home Upgrade Grant Phase 1 Total to be Claimed	[REDACTED]
Date of Claim	[REDACTED]
Claims may include VAT that the authority is not able to reclaim from HM Revenue & Customs or not likely to become able to claim.	

SECTION 6: SENIOR LOCAL AUTHORITY OFFICER'S DECLARATION
<p>I confirm that I have considered the Authority's Proposal (included Proposal included as <b>Annex 7</b> of the MoU) against which this Grant claim is made, as well as the principles set out in the Memorandum of Understanding for the Sustainable Warmth Competition, and that:</p> <p>a. The information and evidence pertaining to this Grant claim is complete, true and accurate.</p> <p>b. We will comply with the principles set out in the Memorandum of Understanding.</p> <p>Signed: [REDACTED]</p> <p>Printed name: [REDACTED]</p> <p>Position: [REDACTED]</p> <p>Date: [REDACTED]</p>

# Annex 4: Risk Register

## RISK MANAGEMENT

This annex consists of

- a. A risk register is to be completed as part of the monthly reporting by the Authority, in relation to the specified risks in relation to completion of KPI's and the Authorities Performance and any other risks it believes are relevant to the scheme.
- b. A risk rating matrix to assist with scoring risks; and
- c. An explanation of the risk rating colours.

## RISK REGISTER

A template will be provided separately, to the Authority, as part of the monthly reporting, in tab 'Performance Monitoring (KPI's)'. A workshop will also be provided, to the Authority, prior to delivery.

Risk														Other									
Risk 1: Risk/Issue Description	Risk 2: Risk Category	Risk 3: Mitigation Action	Risk 4: Risk Rating	Risk 5: Risk/Issue Description	Risk 6: Risk Category	Risk 7: Mitigation Action	Risk 8: Risk Rating	Risk 9: Risk/Issue Description	Risk 10: Risk Category	Risk 11: Mitigation Action	Risk 12: Risk Rating	Risk 13: Risk/Issue Description	Risk 14: Risk Category	Risk 15: Mitigation Action	Risk 16: Risk Rating	Risk 17: Risk/Issue Description	Risk 18: Risk Category	Risk 19: Mitigation Action	Risk 20: Risk Rating	Risk 21: Risk/Issue Description	Risk 22: Risk Category	Risk 23: Mitigation Action	Risk 24: Risk Rating
Other Risk Register (if any)														Other									
Is there any additional information you wish to bring to our attention?														Good News/Clarification									

## RISK RATING MATRIX

RAG rating is demonstrated in the following grid set out in departmental guidance:

		PROBABILITY				
		Very Low	Low	Medium	High	Very High
SEVERITY	Very High					
	High					
	Medium					
	Low					
	Very Low					

## KEY REFERENCE

Red = Red

Orange = Amber/Red

Light Green = Amber/Green

Green = Green

## Annex 5: Fraud Risk Assessment Template

The Authority will be required to report all instances of fraud.

Please see the section on Fraud (**paragraphs 65 to 69**) for the details of the report contents.

No.	Description of Fraud Risk	Description and Assessment of Countermeasures in Place	Description of Residual Risk	Assessment of Residual Risk (Scores)						Total Risk Score	Rationale &/or Evidence Used for Risk Assessment Scores	Risk Owner Decision	
				Likelihood of Occurrence	Likelihood of Frequency	Likelihood - Total Score	Impact - Duration of Fraud	Impact - Materiality	Impact - Total Score			Residual Risk - Tolerated (Y/N)	Additional Planned Action
Guidance for Completing	Describe identified fraud risk using the Actor, Action, Outcome format.  Actor: Who commits the fraud (may be a single individual or one or more individuals); Action: What the fraudulent action is; Outcome: What is the resulting impact or consequence(s). This will be mainly financial, but consider whether other aspects are relevant such as: reputational; social; physical harm; environmental; national security.	For the purposes of these FRA's we are using the term 'countermeasures' rather than 'controls'. This recognises that in an crisis / emergency situation the over-riding need is to get the aid and support out to those who need it. Therefore actions in place to prevent or detect fraud are likely of necessity to be low-friction in nature.  Step 1: Identify counter-measures that have a role to play in mitigating the risk in question. Step 2: Identify the nature of each counter measure - is it Directive (e.g. Guidance); Deterrent (designed to put people off of fraud); Preventative (designed to stop fraudulent claims being processed); Detective (detecting fraud/error after payment); Corrective (actions to make post-payment corrections). Step 3: Describe what each counter-measure actually does to mitigate the risk and how it operates - not just the name of the control. Also describe what the identified counter measure doesn't do in relation to mitigating the risk.	The purpose here is to use the identified limitations with the counter-measures to describe how fraud could still happen with counter-measures in place. Start your description with the words: "Fraud could still happen because..."  Step 1: Summarise the overall limitations identified with the counter-measures and explain the various ways that this could still allow fraud to happen  Step 2: Describe the various ways that fraudsters could exploit weaknesses in the counter-measures or invent ways to circumvent the counter-measures.  Note: The assessment of residual risk should not take into account counter-measures that are planned until they are actually operating.	How likely is it that this fraud will occur.	How frequent (numbers of instances) do you think will occur within spend area.  Assess the ability of the counter-measures to deter or prevent fraud.	Add together scores for occurrence and frequency and divide by 2.	Consider: possible duration of any single instance of fraud - can it be continuously repeated over a duration of time.  Assess the ability of counter-measures to detect fraud.	Consider: materiality and reputational damage.  Refer to your 'Outcome' assessment.	Add together scores for duration and materiality and divide by 2.	How many a risk score is derived by multiply likelihood by impact. This gives potential scores in range of 1 - 25.  To maintain a similar range we add together each score for likelihood and impact.	Document your rationale and evidence used for each score given for Occurrence; Frequency; Duration and Materiality.  Record if there is any element of subjectivity in your assessments.  Also record if there any limitations of the evidence base used to complete the FRA.	Yes / No  - Driver for discussion about risk tolerance with risk owner and senior managers.	Additional controls that are planned but not yet in place. Ensure that discussions have been held with the "Counter-Measures team" within the Counter-Fraud Centre of Expertise before discussing options with the Risk Owner.  - Treat (plan additional low friction counter-measures); - Transfer; - Terminate (re-design system / process to eliminate or reduce risk).
Example (details are for illustrative purposes only)	Business misdeclares their annual revenue (>£45m) and receives a loan which they are not eligible for.	(Preventative) CRA / Companies House data used before loan approval to check to see if revenue on previously filed accounts <£45m, but the limitations of this are that this is dependent upon the application and CRA/Companies House data being correctly matched; and is also dependent upon the accuracy of the information provided to those data sources.	Fraud could still happen because the business is not captured on CRA / Companies House Data. Also the applicant could make use of subsidiaries or dormant companies to mask the actual revenue of their total business operations.	5 Certain to happen	4 Likely to be a lot of instances	4.5	5 Fraud could remain undetected.	4 Could bring high material loss / reputational risk	4.5	20			

## Annex 6: BEIS Standardised Privacy notice

### Privacy Notice

This notice sets out how the Department for Business, Energy and Industrial Strategy (BEIS) will use your personal data, and your rights. It is made under Articles 13 and/or 14 of the UK General Data Protection Regulation (GDPR).

This notice relates to data collected under the LA Scheme [REDACTED], operated by LA and Delivery Partner [REDACTED], which is funded by the Sustainable Warmth Scheme (the Scheme) run by BEIS.

### YOUR DATA

#### The data

Your data will be shared with BEIS by LA and Delivery Partner [REDACTED]. We (BEIS) will process the following personal data:

Customers:

- Your name
- Address and details of property receiving the energy efficiency or low-carbon heating installation(s) under the Scheme
- Details about the installation(s) installed at the property under the Scheme, including type, size and cost
- Contact address (if not the property receiving the installation(s))
- Address and details of property offered, but not receiving, installation(s) under the Scheme
- Household income and any other scheme eligibility information
- Any financial contribution you have made towards the installation(s) under the Scheme
- SAP or RdSAP assessments with scores
- Email address (optional)
- Phone number (optional)

Installers:

- Your name
- Relevant accreditation and registration information
- Contact address
- Email address
- Phone number
- Details of installations delivered under the Scheme



- Whether directly contracted or sub-contracted to install installations under the Scheme
- The number of employees in your organisation

### Purpose

The purpose(s) for which we are processing your personal data is to support the delivery and administration of the Scheme.

Delivery and administration of the Scheme may require linking of your data to other datasets held by the Department for Business, Energy, and Industrial Strategy (BEIS).

BEIS will be conducting an evaluation of the Scheme. This may include you being contacted to take part in further research. Where the research involves processing of personal data in addition to that already collected for delivery of the Scheme, you will be given the opportunity to opt-in to that research at the point of contact.

Your data may also be used for statistical, research and fraud prevention purposes.

### Legal basis of processing

The legal basis for processing your personal data is:

**Public task:** Processing is necessary for the performance of a task carried out in the public interest.

The specific public task is the delivery, administration and evaluation of, as well as statistical, research and fraud prevention purposes relating to, the Scheme, a government funded scheme aiming to raise the energy efficiency of low energy performance homes (especially those rated at EPC Band E, F or G). The Government funding is provided to Local Authorities who set up arrangements for consumer engagement and the delivery of installations in homes.

**Consent:** Use of your personal data to contact you to take part in further research will be subject to your consent.

### Recipients

Your personal data will be shared with:

- The Department for Business, Energy, and Industrial Strategy (BEIS) and its contractors for delivery, administration and evaluation of the Scheme, statistical, research and fraud prevention purposes.
- Ofgem and delivery partners of central and local government home energy schemes such as the Energy Company Obligation and Renewable Heat Incentive

Your personal data may also be shared with other Government departments where necessary.

We may share your data if we are required to do so by law, for example by court order or to prevent fraud or other crime.

Personal data shared with BEIS will be stored on our IT infrastructure and may therefore also be shared with our data processors Microsoft and Amazon Web Services. As personal data shared with BEIS will be stored on our IT infrastructure and may be shared with our data processors Microsoft and Amazon Web Services, your data may be transferred and stored securely outside the UK and European Economic Area. Where that is the case, it will be subject to equivalent legal protection through the use of Model Contract Clauses.

### Retention

Your personal data will be stored securely by BEIS for a maximum period of 25 years following the close of the Scheme. BEIS may choose to store anonymised data beyond this period.

## YOUR RIGHTS

You have the right to request information about how your personal data are processed, and to request a copy of that personal data.

You have the right to request that any inaccuracies in your personal data are rectified without delay.

You have the right to request that any incomplete personal data are completed, including by means of a supplementary statement.

You have the right to request that your personal data are erased if there is no longer a justification for them to be processed.

You have the right in certain circumstances (for example, where accuracy is contested) to request that the processing of your personal data is restricted.

You have the right to object to the processing of your personal data.

You have the right to withdraw consent to the processing of your personal data at any time, where processing is based on your consent.

## HOW TO MAKE A REQUEST

If you wish to make a request associated with any of the rights listed above, contact BEIS using the contact details at the bottom of this notice.

## COMPLAINTS

If you consider that your personal data has been misused or mishandled, you may make a complaint to the Information Commissioner, who is an independent regulator. The Information Commissioner can be contacted at:

Information Commissioner's Office  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF

0303 123 1113

Email: [casework@ico.org.uk](mailto:casework@ico.org.uk)

Any complaint to the Information Commissioner is without prejudice to your right to seek redress through the courts.

### **CONTACT DETAILS**

You can contact the BEIS Data Protection Officer at:

BEIS Data Protection Officer  
Department for Business, Energy and Industrial Strategy  
1 Victoria Street  
London  
SW1H 0ET

Email: [dataprotection@beis.gov.uk](mailto:dataprotection@beis.gov.uk)

## Annex 7: Approved Application Proposal

The tables below set out the measure mix, cost breakdown, and delivery plan from the approved proposal. The original application submitted to the Sustainable Warmth Competition is also attached below.

Please provide the best estimate of the measure mix you propose to install to Off Gas properties

Off Gas Delivery (HUG)			
Measure	Number of Measures	Average Cost of Measure (£)	Total Cost
External Wall Insulation	20	£16,000.00	£320,000.00
Cavity Wall Insulation	20	£1,500.00	£30,000.00
Underfloor Insulation			£0.00
Loft Insulation	50	£1,200.00	£60,000.00
Draughtproofing			£0.00
Air Source Heat Pumps	5	£10,000.00	£50,000.00
Ground Source Heat Pumps			£0.00
Communal Heat Networks			£0.00
District Heat Networks			£0.00
High Rention Storage Heaters			£0.00
Biomass			£0.00
Solar PV			£0.00
Solar Thermal			£0.00
Double Glazing			£0.00
<b>Totals</b>	<b>95</b>	<b>£302.11</b>	<b>£460,000.00</b>
Other (please list other measures in free text box with target number of installs and average cost expectations)			

Please list "Other" measures

Measure (Please add measures)	Number of Measures	Average Cost of Measure (£)	Total Cost
Park Home Insulation	20	15,000.00	£300,000.00
			£0.00
			£0.00
			£0.00
			£0.00
			£0.00
			£0.00
<b>Totals</b>	<b>20</b>	<b>750.00</b>	<b>£300,000.00</b>

25. Provide a cost breakdown of the capital, administration and ancillary support required. Include the anticipated LA or landlord contributions expected. Only insert data in white coloured cells.

Off Gas Delivery (HUG)									
Tenure Type	Current Fuel	EPC Band	Average Subsidy Cost Cap	No of Homes	Total HUG1 Subsidy per band	Average HUG1 Subsidy per a home	Total Landlord/LA Contribution	Average Landlord contribution per home	Average Landlord contribution % across tenure type. Min contribution of 50% of grant funding (33% of total upgrade cost)
Owner Occupied	Electric	F & G	£20,000.00	0	£0.00	#DIV/0!	No Landlord Contributions Required		
		E	£15,000.00	0	£0.00	#DIV/0!			
		D	£10,000.00	0	£0.00	#DIV/0!			
	Fossil Fuel	F & G	£25,000.00	23	£230,000.00	£10,000.00			
		E	£20,000.00	30	£144,000.00	£4,800.00			
		D	£15,000.00	23	£34,500.00	£1,500.00			
	Park Homes	D/E/F/G	£15,000.00	20	£300,000.00	£15,000.00			
Private Rented Sector	Electric	F & G	£13,333.00	0		#DIV/0!	£20,000.00	£1,052.63	62%
		E	£10,000.00	0		#DIV/0!			
		D	£6,666.00	0		#DIV/0!			
	Fossil Fuel	F & G	£16,666.00	0		#DIV/0!			
		E	£13,333.00	9	£24,300.00	£2,700.00			
		D	£10,000.00	10	£8,000.00	£800.00			
Social Housing	Electric	F & G	£13,333.00	0	£0.00	#DIV/0!		#DIV/0!	#DIV/0!
		E	£10,000.00	0	£0.00	#DIV/0!			
		D	£6,666.00	0	£0.00	#DIV/0!			
	Fossil Fuel	F & G	£16,666.00	0	£0.00	#DIV/0!			
		E	£13,333.00	0	£0.00	#DIV/0!			
		D	£10,000.00	0	£0.00	#DIV/0!			
		Please enter the amount of Admin and Ancillary budget you are requesting from HUG1 in cell below							
Total Project costs (Including Landlord Contributions)	Total HUG (Off Gas) Funding Requested	Total HUG (Off Gas) Capital	Total HUG (Off Gas) Admin & Ancillary	HUG (Off Gas) Admin & Ancillary %	% EPC D HUG (Off Gas) Delivery	% HUG (Off Gas) Social Housing Delivery	Total Number of Homes		
£860,800.00	£840,800.00	£740,800.00	£100,000.00	12%	29%	0.00%	115		

26. Please complete the below table to detail the delivery plan. This should give evidence and confidence that delivery will be completed no later than 31st of March 2023.

Installation Progress	Forecast Homes Contacted		Forecast Number of Homes Awaiting Installation		Forecast Homes Completed		Ancillary & Administration Costs		Capital Costs		Planned Activities
Input Category	Number		Number		Number		£		£		Text
Month / Scheme	LAD	HUG	LAD	HUG	LAD	HUG	LAD	HUG	LAD	HUG	LAD / HUG
Apr-22	0	750	0	0	0	0	£0.00	£0.00	£0.00	£0.00	marketing at primary target area
May-22	0	2,000	0	0	0	0	£0.00	£0.00	£0.00	£0.00	Processing of applications
Jun-22	0	2,000	0	0	0	0	£0.00	£0.00	£0.00	£0.00	Processing of applications and schedules from contractor
Jul-22	0	0	0	5	0	0	£0.00	£8,000.00	£0.00	£0.00	Employment of Low Carbon Homes Team
Aug-22	0	0	0	5	0	0	£0.00	£8,000.00	£0.00	£0.00	Employment of Low Carbon Homes Team
Sep-22	0	1,000	0	5	0	0	£0.00	£8,000.00	£0.00	£0.00	Carbon Homes Team: Start of installations
Oct-22	0	1,000	0	5	0	10	£0.00	£10,000.00	£0.00	£0.00	Installations and snagging
Nov-22	0	0	0	5	0	10	£0.00	£10,000.00	£0.00	£75,000.00	Installations and snagging
Dec-22	0	0	0	5	0	0	£0.00	£11,000.00	£0.00	£100,000.00	Installations and snagging
Jan-23	0	0	0	25	0	20	£0.00	£15,000.00	£0.00	£100,000.00	Installations and snagging
Feb-23	0	0	0	30	0	30	£0.00	£15,000.00	£0.00	£150,000.00	Installations and snagging
Mar-23	0	0	0	30	0	45	£0.00	£15,000.00	£0.00	£315,000.00	Installations and snagging
Totals	0	6,750	0	115	0	115	£0.00	£100,000.00	£0.00	£740,800.00	n/a



Sustainable Warmth Competition Application Form		
Section 1: Details of Local Authority		
1A. Is this a consortium application?	<input type="text" value="No"/>	1B. Name of Local Authority
		<input type="text" value="South Dorsetshire District Council"/>
1D. Has your LA, or every LA in your consortium, received funding under LAD Phase 1a or 1b?	<input type="text" value="Yes"/>	
1E. What region is the Lead LA located	<input type="text" value="Midlands"/>	
2. Name and role of the individual drafting this proposal	<input type="text" value="Matthew Holford"/>	
3. Email address of the individual drafting this proposal	<input type="text" value="m.holford@southdorset.gov.uk"/>	
4. Phone number of the individual drafting this proposal	<input type="text" value="01280 585556, 07891 072651"/>	

**Please affirm the following declarations**

5. I have the express authority to fill out this application on behalf of South Derbyshire District Council

6. South Derbyshire District Council understands that, if successful, it will be expected to deliver the proposed project as outlined in this proposal

7. I have read the accompanying guidance document and other related documents for completing this proposal

8. To the best of my knowledge, this proposal is legally compliant with any commercial agreements it enters

9. South Derbyshire District Council understands that if successful they must comply with the BEIS reporting, monitoring and evaluation requirements.

10. To the best of my knowledge, this proposal is legally compliant with UK Subsidy Control

11. To the best of my knowledge the proposed project is compliant with the UK Public Contract Regulations 2015.

12. South Derbyshire District Council confirms that all home/upgrades included in this project are intended to fit wholly within the specifications outlined in the accompanying guidance document

13. South Derbyshire District Council will take all reasonable steps to minimise the risk of fraud and to report any incidents of fraud immediately to BEIS

14. The LA will intend use controls designed to ensure that GAV competition funding will not be blended with other government schemes such as ECO or GHDF. Demonstrator for the upfront funding of the same individual measure (Affirm/Not Affirm)

15. The Local Authority will comply with GDPR and BEIS' requirements of a joint data sharing agreement and explicit consent to recorded households, landlords, and installers as part of the scheme evaluation when collecting and sharing this information.

16. Please provide an explanation if you have answered "Unaffirmed" to any of the above statements.

17A. Please explain what low income eligibility criteria you will use, how you will target low income households, and how you will verify their eligibility:

Online - We will use the eligibility criteria of <£30,000 annual gross household income as stated in section 2.1.3 of the GHS4HSD guidance.  
Targeting - In 2018 Dorthyshire County Council, Districts and Boroughs developed a partnership through the Dorthyshire Health and Health Systems Group, to work collaboratively to produce a Dorthyshire wide Housing Stock Condition Survey, for each Local Authority area.  
A data methodology has been obtained to match the private sector housing stock conditions to identify the condition of private sector housing across the area, including the use of enhanced health data, not usually provided in a similar survey. This gives a comprehensive, statistically reliable picture across South Dorthyshire.  
Address level modelling has been used to estimate the likelihood of each dwelling to be in the deciles 1 (non-decent) and the likelihood of each dwelling to have a HHSRS category 1 hazard.  
Stage 1 created a properties characteristics database from a number of local and national data sources including Experian mortgage, Council tax, energy performance certificates, Housing benefit, petrol price, National Register of Social Housing and tenancy deposit schemes.  
Stage 2 created a properties characteristics database for every 2017 to identify the propensity for different property types, ages and tenures to be decent or non-decent and the likelihood of these properties to have a HHSRS category 1 hazard.  
Stage 3 applied the properties identified in stage 2 to the local property characteristics database created in stage 1.  
Stage 4 continued Stage 3 data with Housing Episode Statistics (HES) which is the national repository of addresses in England.  
The final addresses have been based on identifying from the property level stock Condition Survey, these geographical areas which are known or estimated to contain a concentration of the highest levels of deprivation (as defined by the household MLD deciles).  
Covered address EPC ratings  
- Highest probability of an HHSRS Cat 1 hazard for excess cold and  
- owner occupied private rented tenured  
Online health data have been identified using the criteria outlined above, plus data contained in the postcode level data from the Centre for Sustainable Energy and the LSOA level data contained in the Ofgem map: <https://www.ofgem.gov.uk/>.  
The Council is also collaborating with Adult Social Care to provide directed marketing at known vulnerable clients.  
Eligibility will be based on evidence submitted by the potential client. At the point of application, the client will be required to produce their PSD from the previous financial year and a copy of their last three bank statements. The total household range of means tested benefits will be checked with the Dorthyshire Council's Housing Benefit team.

17B. Please provide a high level summary of the types of properties you are planning to target

Based on the South Dorthyshire stock condition survey described in Q17A and we intend to target the following property types:  
Q17A Priority Area 1 - The Local Super Output Areas of S04 and S021, with particular focus on two streets of tower block housing (Springfield Road and Eastfield Road).  
LSOA 0094 and S020 cumulatively have a total of 1521 properties, of which 899 (59.1%) are owner occupied and 178 (11.9%) are private rented. The area mainly consists of post war former social housing.  
Of the 899 owner occupied properties, 177 (19.7%) are EPC rated D, 75 (8.3%) are rated E to G and S04 (96.5%) are unrated.  
Of the 178 private rented properties, 73 (40.7%) are EPC rated D and 34 (19%) are rated E.  
On Springfield and Salford Road.  
Of the 125 owner occupied properties, 47 (37.6%) are EPC rated D, 16 (12.8%) are rated E to G and 49 (39.2%) are unrated.  
Of the 23 private rented properties, 10 (43.5%) are EPC rated D and 6 (26.1%) are rated E.  
LAD3 Priority Area 2 - Postcode Area DE16 9GL to DE16 9EW (Mannor Road, Stanton)

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1. **1A1B1C:** Name of Local Authority, whether it is a consortium application, and if so, all other Local Authorities involved (Required). Guidance: Please indicate if you are applying as part of a consortium, and if you are, please provide all LA names involved in the proposal. Q1C will only apply if you select 'yes' to Q1A.

1D. Has your LA or every LA in your consortium received LAD 1a or 1b funding? (Required) Guidance: Please confirm whether your LA or an LA within your consortium has received LAD funding in Phase 1a or Phase 1b. All English LAs are eligible to apply for funding regardless of previous funding from LAD. BEIS is encouraging applications from new LA to improve the spread of funding.

1E. What region is the Lead LA located (Required). Guidance: Please select the region in which the LA or the lead LA in a consortium application is located.

2. Name and role of the individual drafting this proposal (Required). This will be used as the relevant or lead applicant (if applying as part of a consortium). BEIS will contact this individual if we have any questions or queries on the status of the application. You may provide more than one contact name if helpful for incidence purposes.

3. Email address of the individual drafting this proposal (Required). Guidance: We will use this email address to provide confirmation and receipt of the submitted application form. BEIS will use this email address as the primary source to update the LA on the status of their application and, if required, ask any clarification questions. You may provide more than one email address if helpful for incidence purposes.

4. Phone number of the individual drafting this proposal (Optional). Guidance: This is an optional field, but it would be helpful for us to have a contact number in case we are unable to reach the relevant LA by email. You may provide more than one phone number if helpful for incidence purposes.

5. Guidance: Please ensure you have the relevant internal approvals to submit this application form on behalf of your LA or LA consortium.

6. The Local Authority confirms that, if successful, it will be expected to deliver the proposed project as outlined in this proposal (Affirmative Affirm). Guidance: This is to ensure that parties are aware that BEIS would expect any successful applicant to deliver against their proposal set out in this application form. Information provided in the application form will form the basis of the Memorandum of Understanding.

7. I have read the accompanying guidance for completing this proposal (Affirmative Affirm). Guidance: Please do read this accompanying guidance note and in particular the eligibility requirements (Section 3) for the scheme before submitting an application form.

8. To the best of my knowledge, this proposal is legally compliant with any commercial agreements it utilises (Affirmative Affirm). Guidance: Please do ensure that any application made for the SW competition takes into account any existing commercial agreements you may have and the relevant implications.

9. The Local Authority understands that if successful, they must comply with the BEIS reporting, monitoring and evaluation requirements (Affirmative Affirm). As set out in Section 4, please confirm you have read and understand the proposed reporting requirements and expectations set out in the guidance document.

10. To the best of my knowledge, this proposal is legally compliant with UK Subsidy Control (Affirmative Affirm). Guidance: Please read 'Section 2.12 – UK Subsidy Control' of the document before starting this application form. We expect that you have considered any Subsidy Control implications to your proposal before starting an application.

11. To the best of my knowledge, the proposed project is compliant with the UK Public Contract Regulations 2015 (Affirmative Affirm). Guidance: Further information on the UK Public Contract Regulations 2015 can be accessed via this link.

12. The Local Authority confirms that all homes/approvals included in this project are intended to fit wholly within the specifications outlined in the accompanying guidance document (Affirmative Affirm). Guidance: This is referring to Section 2 of this guidance document and includes the 8 requirements (eligible applications, subsidy control, eligible households, eligible properties, eligible measures, funding and eligible costs, eligible contractors and subcontractors with other funding) for any proposal submitted within the Sustainable Warmth application form.

13. The Local Authority will take all reasonable steps to minimise the risk of fraud (Affirmative Affirm). Guidance: This is to confirm that if successful you will actively look to prevent, and will have mechanisms in place to reduce, the risk of fraud.

14. This is to confirm that if successful, you will ensure and actively look to prevent households receiving double funding from other schemes for the same measure in their household in line with Section 2.8 of this guidance document. However, for the purposes of the Renewable Heat Incentive (RHI), Sustainable Warmth competition funding is a grant from public funds and is not a Sustainable Warmth competition funding and is not restricted from RHI payments as per the RHI rules on grant funding. LAs should be aware of RHI rules, including that the LA eligible for RHI in the applicant must have made some financial contribution towards the cost of purchasing or installing their heating system.

15. The Local Authority will comply with GDPR and BEIS' requirements of a joint data sharing agreement and explicit consent to research households, landlords, and installers as part of the scheme evaluation when collecting and sharing this information (Affirmative Affirm). Guidance: This is to confirm that if successful you will ensure that you have processes that are GDPR compliant which enables the protection and sharing of data between all parties regarding installation for the purposes of scheme evaluation.

16. Explain why you have answered 'Not Affirmed' to one or more of the above declarations. Guidance: If you have answered 'Not Affirmed' to any of the above declarations or have been unsure on any of the above declarations please do use this space to explain why or add any information that it may be helpful for BEIS to be aware of. Otherwise please leave this box blank.

[Click - UK Public Contract Regulations 2015](#)

17A. Please explain what low income eligibility criteria you will use, how you will target low income households, and how you will verify their eligibility.

Guidance: Your answer to this question should address the delivery of either on-gas (LAD) and off-gas (HUG) funding, or both.

This answer will be used to form part of your 'Strategic Fit' score.

We expect that successful applications will clearly outline low income household eligibility criteria and what steps will be taken to verify eligibility in line with Section 3 of this guidance document.

Please keep your answer below 500 words.

17B. Please provide a high level summary of the types of properties you are planning to target.

Guidance: Your answer to this question should address the delivery of either on-gas (LAD) and off-gas (HUG) funding, or both.

You should provide details of the types of properties that you are planning to install measures into based on the knowledge of your housing stock. This should be provided as property type e.g. terrace, detached etc.

18A. Describe the types of upgrades that may be made to homes off gas (HUG)

Guidance: You should provide an individual answer for off-gas (HUG Phase 1) delivery.

This answer will be used to form part of your 'Strategic Fit' and 'Value for Money' Score.

State the expected upgrade measures to be installed and outline why they are considered the most appropriate and cost effective for the housing stock being targeted.

As per section 2.1.5 quality why any measures that are typically less cost effective such as double glazing or solar are being installed and the rationale for alternative forms of low carbon heating to low temperature heat pumps.

In question 25 you will be asked to quantify the homes that will be targeted, by EPC band. Please set out the target EPC band implemented post installation.

153 properties, construction type intermediate traditional construction, 99 owner occupied, 54 private rented.  
Of the 99 which are owner occupied 22 (22%) are EPC rated D, 6 (6%) are rated E to G and 51 (51%) are unrated.  
Of the 54 which are private rented, 10 (33%) are EPC rated D and 5 (9.3%) are rated E.  
A local landlord who owns 26 properties in this area has confirmed that they would be keen to work in partnership with the Council to deliver improvement to this small estate.  
Note – A unknown proportion of properties within both LAD3 Priority Areas 1 and 2 will fall within the definition of 'off gas'. Where this is the case the Council would seek to draw on any successful HUG funding to support improvements in these properties.  
For HUG we have identified 281 properties in a variety of postcode locations which are in 'on-gas' locations based on the CSE postcode list and which are in a Local Super Output Area of BD1 1 to 3.  
Of these, 243 are owner occupied properties - 24 (10%) are EPC rated D, 26 (11%) are rated E to G and 70 (28.8%) are unrated.  
Of 37 private rented properties, 5 (8%) are EPC rated D and 7 (18.9%) are rated E.

18A. Describe the types of upgrades that may be made to homes off gas grid (HUG).

#### Off Gas Delivery (HUG)

Utilising LAD Phase 1b and Phase 2 funding SDOG has already initiated a successful programme of external, cavity and roof/loft insulation in some of our highest areas of deprivation. For the HUG project we would propose to consolidate and expand the provision of insulation to the locations described in Q17B. These projects have also shown a high level of demand in our park home communities.  
Given the known mix of housing stock in the HUG area described in Q17B along with the addition mix of potential 'off gas' properties in LAD3 Priority Areas 1 and 2 we would propose the following upgrades:  
20 external wall insulation, 20 park home insulation, 20 cavity and 50 loft or roof insulation.  
To date the Council has focused on a holistic first approach to reducing fuel poverty and domestic carbon emissions. However, we would also like to start to develop a low carbon heating offering. The demand and viability in the priority areas identified is largely unknown and so would propose to use low existing co-heating to install a small number (5) air source heat pumps.  
20 EWHs based on £18,000 each = £360,000  
20 Park homes at £15,000 each = £300,000  
20 cavity insulations at £1,500 each = £30,000  
50 loft / roof insulations at £1,200 each = £60,000  
5 Air source heat pumps at £18,000 each = £90,000  
We recognise that park home improvements do not rate highly in BES assessment criteria for HUG. However, the significant levels of demand within our LAD Phase 2 project has generated from park home occupiers means we do not expect to meet the demand for park home insulations from our LAD Phase 2 allocation. We would very much like to provide some level of provision for this relatively deprived community from HUG. If this does not meet BES funding priorities then we will willingly exclude park homes from the bid.

Please provide the best estimate of the measure mix you propose to install to Off Gas properties

Off Gas Delivery (HUG)			
Measure	Number of Measures	Average Cost of Measure (£)	Total Cost
External Wall Insulation	20	£14,000.00	£280,000.00
Cavity Wall Insulation	20	£1,500.00	£30,000.00
Underfloor Insulation			£0.00
Loft Insulation	30	£1,200.00	£36,000.00
Roof/Glazing			£0.00
Air Source Heat Pumps	5	£18,000.00	£90,000.00
Ground Source Heat Pumps			£0.00
Community Heat Networks			£0.00
District Heat Networks			£0.00
High Radiation Storage Heaters			£0.00
Biomass			£0.00
Solar PV			£0.00
Solar Thermal			£0.00
Shower Glazing			£0.00
<b>Totals</b>	<b>65</b>	<b>£308.11</b>	<b>£456,000.00</b>
Other (please list other measures in free text box with target number of installs and average cost measurements)			

Please list "Other" measures

Measure (Phase add measures)	Number of Measures	Average Cost of Measure (£)	Total Cost
Park Home Insulation	20	15,000.00	£300,000.00
			£0.00
			£0.00
			£0.00
			£0.00
			£0.00
<b>Totals</b>	<b>20</b>	<b>750.00</b>	<b>£150,000.00</b>

18B. Describe the types of upgrades that may be made to homes on gas grid (LAD)

#### On Gas Delivery (LAD)

Utilising LAD Phase 1b and Phase 2 funding SDOG has already initiated a successful programme of external, cavity and roof/loft insulation in some of our highest areas of deprivation. For this LAD project we would propose to consolidate and expand the provision of insulation to the locations described in Q17B.  
The proposals available would be:  
30 EWHs based on £18,000 each = £540,000  
20 cavity insulations at £1,500 each = £30,000  
50 loft / roof insulations at £1,200 each = £60,000  
All of these measures offer the best cost effectiveness and value for money given the nature of the stock in LSOA 005A and 007D and Manor Road, Stanton.

Please provide the best estimate of the measure mix you propose to install to On Gas properties?

On Gas Delivery (LAD)			
Measure	Number of Measures	Average Cost of Measure (£)	Total Cost
External Wall Insulation	30	£14,000.00	£420,000.00
Cavity Wall Insulation	20	£1,500.00	£30,000.00
Underfloor Insulation			£0.00
Loft Insulation	30	£1,200.00	£36,000.00
Roof/Glazing			£0.00
Air Source Heat Pumps			£0.00
Ground Source Heat Pumps			£0.00
Community Heat Networks			£0.00
District Heat Networks			£0.00
High Radiation Storage Heaters			£0.00
Biomass			£0.00
Solar PV			£0.00
Solar Thermal			£0.00
Shower Glazing			£0.00
<b>Totals</b>	<b>110</b>	<b>£133.37</b>	<b>£148,000.00</b>
Other (please list other measures in free text box with the target number of installs and average cost measurements)			

Please list "Other" measures

Measure (Phase add measures)	Number of Measures	Average Cost of Measure (£)	Total Cost
			£0.00
			£0.00
			£0.00
			£0.00
			£0.00
			£0.00

LAs should seek to quantify the mix of measures they are intending to install within the table provided in this question. For measures not listed please use the free text box below the table.

Please keep your answer for each text box below 500 words.

18B. Describe the types of upgrades that may be made to homes on gas (LAD)

Guidance: You should provide an individual answer for on-gas (LAD Phase 2) delivery.

This answer will be used to form part of your 'Strategic Fit' and 'Value for Money' Score.

State the expected upgrade measures to be installed and outline why they are considered the most appropriate and cost effective for the housing stock being targeted.

As per section 2.1.5 quality why any measures that are typically less cost effective such as double glazing or solar are being included and the rationale for alternative forms of low carbon heating to low temperature heat pumps.

In question 25 you will be asked to quantify the homes that will be targeted, by EPC band. Please set out the target EPC band improvement post installation.

LAs should seek to quantify the mix of measures they are intending to install within the table provided in this question. For measures not listed please use the free text box below the table.

Please keep your answer for each text box below 500 words.



#### Section 4: Commercial Assurance

18. Describe the commercial agreements and procurement activities that will be used to deliver this grant. Please include reference to all contracts (or planned contracts) to be placed using the grant funding, and/or details of any amendments to existing contracts.

South Derbyshire District Council has an existing contract with Weselco Ltd for the delivery of electrical, internal, ducting and left insulation and which was signed in June 2020 with a contract period of three years. The contract was signed in order to deliver the LAD Phase 1b and Phase 2 project and was procured through the Efficiency East Midlands (EEM) Framework in May 2021. The EEM Framework contained embedded price modelling and evaluation criteria to create a framework of 6 providers and after engaging EEM in the contracting process it was awarded directly to Weselco. Weselco have identified that at work will be carried out directly by them and that there will be no sub-contracting. Appropriate provision is made in the signed contract to cover this matter. South Derbyshire District Council has an existing contract with Renew Ltd for the delivery of low carbon energy heating and gas heating maintenance for the Council's own housing stock. We would propose to award the installation of air source heat pumps to Renew under the terms of the existing contract.

20A. Please list all known Contractors (including Sub-Contractors if possible) who will receive (or are planned to receive) contracts using the grant funding. This includes contractors for delivery, as well as for administrative and ancillary contracts. (If new procurements are required and these details are not currently known at this time, please provide any information you can of planned contracts you will place to deliver the grant funding e.g. by value, type)

Contractor(s) Information	Contract Value (£)	Contract Start Date	Contract End Date	Trustmark Registered	PAS 2035 Certified	MCS Certified
High Heatstream (by sub only)	No info	Existing contract	None			
Weselco	£15,000,000	Existing contract from January 2020	Apr-23	Yes	Yes	No
Renew	£1,000,000.00	Existing contract	Apr-24	Yes	No	Yes

20B. Please confirm that you will be using TrustMark registered businesses in line with the installer eligibility requirements. If the answer is no, and you are seeking to use an alternative, please provide more information to demonstrate how such alternative offers equivalence to Trustmark.

Our contracted installer (Weselco Ltd) is Trustmark Registered (ref 1707512) for external, ducting, off and internal insulation. Renew Ltd are Trustmark Registered (ref 1607340) for air source and ground source heat pumps and solar PV. We would like to receive the ability, if necessary, to subcontract who have been accepted onto the the Midland Energy Hub Dynamic Purchasing System under GHD LAD Phase 2. All contractors who are accepted into the MEH DPS are required to meet the eligibility criteria of the LAD/HUG scheme.

21. Please explain how will you select and resource the team to enable and support the ongoing delivery of the grant funding.

Following receipt of LAD Phase 1b and 2 funding the Council has employed a dedicated Green Homes Grant Project Co-ordinator. The Project Co-ordinator is employed via an agency and therefore we are able to rapidly mobilise alternative resources in the event of our existing Co-ordinator proving to be more involved. The Project Co-ordinator is supported by a Principal Environmental Health Officer who has over 20 years experience in the delivery of home improvement grants and private sector housing law, as well as by a small 'Public Health and Private Sector' Housing team who can provide technical and legal support (2 FTE). This team sits within a larger environmental services department which has the capacity to flex its resources to offer additional administrative, technical and legal support to the project if required (20 FTE). Delivery of heat pumps interventions to a corporate priority for the Council. Therefore the delivery of project performance will also be monitored through the Councils own corporate performance framework. As well as existing LAD and HUG funding, the team are also involved £280,000 in funding through the Councils own Healthy Homes Assistance Fund to support heating and health needs for clients outside the scope of the Green Homes Grant. Marketing will be managed by the Councils own Communications Team and through Marbles Energy – our partner provider in the Derbyshire / Nottinghamshire Local Authority Energy Partnership.

22. Please describe how you will manage the delivery of the grant funding (including performance and financial elements) to ensure risk to delivery is managed effectively, outputs are achieved, and value for money obtained.

The Council already have a comprehensive performance reporting and risk management framework developed to support LAD Phases 1b and 2 which it proposes to continue to utilize for the LAD 3/HUG project. The Council is already familiar working with the BEIS reporting methods for LAD Phase 1b and collecting the relevant performance data required for those submissions. Similarly, the Council is also already working with the Midlands Energy Hub to define and report performance data relevant to their reporting framework for LAD Phase 2. The top five risks to delivery for Phases 1b and 2 are:  
 - Failure of the contractor to deliver the quality or volume of installations required (High)  
 - Equivalenced interest to the grant from potential clients (High)  
 - Labour and Material Shortage (High)  
 - Subcontract default to grant (Medium)  
 - Inability to deliver the instalments spend within the project timescale (Medium)  
 These risks are being actively managed through the existing project team. With reference to value for money criteria, we would also like to bring to BEIS attention that shortly before the bid submission we have been given a verbal commitment from a local landlord with a substantial stock of private rented properties in our LAD3 priority area, (Wollaton) that they are willing to commit £250,000 in funding towards supporting the delivery of the LAD3/HUG project in South Derbyshire.

23. Please confirm if you will include Social Value benefits in your evaluation criteria, and if so, provide a brief summary of the social value model you will use and what will be evaluated as part of the social value element.

The Councils at the early stages of exploring Social Value benefits through procurement and so we cannot provide any certainty at this stage that Social value benefits will be included.

19. Describe the commercial agreements and procurement activities that will be used to deliver this grant. Please include reference to all contracts (or planned contracts) to be placed using the grant funding, and/or details of any amendments to existing contracts.

Guidance: Your answer to this question should address the delivery of either on-gas (GAS) and off-gas (HUG) funding, or both.

This answer will form part of your 'Delivery Assurance' score.

This should include the Contract Route (e.g., Public Contracts Regulations 2015, Direct Award, DPS/Framework), Pricing Model, Evaluation/Award Criteria, plus any other relevant information. This should cover not just contracts placed by the LA, but also those if third-party delivery partners. If all details are not known at time of application, for example, if new procurements are required, please give an indication of the proposed approach. If existing procurements are amended or extended, this should consider any procurement risks of increasing volumes of work and values through existing contracts or frameworks, especially where subject to PCR. Please try to keep your answer below 500 words.

LA are also encouraged to consider and implement all relevant Public Procurement Notices (PPNs) in their procurement activity. A summary of relevant public procurement policy (including a full list of the PPNs) can be found here: <https://www.gov.uk/guidance/public-sector-procurement-policy>.

20A. Please list all known Contractors (including Sub-Contractors if possible) who will receive (or are planned to receive) contracts using the grant funding. This includes contractors for delivery, as well as for administrative and ancillary contracts. (If new procurements are required and these details are not currently known at this time, please provide any information you can of planned contracts you will place to deliver the grant funding e.g. by value, type)

Guidance: Your answer to this question should address the delivery of either on-gas (GAS) and off-gas (HUG) funding, or both.

This answer will not be scored however, the answer is key to BEIS' understanding of the planned approach of the LA and in understanding the Value for Money for grant funding. The information given here could be shared and reviewed by BEIS and referred to during delivery of the scheme(s) and in better understanding the delivery model of the LA should it be successful in receiving funding.

Please provide a list of all existing contracts that will deliver your proposed should the application receive funding. This includes details on their value with TrustMark, PAS 2035-2019 and MCS. Please note that it is not a condition that a supplier is both PAS 2035-2019 and MCS certified and will depend on whether they are heating installation or low carbon measures, but regardless of whether a retrofit contractor must edge all measures in accordance with PAS 2035-2019.

20B. Please confirm that you will be using TrustMark registered businesses in line with the installer eligibility requirements. If the answer is no, and you are seeking to use an alternative, please provide more information to demonstrate how such alternative offers equivalence to Trustmark.

Guidance: Your answer to this question should address the delivery of either on-gas (GAS) and off-gas (HUG) funding, or both.

Using TrustMark registered businesses, or equivalent, is an eligibility requirement for the LAD Phase 2 and HUG Phase 1 schemes.

TrustMark registered businesses must be used unless you are able to demonstrate equivalence with a scheme which has been deemed equivalent. Any LA not using TrustMark registered businesses will need to provide us with detailed assurances on their processes for quality assurance and compliance regimes and ensuring financial, monitoring of compliance with PAS 2035, collection of materials, health and safety protection, in order for BEIS to assess equivalence. You will need to provide evidence for how your proposed plans to ensure quality assurance including customer protection and arrangements for repairs and other remedies. This should include consideration of how adequate ventilation will be incorporated into upgrades.

21. Please explain how will you select and resource the team to enable and support the ongoing delivery of the grant funding.

Guidance: Your answer to this question should address the delivery of either on-gas (GAS) and off-gas (HUG) funding, or both.

This answer will form part of your 'Delivery Assurance' score.

Please provide information regarding the team within the LA who plan to undertake all activities related to the grant funding, including for example, number of Full-Time Equivalents (FTEs), key roles/responsibilities, recent relevant experience, business learned, relevant professional qualifications.

If you believe any other information regarding the capacity/capability of the LA is applicable, please also provide that here.

Please try to keep your answer below 500 words.

22. Please describe how you will manage the delivery of the grant funding (including performance and financial elements) to ensure risk to delivery is managed effectively, outputs are achieved, and value for money obtained.

Guidance: Your answer to this question should address both on-gas and off-gas delivery.

This answer will form part of your 'Delivery Assurance' score.

Please provide information as to how you will manage delivery of the grant funding to achieve the objectives of the scheme. This should include reference to how you will manage the performance in delivering the grant (e.g., Key Performance Indicators and regular reviews), and ensure Value for Money through financial management (e.g., Auditing and reporting).

The management of the grant should be proportionate to the value and complexity and detail how you plan to achieve the outputs in a way which represents Value for Money and manages risk effectively.

Please try to keep your answer below 500 words.

23. Please confirm if you will include Social Value benefits in your evaluation criteria, and if so, provide a brief summary of the social value model you will use and what will be evaluated as part of the social value element.

Guidance: Your answer to this question should address the delivery of either on-gas (GAS) and off-gas (HUG) funding, or both.

This answer will be awarded on a bonus point basis. Any answer which proposes suitable use of social value within their evaluation criteria for contracts will receive one bonus point. For clarity, since this is a bonus, achieving a 9 for this score will not mean the application becomes ineligible for grant funding.

Please provide confirmation as to whether you will include social value in your evaluation criteria for relevant contracts, and information regarding what types of indicators or benefits you will include in the evaluation.

The Local Government Association has a webpage with resources and information on social value, which can be accessed through this link: <https://www.local.gov.uk/en/support-hub/offers-supporting-financial-resilience-and-economic-recovery/government>

For information, central government has its own template social value model which can be found here: <https://www.gov.uk/government/publications/procurement-policy-note-8625-taking-account-of-social-value-in-the-award-of-central-government-contracts>

Please try to keep your answer below 250 words.

24. Are there any conflicts of interest between the applicant and the objectives of the grant? If so, how will these be mitigated/managed?

Guidance: Your answer to this question should address the delivery of either on-gas (GAS) and off-gas (HUG) funding, or both.

Please provide information as to whether you have mechanisms and processes in place to identify and manage conflict of interest (e.g., financial or personal interests) regarding use of the grant funding.

Please confirm if you have identified any conflicts of interest already, and how you will plan to manage/mitigate them.

24) Are there any conflicts of interest between the LA or any LA in your consortium and the objectives of the grant? If so, how will these be mitigated/managed?

No

## Section 5: Value for Money

25. Provide a cost breakdown of the capital, administration and ancillary support required. Include the anticipated LA or landlord contributions expected. Only insert data in white coloured cells.

Tenure Type	Current Fuel	SPC Band	Average Subsidy Cost Cap	No. of Homes	Total LAAG Subsidy per A Home	Average LAAG Subsidy per A Home	Total Landlord LA Contribution	Average Landlord contribution per house	Average Landlord contribution % across tenure types (10% of grant funding (10% of total upgrate cost))
Owner Occupied	Electric	F & G	£19,000.00	0	£0.00	£0.00	No Landlord Contributions Required		
		E	£19,000.00	0	£0.00	£0.00			
		D	£19,000.00	0	£0.00	£0.00			
	Fossil Fuel	F & G	£25,000.00	20	£250,000.00	£12,500.00			
		E	£25,000.00	30	£144,000.00	£4,800.00			
		D	£19,000.00	20	£144,000.00	£7,200.00			
Private Rented Sector	Electric	F & G	£19,000.00	0	£0.00	£0.00	£26,000.00	£1,552.63	52%
		E	£19,000.00	0	£0.00	£0.00			
		D	£19,000.00	0	£0.00	£0.00			
	Fossil Fuel	F & G	£25,000.00	0	£0.00	£0.00			
		E	£19,000.00	0	£0.00	£0.00			
		D	£19,000.00	0	£0.00	£0.00			
Social Housing	Electric	F & G	£19,000.00	0	£0.00	£0.00	£0.00	£0.00	£0.00
		E	£19,000.00	0	£0.00	£0.00			
		D	£19,000.00	0	£0.00	£0.00			
	Fossil Fuel	F & G	£25,000.00	0	£0.00	£0.00			
		E	£19,000.00	0	£0.00	£0.00			
		D	£19,000.00	0	£0.00	£0.00			

Please enter the amount of Admin and Ancillary budget you are requesting from HUGI in cell below.

Total Project Costs (including Landlord Contributions)	Total HUGI (On Gas) Funding Requested	Total HUGI (On Gas) Capital	Total HUGI (On Gas) Admin & Ancillary	% SPC D LAG (On Gas) Delivery	% HUGI (On Gas) Social Housing Delivery	Total Number of Homes
£260,000.00	£260,000.00	£260,000.00	£10,000.00	12%	20%	111

Tenure Type	SPC Band	Average Subsidy Cost Cap	No. of Homes	Total LAAG Subsidy per Band	Average LAAG Subsidy per a home	Total Landlord LA Contribution	Average Landlord contribution per a home	Average Landlord contribution % across tenure types (10% of grant funding (10% of total upgrate cost))
Owner Occupied	Electric	F & G	0	£0.00	£0.00	No Landlord Contributions Required		
		E	0	£0.00	£0.00			
		D	0	£0.00	£0.00			
	Fossil Fuel	F & G	20	£250,000.00	£12,500.00			
		E	30	£144,000.00	£4,800.00			
		D	20	£144,000.00	£7,200.00			
Private Rented Sector	Electric	F & G	0	£0.00	£0.00	£26,000.00	£236.57	51%
		E	0	£0.00	£0.00			
		D	0	£0.00	£0.00			
	Fossil Fuel	F & G	0	£0.00	£0.00			
		E	0	£0.00	£0.00			
		D	0	£0.00	£0.00			
Social Housing	Electric	F & G	0	£0.00	£0.00	£0.00	£0.00	£0.00
		E	0	£0.00	£0.00			
		D	0	£0.00	£0.00			
	Fossil Fuel	F & G	0	£0.00	£0.00			
		E	0	£0.00	£0.00			
		D	0	£0.00	£0.00			

Please enter the amount of Admin and Ancillary budget you are requesting from HUGI in cell below.

below							
Total Project costs (including Landlord Contributions)	Total LAG (On Gas) Funding Requested	Total LAG (On Gas) Capital	Total LAG (On Gas) Admin & Ancillary	% LAG (On Gas) Admin & Ancillary	% EPC & LAG (On Gas) Delivery	% LAG (On Gas) Social Housing Delivery	Total Number of Homes
£260,000.00	£260,000.00	£260,000.00	£20,000.00	7.7%	92.3%	0.04%	

## Section 6: Delivery Assurance

26. Please complete the below table to detail the delivery plan. This should give evidence and confidence that delivery will be completed no later than 31st of March 2023.

Installation Progress	Forecast Homes Contacted		Forecast Number of Homes Awaiting Installation		Forecast Homes Completed		Ancillary & Administration Costs		Capital Costs		Planned Activities
Input Category	Number		Number		Number		£		£		Text
Month / Scheme	LAD	HUG	LAD	HUG	LAD	HUG	LAD	HUG	LAD	HUG	LAD / HUG
Dec-21	0	0	0	0	0	0	£4,800.00	£4,800.00	£0.00	£0.00	marketing strategy and marketing materials
Jan-22	100	200	0	0	0	0	£3,800.00	£3,800.00	£0.00	£0.00	priority areas: Processing of applications, Property
Feb-22	100	200	0	0	0	0	£3,800.00	£3,800.00	£0.00	£0.00	priority areas: Processing of applications, Property
Mar-22	0	200	0	0	0	0	£3,800.00	£3,800.00	£0.00	£0.00	strategy in the event of insufficient take-up in the
Apr-22	0	0	10	10	0	0	£3,800.00	£3,800.00	£22,071.43	£23,043.48	installation. Further targeted marketing
May-22	0	0	10	10	0	0	£4,800.00	£4,800.00	£22,071.43	£23,043.48	installation
Jun-22	0	0	20	20	0	0	£4,800.00	£5,700.00	£22,071.43	£23,043.48	installation
Jul-22	0	0	20	20	0	0	£4,800.00	£5,700.00			

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26. Provide a cost breakdown of the above total including capital, administration and ancillary support. Include the anticipated LA or landlord contributions expected.

Guidance: Your answer to this question should address the delivery of either on-gas (LAD) and off-gas (HUG) funding, or both. Only insert data in white coloured cells.

On-Gas (HUG) Cost Table Guidance:

Please provide the number of homes that you are planning to deliver for each tenure type (owner occupied, PRS and Social Housing) broken down by starting EPC and fuel type of home.

Please provide the amount of funding you are requesting for each tenure type (owner occupied, PRS and Social Housing) broken down by starting EPC and fuel type of home.

Please provide total landlord contribution you expect from PRS and Social Housing.

On-Gas (LAD) Cost Table Guidance:

Please provide the number of homes that you are planning to deliver for each tenure type (owner occupied, PRS and Social Housing) broken down by starting EPC.

Please provide the amount of funding you are requesting for each tenure type (owner occupied, PRS and Social Housing) broken down by starting EPC.

Please provide total landlord contribution you expect from PRS and Social Housing.

26. Please complete the below table to detail the delivery plan. This should give evidence and confidence that delivery will be completed no later than 31st of March 2023.

Guidance: Your answer to this question should address the delivery of either on-gas (LAD) and off-gas (HUG) funding, or both.

This answer will form part of your 'Delivery Assurance' score.

Please email your overall delivery plan by filling out the table. For each month, please provide planned key activities, cumulative amount spent and forecasted cumulative number of homes upgraded. LAG should seek to set out delivery plans that they are confident can be delivered and include appropriate contingency to ensure all delivery is completed by 31 Mar 2023. Assessment of the delivery confidence of the plan will form part of your 'Delivery Assurance' assessment.

Aug-22	0	0	0	0	10	10	£9,000.00	£9,000.00	£44,142.58	£66,086.96	Insulation and snagging
Sep-22	500	400	20	20	10	10	£9,000.00	£9,000.00	£44,142.58	£66,086.96	Insulation and snagging
Oct-22	500	350	20	20	20	10	£9,000.00	£9,000.00	£86,265.71	£66,086.96	Insulation and snagging
Nov-22	0	0	20	15	20	10	£9,000.00	£9,000.00	£86,265.71	£66,086.96	Renewed monitoring cameras
Dec-22	0	0	0	0	0	0	£9,000.00	£9,000.00	£0.00	£0.00	Insulation and snagging
Jan-23	0	0	0	0	0	20	£9,000.00	£9,000.00	£86,265.71	£132,173.91	Insulation and snagging
Feb-23	0	0	0	0	0	20	£9,000.00	£9,000.00	£86,265.71	£132,173.91	Insulation and snagging
Mar-23	0	0	0	0	0	15	£9,000.00	£9,000.00	£86,265.71	£95,120.43	Insulation and snagging
Totals	2,000	1,050	140	115	140	115	£80,000.00	£106,000.00	£618,506.06	£788,040.00	n/a

#### Section 7: Final Details

27. I declare that the information presented in this proposal is true within the best of my knowledge.

Affirmed

Individual responsible for leading this project:

Name: Tim Summers  
 Title/Role: Principal Environmental Health Officer  
 Email: tim.summers@southdorsethpa.gov.uk  
 Phone Number: 01283

Individual that approved this proposal for submission:

Name: Matthew Holford  
 Title/Role: Head of Environmental Services  
 Email: matthew.holford@southdorsethpa.gov.uk  
 Phone:

27. I declare that the information presented in this proposal is true within the best of my knowledge (Affirm/Not Affirm). Guidance: Applicants are required to declare that all the information provided in their proposal is correct within their knowledge.

## Annex 8a: Monthly Report Template

The Authority will be required to report against the KPIs for each scheme they have received funding for. This monthly report will be baselined against the forecast the Authority will complete as part of the grant application form.

Please see the sections on Governance (**paragraphs 51 to 56**) and Performance (**paragraphs 70 to 77**) for the details of the report contents.

## Annex 8b: Monitoring and Evaluation Data Dictionary Template

The Authority will provide data and information in accordance with the table below for monitoring and evaluating purposes which will be requested as part of the Monthly reporting, this includes (but may be subject to change): Application or Referral Information, Installation data, Installation Information and Scheme Delivery Information.

In accordance with **paragraph 79**, the Secretary of State, the Authority and its contractors, partners or agents will comply with the Data Protection Act 2018. BEIS will ensure the final version of this template, and accompanying data sharing agreement, support compliance but it is the responsibility of the Authority to ensure appropriate processes are implemented across delivery to ensure compliance.

Application or Referral Information	Response
Application Reference Number	
Applicant Name	
Applicant Email Address	
Applicant Contact Number	
Contact Consent	
Property Address (first line)	
Town	
Postcode	
UPRN	
Landlord application	
Applicant Address	
Applicant Postcode	
Household Initial Contact Date	
Household Initial Response Date	
Application Date	

Application Status	
Application Approved by LA	
Application Approval Date by LA	
Rejection Reason by LA	
Date agrees to installation	
Date refuse installation	
Reason for installation refusal	
Install Measures Decision Date	
Eligibility Criteria	
Low Income Household?	
Fuel Poor Household	
Current EPC RRN	
Current EPC Rating	
Property Tenure	
Property Type	
Property Year Built	
Property Floor Space	
Property Number of Floors	
Property Number of Rooms	
Smart Meter Installed?	
Loft?	
Occupancy	
On or off gas grid property	
Current Heating System Type	
Current Heating Fuel Source	
Current annual electricity use	

Current annual gas use	
Existing energy efficiency measures	
Number of measures to install	
Solid Wall Insulation	
Under Floor Insulation	
Cavity Wall Insulation	
Loft Insulation	
Flat Roof Insulation	
Room in Roof Insulation	
Park Home Insulation	
Air Source Heat Pump	
Ground Source Heat Pump	
Solar Thermal	
Biomass Boiler	
Draught Proofing	
Double Glazing	
Triple Glazing	
Secondary Glazing	
External Energy Efficient Doors	
Heating Controls	
Hot Water Tank Thermostats	
Hot Water Tank Insulation	
Proposed Installer Name	
Proposed Installer Trustmark number	
Total Cost of Application	
Cost of Measure Equipment	



Cost of Installation/Labour	
Cost of Repair	
Amount of funding from government	
Amount of self-funding	
Installation Information	Response
Application Reference Number	
Measure Reference Number	
UPRN	
Date of Starting Installation	
Date of Completed Installation	
Duration of Installation Work	
Installer Name	
Installer Email Address	
Installer Phone Number	
Installer Consent to Contact	
Trustmark Business ID number	
MCS License Number	
PAS Certification Number	
TrustMark Measure Reference Number	
TrustMark Lodge mark Certificate Number	
Measure Type	
Model Number	
Percentage of property treated (POPT)	
Lifetime (years)	
Insulation Top-up	

Number of walls	
Amount of pre-existing insulation	
Heat Pump Capacity	
Heat Pump Annual Generation	
Heat Pump SCOP	
RHI Accredited	
Solar Thermal Panels	
Solar Thermal Installed Capacity	
Solar Thermal Estimated Annual Generation	
Solar Thermal Orientation	
Solar Thermal Inclination	
Biomass Boiler Model	
Warranty	
Boiler Repair	
Boiler Upgrade	
Post Installation Heating Type	
Solar PV Panels	
Solar PV Installed Capacity	
Solar PV Estimated Annual Generation	
Solar PV Orientation	
Solar PV Inclination	
Heating Control Type	
Hot Water Tank Insulation Type	
Post-installation EPC RRN	
Post-installation EPC Rating	

Job Estimate for Measure FTE	
Quality Checks	
Scheme Delivery Information	Response
Delivery Partner	
Eligible Households	
Contacted Households	
Method of Communication	
Method of Targeting Households	
Households agreeing to an installation.	
Number of homes receiving a measure.	

## Annex 9: Privacy Notice concerning LA and delivery partner contact details



Department for  
Business, Energy  
& Industrial Strategy

### LA Privacy Notice

This notice sets out how we (the Department of Business, Energy and Industrial Strategy) will use personal data provided by local authorities in connection with their application under the Sustainable Warmth Competition and sets out your rights. It is made under Articles 13 and/or 14 of the UK General Data Protection Regulation (UK GDPR). Note a separate privacy notice has been provided to local authorities for use with householders and other data subjects in the delivery of measures under the Sustainable Warmth Competition.

### YOUR DATA

#### The data

We will process the following personal data:

Names and contact details of local authority employees and delivery partners involved in preparing and submitting the application under the Sustainable Warmth Competition.

Names and contact details of employees and delivery partners involved or proposed to be involved in implementation of the application if it is successful.

#### Purpose

The purpose(s) for which we are processing your personal data is to utilise our in-house Customer Relationship Management (CRM) system to enable better relationship management in conjunction with the consideration of the local authority's application and its subsequent implementation under the Sustainable Warmth Competition if the application is successful. This includes using the personal data to communicate Sustainable Warmth Competition updates, training notices, information on future schemes and opportunities and invitations to relevant events.

#### Legal basis of processing

The legal basis for processing your personal data is that the processing is necessary for the performance of a task carried out in the public interest. The public task is the

performance of functions under s.31 of the Local Government Act 2003, the duty to ensure public money is used responsibly and functions under fuel poverty and climate change legislation.

### Recipients

Your personal data may be shared by us where we are required to do so by law, for example by court order or to prevent fraud or other crime.

As your personal data will be stored on our IT infrastructure it will also be shared with our data processors Microsoft and Amazon Web Services.

### Retention

Your personal data will be kept by us for a period of **6 years** from the date set for completing the implementation of the local authority's application under the Sustainable Warmth Competition or from the last provided update.

## YOUR RIGHTS

You have the right to request information about how your personal data are processed, and to request a copy of that personal data.

You have the right to request that any inaccuracies in your personal data are rectified without delay.

You have the right to request that any incomplete personal data are completed, including by means of a supplementary statement.

You have the right to request that your personal data are erased if there is no longer a justification for them to be processed.

You have the right in certain circumstances (for example, where accuracy is contested) to request that the processing of your personal data is restricted.

You have the right to object to the processing of your personal data.

## INTERNATIONAL TRANSFERS

As your personal data is stored on our IT infrastructure and shared with our data processors Microsoft and Amazon Web Services it may be transferred and stored securely outside the UK and European Economic Area. Where that is the case, it will be subject to equivalent legal protection through the use of Model Contract Clauses.

## COMPLAINTS

If you consider that your personal data has been misused or mishandled, you may make a complaint to the Information Commissioner, who is an UK independent regulator. The Information Commissioner can be contacted at:

Information Commissioner's Office  
Wycliffe House  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF

0303 123 1113

[casework@ico.org.uk](mailto:casework@ico.org.uk)

Any complaint to the Information Commissioner is without prejudice to your right to seek redress through the courts.

### **CONTACT DETAILS**

The data controller for your personal data is the Department for Business, Energy & Industrial Strategy (BEIS). You can contact the BEIS Data Protection Officer at:

BEIS Data Protection Officer  
Department for Business, Energy and Industrial Strategy  
1 Victoria Street  
London  
SW1H 0ET

Email: [dataprotection@beis.gov.uk](mailto:dataprotection@beis.gov.uk)

## Annex 10: Scheme Participant Privacy notice guidance

This document is for LAs in receipt of grants under the Sustainable Warmth Scheme (the Scheme). It provides guidance on how the Scheme's UK GDPR Privacy Notice should be used.

### LA Obligations

Section 4.2 – Monitoring and Evaluation of the Scheme Guidance states that:

*LAs that receive funding have the responsibility of ensuring that all installers or delivery partners collect and provide appropriate information specified by BEIS to support monitoring and evaluation. Details of this will be outlined in the MoU. To achieve this, prior to collecting any data from subjects under this scheme, LAs are expected to:*

- Include our data collection requirements in all relevant contracts with installers and delivery partners, ensuring they understand and accept them.*
- Ensure they display or make available our standardised Privacy Notice to all data subjects, prior to the collection of data, to support compliance with data processing transparency requirements.*
- Where explicit consent is required from data subjects (such as for permission to re-contact), to use either BEIS's suggested consent statement or functional equivalent to capture this consent and maintain logs of this in your scheme data, as per our specified requirements there.*
- Agree and sign a standardised Data Sharing Agreement between the LA and BEIS, establishing the roles, process, scope and purpose of sharing this Management Information data between our organisations.*
- Demonstrate sufficient resource in their bids to manage the above requirements to an effective level of quality, and to maintain this for the full project duration.*

Meeting the obligations set out above requires the processing and sharing of personal data. As per **paragraph 72** of the MoU, LAs are expected to provide BEIS with a monthly report containing record-level management information data on the status and characteristics of each installation delivered (see MoU **Annex 8** for the Data Dictionary). This is called the Scheme Delivery data. The UK General Data Protection Regulation (GDPR) requires that organisations that collect personal data from individuals must provide detailed and specific information in their privacy notices.



Failure to sufficiently notify data subjects about the processing of their data could constitute a breach of UK GDPR. To ensure compliance with data protection principles, BEIS has provided LAs with a BEIS Privacy Notice that must be shared with data subjects on behalf of BEIS. Unless not processing any personal data, LAs are required to also share their own separate Privacy Notice with data subjects, covering LA processing of the data. In line with [ICO guidance](#), this should include:

- The contact details of their organisation, and their data protection officer (if applicable).
- The purposes of processing the data.
- The lawful basis for processing the data.
- The categories of personal data obtained.
- The recipients of the personal data and who it will be shared with.
- Details of any international transfers.
- The retention period.
- The rights available in respect of the processing.
- The right to lodge a complaint to ICO.

### Using the privacy notice

As outlined above, all individuals (data subjects) participating in the Scheme must have BEIS and LA privacy notices made available to them in advance of any data collection or processing. Data subjects may include households, landlords, installers, sub-contractors and other third-party organisations.

The way in which the privacy notices are provided to data subjects may vary by LA delivery model. For example, privacy notices may be distributed directly to data subjects by LAs, or via installers and/or delivery partners. Regardless of the method by which the privacy notices are disseminated, LAs are responsible for ensuring that data subjects are shown valid privacy notices prior to the collection of their data.

### Purpose and processing of the personal data by BEIS

BEIS processing of the personal data will cover a range of different purposes, including specific processes that need to be followed. These are outlined below:

- **Scheme Delivery data:** This includes all data points included in the Data Dictionary (see MoU **Annex 8**), for example address, contact details, measures installed, etc. As processing of this data is essential for the delivery, administration and evaluation of the scheme as well as statistical, research and fraud prevention purposes, it falls under the legal basis of [Public Task](#). As such, consent is not required for processing of this data, and data subjects cannot opt

out of having their data shared with and processed by BEIS if they want to participate in the scheme.

- **Consent to recontact data subjects:** BEIS and/or its contractors may want to recontact data subjects to invite them to take part in future research. Using personal data for this purpose falls under the legal basis of [Consent](#). As such, data subjects may opt in or out of being recontacted by BEIS and/or contractors in the future. Please note, this does not mean data subjects can opt in or out of having their data processed by BEIS and/or contractors – consent only applies to being recontacted to take part in research.
  - **For Households:** all consumers should be asked via an explicit consent statement (provided in the Consent Statement section below) if they consent to being potentially recontacted to take part in research and evaluation, irrespective of whether the installation is carried out or not. Details of the consent (also provided below) should be recorded in the Scheme Delivery data that will be shared with BEIS, as required under the Consent legal basis.
  - **For Installers:** personal information for businesses is only relevant where an individual can be identified, this could be an email or phone number linked to an individual employee or details of sole traders. It will be essential to collect installer information to effectively deliver the scheme, and this may include personal data. Consent is only required when asking installers permission to be recontacted for further research. As with consumers, installer consent should also be recorded in the Scheme Delivery data shared with BEIS and the consent statement must be used.

### **Consent Statement**

**Please note consent to recontact is not covered by the Privacy Notice alone. The below consent statement should be used and a record of the consent collected in line with the below instructions.**

BEIS requires specified and informed consent to recontact participants for research and evaluation purposes. As such, the below consent statement must be used with participants when asking for their consent to be recontacted:

To assist in the administration of the program LA Scheme, [REDACTED]

[REDACTED], South Derbyshire Council would like to process your personal data in order for LA Scheme, [REDACTED], BEIS or their appointed contractors to contact you to participate in further research and evaluation activities.

Do you consent to South Derbyshire Council, BEIS, or their appointed contractors, using your provided contact details to recontact you for the purpose of research and evaluation related to the installation received under LA Scheme, [REDACTED]. Your consent is not required for the installation to take place. You have the right to withdraw consent at any time by contacting South Derbyshire Council or BEIS at any time, using the contact details provided in the privacy notices.

Yes ☐ No ☐

It is also necessary to keep a record of:

- participant consent (i.e. Yes or No),
- the date on which consent was given (keep records of dated documents; if consent is oral please keep a note of the time and date for conversations)
- how participants consented (i.e. orally or in writing)
- what they were told (i.e. confirmation the above consent statement was used, orally or in writing; if an alternative or altered consent form was used, please keep a master copy of the script or consent form)
- whether consent has been withdrawn and if so, the date.

The above information will be fed to BEIS via the monthly Scheme Delivery data report. The Scheme Delivery data report will contain fields where the above information can be input.

### Sensitive Data Processing

Sensitive data is not expected to be shared with BEIS.

## Annex 11: Change Request Form

The Change Request template and process will be defined at a later date prior to delivery of the scheme. The Authority will be briefed by the Project Team on the full change procedure and given the necessary tools and template to adhere to the correct process required.

Please see the section on Change Requests and Variations (**paragraphs 57 to 60**) for the details of the form contents.

## Annex 12: Oracle LA Registration Set-up Form

*This form should be used for all organisations.*

### 1. Name of Company:

[ ]

### 2. VAT Registration Number (if applicable):

[ ]

### 3. Company Address

#### a. First line:

[ ]

#### b. City:

[ ]

#### c. County:

[ ]

#### d. Postcode:

[ ]

#### e. Email:

[ ]

### 4. Site Contact

#### a. Name:

[ ]

#### b. Tel. No.:

[ ]

#### c. Email:

[ ]

**5. Bank Details**

a. Bank Name:

[ ]

b. Account Number: [ ]

c. Sort Code: [ ]

d. Branch Name: [ ]

e. Account Holder name: [ ]

**6. Number of Full Time (or equivalent) Employees (FTE):**

[ ]

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<b>REPORT TO:</b>	<b>HOUSING AND COMMUNITY SERVICES COMMITTEE (SPECIAL-BUDGET)</b>	<b>AGENDA ITEM: 9</b>
<b>DATE OF MEETING:</b>	<b>19 APRIL 2022</b>	<b>CATEGORY: DELEGATED</b>
<b>REPORT FROM:</b>	<b>STRATEGIC DIRECTOR (SERVICE DELIVERY)</b>	<b>OPEN</b>
<b>MEMBERS' CONTACT POINT:</b>	<b>DEMOCRATIC SERVICES</b> <b>01283 595 5848/5722</b> <a href="mailto:democraticservices@southderbyshire.gov.uk">democraticservices@southderbyshire.gov.uk</a>	<b>DOC:</b>
<b>SUBJECT:</b>	<b>COMMITTEE WORK PROGRAMME</b>	<b>REF:</b>
<b>WARD(S) AFFECTED:</b>	<b>ALL</b>	<b>TERMS OF REFERENCE: G</b>

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## **1.0 Recommendations**

1.1 That the Committee considers and approves the updated work programme.

## **2.0 Purpose of Report**

2.1 The Committee is asked to consider the updated work programme.

## **3.0 Detail**

3.1 Attached at Annexe 'A' is an updated work programme document. The Committee is asked to consider and review the content of this document.

## **4.0 Financial Implications**

4.1 None arising directly from this report.

## **5.0 Background Papers**

5.1 Work Programme.



## Housing and Community Services Committee – 19<sup>th</sup> April 2022 Work Programme

Work Programme Area	Date of Committee meetings	Contact Officer (Contact details)
<b>Reports Previously Considered By Last 5 Committees</b>		
Derbyshire County Council Telecare/ Independent Living Update	30 <sup>th</sup> September 2021	Paul Whittingham Head of Housing (01283) 595984
Corporate Plan 2020-24 Performance Report Quarter 2	18 <sup>th</sup> November 2021	Clare Booth Corporate Performance & Policy Officer (01283) 595788
Community and Environmental Partnership Grant Scheme	18 <sup>th</sup> November 2021	Ian Hay Community Partnership Officer Ext 8741
Recruitment of Bikeability Co-Ordinator	18 <sup>th</sup> November 2021	Ian Gee / Chris Smith Communities Team Manager (01283) 595 924
Housing Domestic Abuse Policy	18 <sup>th</sup> November 2021	Paul Whittingham Head of Housing (01283) 595984
Bid for Government Rough Sleeper Accommodation Programme Funding	18 <sup>th</sup> November 2021	Paul Whittingham Head of Housing (01283) 595984
Service Base Budgets 2022/23 – General Fund	6 <sup>th</sup> January 2022	Vicki Summerfield Head of Finance (01283) 595939
Service Base Budgets 2022/23 – Housing Revenue Account	6 <sup>th</sup> January 2022	Vicki Summerfield Head of Finance

		(01283) 595939
Recruitment of ASP PE and Physical Sport Coach	27 January 2022	Ian Gee Active Sports Partnership Officer (01283) 288751
Novus Contract – Update	27 January 2022	Paul Whittingham Head of Housing (01283) 595984
Contribution to ActiveDerbyshire	10 March 2022	Hannah Peate Active Communities & Health Partnership Manager (01283 595973)
Corporate Plan 2020-24 Performance Report Quarter 3	10 March 2022	Clare Booth Corporate Performance & Policy Officer (01283) 595788
Tree, Woodlands, And Hedgerow Management Policy	10 March 2022	Eugene Minogue Head of Cultural & Community Services 07917 541274
Community And Environmental Partnership Grants Scheme	10 March 2022	Eugene Minogue Head of Cultural & Community Services 07917 541274
<b>Provisional Programme of Reports To Be Considered by Committee</b>		
Public Open Space (Pos) – Historical Adoptions	19 April 2022	Chris Worman Parks and Green Spaces Manager 01283 595774
County Wide Homeless Strategy	19 April 2022	Paul Whittingham Head of Housing (01283) 595984
Council House Relets	19 April 2022	Paul Whittingham Head of Housing (01283) 595984

Sustainable Warmth Funding And Low Carbon Homes	19 April 2022	Matt Holford Head of Environmental Services (01283) 595856
Health and Housing Strategy 2021-23	TBC	Eileen Jackson Strategic Housing Manager (01213) 595763
Tenant Satisfaction Survey and Housing Regulator Proposals	TBC	Paul Whittingham Head of Housing (01283) 595984
Swadlincote Woodlands Local Nature Reserve Status	TBC	Head of Cultural & Community Services 07917 541274
Policy on Access to Allotments	TBC	Head of Cultural & Community Services 07917 541274
DCC Careline Consultation – Independent Living Services Working Group	TBC	Paul Whittingham Head of Housing (01283) 595984
Careline Services Digital Switch Strategy	TBC	Paul Whittingham Head of Housing (01283) 595984