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PUBLIC

To: Members of Cabinet

Wednesday, 5 June 2024

Dear Councillor,

Please attend a meeting of the **Cabinet** to be held at **2.00 pm** on **Thursday, 13 June 2024** in Committee Room 1, County Hall, Matlock, the agenda for which is set out below.

Yours faithfully

A handwritten signature in black ink that reads 'Helen E. Barrington'.

Helen Barrington
Director of Legal and Democratic Services

AGENDA

1. To receive apologies for absence
2. To receive declarations of interest (if any)
3. To consider Minority Group Leader questions (if any)

Minority Group Leaders in attendance at the meeting are able to ask a question on a report on the agenda. Any questions should be provided in writing by 12 noon at least 2 working days before the meeting.

4. To approve, as a correct record, the non-exempt minutes of the meeting held on 29 April 2024 (Pages 1 - 10)
5. Derby and Derbyshire Strategic Leadership Board (Pages 11 - 42)

6. Acceptance and Usage of a Department for Transport Grant to Improve Traffic Signal Timings and Refurbish Obsolescent Signal Equipment (Pages 43 - 48)
7. Children's Services Section 106 Allocations (Pages 49 - 56)
8. ICT Strategy & Digital Services Target Operating Model (Pages 57 - 128)
9. Executive Scrutiny Protocol (Pages 129 - 138)
10. Review of the Strategic Approach to Equality Diversity and Inclusion (Pages 139 - 162)
11. Exclusion of the Public

To move "That under Regulation 4 (2)(b) of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012, the public be excluded from the meeting for the following items of business on the grounds that in view of the nature of the items of business, that if members of the public were present, exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972 would be disclosed to them."

PART II - EXEMPT ITEMS

12. To approve, as a correct record, the exempt minutes of the meeting held on 29 April 2024 (Pages 163 - 164)
13. Buxton Crescent Hotel (Pages 165 - 182)

PUBLIC

MINUTES of a meeting of **CABINET** held on Monday, 29 April 2024 at Committee Room 1, County Hall, Matlock.

PRESENT

Councillor B Lewis (in the Chair)

Councillors C Cupit, A Dale, C Hart, N Hoy and J Patten.

Apologies for absence were submitted for Councillor S Spencer, T King and C Renwick.

Officers present: Emma Alexander (Managing Director), Helen Barrington (Director of Legal and Democratic Services), Carol Cammiss (Executive Director - Children's Services), Alec Dubberley (Head of Democratic and Registration Services), Chris Henning (Executive Director - Place), Ellie Houlston (Director of Public Health), Mark Kenyon (Director of Finance), Joe O'Sullivan (Executive Director - Corporate Services and Transformation) and Simon Stevens (Executive Director - Adult Social Care and Health).

73/24 TO RECEIVE DECLARATIONS OF INTEREST (IF ANY)

None received.

74/24 TO CONSIDER MINORITY GROUP LEADER QUESTIONS (IF ANY)

The following questions had been submitted by Councillor J Dixon, Leader of the Labour Group:

Agenda item 5

How many people who attend the 8 Older People's Day centres and the 11 residential care homes have a diagnosis of dementia and what capacity has been assessed as being available to provide alternative services for people with dementia in each local area?

Agenda item 6

At the same meeting where you are deciding to go to consultation on the closure of all adult day care centres, you are also consulting on cutting grants to voluntary sector organisations that might mitigate the impact of these potential closures – activities like 56 lunch clubs, befriending, Age Concern and Careline. Where are individuals and families going to turn to?

Agenda item 8

Many of the organisations that might be affected by the decision to consult on the future sustainability of Adult Social Care Discretionary could also be affected if Strategy and Policy discretionary grant funding were also withdrawn. Have you considered what the potential withdrawals of both grants could have on the viability of some of the organisations affected?

Agenda item 9

In the recent Scrutiny meeting, discussing this potential decision, it was reported that the dis-establishment of the Early Years team and closure of Children's Centres could have implications for the number of children falling into crisis and this will have a substantial impact on the Council's budget. Could you share what plans you are putting in place to manage this?

Agenda item 10

What the cost of potentially implementing this policy in relation to the amount that might be generated by what the report states is a relatively small cohort?

Agenda item 13

The report states that "Due to the level of work required to produce the updated document and the limited Council officer availability,the Cabinet Member for Highways, Assets and Transport approved the use of external consultants, SCP, to undertake most of the work related to the BSIP refresh." What is the cost of bringing in consultants to do the update?

Agenda item 14

So far, the county council has been awarded two tranches of funding for BSIP totally £51.522 million. What amount did the county council originally bid for?

75/24

TO APPROVE, AS A CORRECT RECORD, THE NON-EXEMPT MINUTES OF THE MEETING HELD ON 11 APRIL 2024.

RESOLVED:

To approve, as a correct record, the minutes of the meeting held on 11

April 2024.

76/24 RESIDENTIAL CARE AND DAY CARE FOR OLDER PEOPLE

An answer to the question submitted by Councillor Dixon was provided as follows:

“In developing proposals for the cabinet paper, we have undertaken background work in regards to capacity within the Private, Voluntary and Independent Sector to support older adults that would be potentially impacted. As would be expected, there is a significant proportion (65%) of people attending the eight ‘non’ integrated’ day centres with a dementia recorded on care planning documentation although not all have a formal diagnosis of dementia.

There are 16 PVI providers offering 63 flexible day opportunities that are advertised as being available to older adults with dementia across Derbyshire. A number of these flexible services are advertised as being available on a county wide basis. The flexible framework for day opportunities is designed to respond and flex to changes in demand with providers moving to meet demand where it arises. In addition to these opportunities, 57 PVI Registered Care Homes have signed up to DCC's Day Care T&C's, 41 of which have dementia as a registered specialism with CQC and 9 with the DCC Dementia Standards award.

In addition to these alternatives, people have the option to use their personal budget and access direct payments to employ a Personal Assistant for their care and support.

There are 54% of people in the 9 residential settings referenced in option 1, with a dementia recorded on care planning documentation although not all have a formal diagnosis of dementia. In option 2 there are a further two homes referenced, Lacemaker Court and Florence Shipley, where every person must have dementia as a primary care need to be eligible to reside. (Therefore 61% across the eleven settings have dementia recoded on care planning documentation).

In terms of alternative residential care, there are 78 PVI providers of residential care that the Council contract with across the county. With the exception of the Leys, there is currently sufficient capacity within the PVI to accommodate all long-term residents from the care homes referenced in the cabinet paper at option two, within a ten mile radius of their current provision, should that be required. For the Leys, there is sufficient capacity within PVI to accommodate all residents within a 12 mile radius of their current provision, should that be required. This would of course be subject to an individual assessment of need prior to any move taking

place.”

Councillor N Hoy introduced a report, which had been circulated in advance of the meeting, that sought approval to undertake public consultation in relation to the future delivery of the Council’s residential care homes and day opportunities for older people.

RESOLVED to:

- 1) Approve the programme of formal public consultation for a period of 12 weeks on the two proposed options concerning the future of the eleven residential homes and integrated day opportunities for older people, and all of the non-integrated day opportunities for older people; and
- 2) Receive a further report following the conclusion of the consultation process, including an Equality Impact Analysis.

77/24 PROPOSAL TO CONSULT ON THE FUTURE SUSTAINABILITY OF ADULT SOCIAL CARE DISCRETIONARY GRANTS

An answer to the question submitted by Councillor Dixon was provided as follows:

“As suggested the Council is proposing to consult on the future of 8 day care services currently operated by the Council. The consultation exercise will take account of people’s views about the current provision, usage and what alternative day care services are available to mitigate the impact of any potential closures. I can confirm that there are a range of meaningful day time activities already established across the county, many of them operated by voluntary and community sector providers that the Council contracts with and they will not be impacted by the proposed consultation of the Adult Social Care grant programme.”

Councillor N Hoy introduced a report, which had been circulated in advance of the meeting, in relation to a proposal to consult on the cessation of Adult Social Care Discretionary Grant Funding.

RESOLVED to:

- 1) Approve the programme of formal public consultation on the cessation of the current Adult Social Care allocation of discretionary grants to the services outlined in this report;
- 2) Note that a further report will be received following the conclusion of the consultation, including a full Equality Impact Assessment;

and

- 3) Approve the award of an interim grant to Bolsover Woodlands Enterprise for the amount of £78,462 for the period 1 November 2024 to 31 March 2025 in order to align their funding timeline with these proposals and the other grant recipients.

78/24 JOURNAL TRANSFER TO ENABLE PUBLIC HEALTH FUNDING TO SUPPORT CHILDREN'S CENTRES

Councillor C Hart introduced a report, which had been circulated in advance of the meeting, that sought approval for a journal transfer to enable Public Health funding to support Children's Centres.

RESOLVED to:

- 1) Approve the transfer of £1.000m per annum from Public Health to Children's Services via a journal transfer to continue the Public Health investment into the delivery of preventative support interventions from Children's Centres over a 2-year period between 1 April 2025 and 31 March 2027; and
- 2) Note that this funding will be provided out of the Public Health Grant.

79/24 PROPOSAL TO CONSULT ON THE CESSATION OF STRATEGY AND POLICY DISCRETIONARY GRANT FUNDING

Councillor C Hart introduced a report, which had been circulated in advance of the meeting, in relation to the proposal to consult on the cessation of Corporate Services and Transformation discretionary grant funding.

RESOLVED to:

- 1) Approve consultation on the cessation of discretionary grant funding; and
- 2) Note that a further report will be submitted to Cabinet following conclusion of the consultation, including a full Equality Impact Assessment.

80/24 EARLY HELP AND CHILDREN'S CENTRES IN DERBYSHIRE

An answer to the question submitted by Councillor Dixon was provided as follows:

“The Early Years Service is not to be disestablished; the changes proposed are to the Council’s Early Help Service. Following the implementation of the revised Early Help service we will monitor closely the impact of the changes for children and their families through a suite of indicators, along with the impact on the Council’s finances and consideration will be given as to how we respond.”

Councillor J Patten introduced a report, which had been circulated in advance of the meeting, that sought approval of the proposals in relation to Early Help and Children’s Centres in Derbyshire.

RESOLVED to:

- 1) Approve the disestablishment of the Council’s existing Early Help teams and Children’s Centres;
- 2) Confirm that further funding for the Early Help Development Service should not be provided; and
- 3) Approve the implementation of a new service model for Family Help in Derbyshire, the retention of 12 Children’s Centre buildings, and the closure of 10 Children’s Centre buildings.

81/24 PERMISSION TO CONSULT ON THE CONTRIBUTION TO CARE POLICY

An answer to the question submitted by Councillor Dixon was provided as follows:

“It is estimated that between 14 and 28 families per year could be requested to contribute 50% of the cost of care for their child. There is a variance in the amount of return from the contributions dependent on the age of the child – if contributions are made for 28 children at the upper age range the total of the contributions would be £164,892 to the Council per year. The estimated administrative cost of setting up the contribution per child is £25 therefore for 28 children the cost would be £700. Due to the minimal ongoing administration of the contributions this requirement can be met as part of business as usual activity. Therefore, the overall estimated return to the Council would be £164,192. The purpose of this report before Cabinet is to request agreement to consult therefore further information will be provided in a subsequent Cabinet report taking into account the outcome of the consultation.”

Councillor J Patten introduced a report, which had been circulated in advance of the meeting, that sought approval to commence public

consultation in relation to the contribution to care policy.

RESOLVED:

To approve the commencement of public consultation, and engagement with relevant staff and families as well as partner agencies for an 8-week period.

82/24 THE CURZON CE (AIDED) PRIMARY SCHOOL - OUTCOME OF CONSULTATION OF ENLARGEMENT OF PREMISES

Councillor A Dale introduced a report, which had been circulated in advance of the meeting, reporting the outcome of the statutory consultation carried out on the enlargement of premises and seek approval to enlarge the premises at The Curzon CE (Aided) Primary School.

RESOLVED to:

Approve the enlargement of premises at The Curzon CE (Aided) Primary School.

83/24 CHILDREN'S SERVICES SECTION 106 ALLOCATIONS

Councillor A Dale introduced a report, which had been circulated in advance of the meeting, in relation to the receipt of Section 106 developer contributions and that sought approval for the allocation of these contributions to projects in line with the individual Section 106 agreements.

RESOLVED:

To note the receipt/availability of Section 106 allocations and approve the allocations to the proposed projects as outlined in Appendix 2 to the report.

84/24 BUS SERVICE IMPROVEMENT PLAN REFRESH

A response to Councillor Dixon's question was provided as follows:

"The costs have been contained within the consultant's current contract for assisting with work for BSIP including support for the Enhanced Partnership Board which totals a maximum spend of £125,000 to the end of March 2025. This is 0.2% of the overall investment that BSIP is enabling DCC to make in Derbyshire's bus networks."

Councillor C Cupit introduced a report, which had been circulated in advance of the meeting, in relation to the Bus Service Improvement Plan Refresh.

RESOLVED to:

- 1) Note the update on the new Bus Service Improvement Plan, the guidance published by the Department for Transport and the work undertaken so far to meet the objectives set down in it; and
- 2) Approve the various additional measures which are recommended for inclusion in the Council's refreshed BSIP for the 2025-26 programme onwards and grants the Executive Director - Place in consultation with the Cabinet Member - Highways Assets and Transport delegated powers to agree the final wording of the refreshed Bus Service Improvement Plan which must be submitted to the Department for Transport by 12 June 2024.

85/24 BUS SERVICE IMPROVEMENT PLAN - ACCEPTANCE OF BSIP PHASE 3 FUNDING

In response to Councillor Dixon's question, it was noted that the answer could be found in paragraph 4.2 of the report relating to the previous agenda item.

Councillor C Cupit introduced a report, which had been circulated in advance of the meeting, in relation to the Bus Service Improvement Plan and the acceptance of Phase 3 funding.

RESOLVED:

To approve delegating the decision, in accordance with the Council's Standing Orders, to the Executive Director – Place, in consultation with the Cabinet Member – Highways Assets and Transport, to accept Phase 3 Bus Services Improvement Plan funding to deliver long-term bus service improvements via the Department for Transport's Network North funding, at an indicative value of £4.519m in 2024-25.

86/24 EXCLUSION OF THE PUBLIC

RESOLVED:

That under Regulation 4(2)(b) of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012, the public are excluded from the meeting for the remaining business on the grounds that in view of the nature of the items

of business, that if members of the public were present, exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972 would be disclosed to them.

87/24 TO APPROVE, AS A CORRECT RECORD, THE EXEMPT MINUTES OF THE MEETING HELD ON 11 APRIL 2024

RESOLVED:

To approve, as a correct record, the exempt minutes of the meeting held on 11 April 2024.

88/24 BUS REAL TIME INFORMATION SYSTEMS IN DERBYSHIRE

Councillor C Cupit introduced a report, which had been circulated in advance of the meeting, in relation to the Bus Real Time Information Systems in Derbyshire.

RESOLVED:

To approve the recommendations as detailed in the not for publication report.

89/24 URGENT DECISION TAKEN BY THE EXECUTIVE DIRECTOR PLACE TO ACCEPT THE ZERO EMISSIONS BUS REGIONAL AREA GRANT FUNDING FROM THE DEPARTMENT FOR TRANSPORT

Councillor C Cupit introduced a report, which had been circulated in advance of the meeting, in relation to an urgent decision taken by the Director of Place to accept the Zero-Emissions Bus Regional Area Grant Funding from the Department of Transport.

RESOLVED:

To approve the recommendations as detailed in the not for publication report.

The meeting finished at 2.44 pm

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Agenda Item

FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

13 June 2024

Report of the Managing Director

Derby and Derbyshire Strategic Leadership Board
(Strategic Leadership, Culture, Tourism and Climate Change)

1. Divisions Affected

1.1 County-wide

2. Key Decision

2.1 This is a not a Key Decision.

3. Purpose

3.1 To provide Cabinet with an update on the Council's participation of the Derby and Derbyshire Strategic Leadership Board.

3.2 To seek approval from Cabinet to withdraw its previously agreed role as Host Authority of the Derby and Derbyshire Strategic Leadership Board for reasons outlined in the report.

3.3 To seek approval from Cabinet to withdraw £175,000 of Council funding allocated to the resourcing of the Derby and Derbyshire Strategic Leadership Board for reasons outlined in the report.

4. Information and Analysis

- 4.1 Cabinet previously agreed a series of recommendations concerning the establishment of the Derby and Derbyshire Strategic Leadership Board (SLB) and nominated the Leader to represent the Council on the SLB with the Deputy Leader nominated as substitute (22 February 2024).
- 4.2 The SLB was agreed as the successor to the two, now dissolved, joint committees Vision Derbyshire and D2 Economic Prosperity, and promised a streamlined, refreshed and fully inclusive approach to collaborative working across existing and new partnership activity.
- 4.3 Given the role the Council had played in the establishment of the new Board, Cabinet agreed that the Council would act as the Host Authority. As Host Authority the Council would be responsible for the administration of meetings, holding funding on behalf of the Board and acting as the employing authority for the purposes of team supporting the Board, including its Statutory Officers.
- 4.4 Cabinet also agreed the associated costs of taking forward the programme of work, the maximum cost of which stood at £156,324 per annum. This decision was in recognition of the need for capacity and capability, through the establishment of a programme team, to support the Board, however was based on a proposed programme team structure and programme budget that required further approval by the SLB.
- 4.5 At its first meeting of the SLB on 16 May 2024 the Leader for North Derbyshire District Council Cllr Nigel Barker, was appointed to the role of Chair by the Board.
- 4.6 The Council's Leader had previously held the role of Chair for both the Vision Derbyshire Joint Committee and the D2 EPC. The Council was also the Host Authority of both those predecessor bodies immediately before their dissolution, providing the informal role of secretariat, co-ordinating and driving the agenda, monitoring progress and providing a significant amount of wider executive support to both, all in kind – a significant management overhead.
- 4.7 The Council's position as Chair was part of an overall leadership and strategic approach, which had the aim of supporting the effective working of both former committees and providing an inclusive refresh of partnership arrangements (the SLB), alongside the delivery of a number of projects and programmes. This work was also intended to ensure that the evolving SLB would have alignment to, and a relationship with, EMCCA, an important mechanism for district and borough councils who are non-constituent authorities.

- 4.8 In taking the decision to elect a new Leader as Chair, district and borough councils have signalled their intention to assume control of the agenda and provide new leadership and direction for the Board. Whilst this is a legitimate position for member councils to take in relation to the agreed Terms of Reference for the Board, this has put the County Council in a different and more challenging position regarding implementing the overall strategic partnership approach which Cabinet previously agreed in February 2024 and is described above.
- 4.09 It is proposed to Cabinet that the Host Authority function and any partnership support should, in principle, appropriately sit with the authority providing overall leadership and direction to the Board, especially as it is a formal Joint Committee. There is no longer advantage or value for money for the Council in absorbing the management overhead that attaches to being the Host Authority (including the employing authority for the programme team) nor in being the only member council to commit new funding (up to a maximum allocation of £175,000) which would provide for the majority of the costs of the proposed programme team.
- 4.10 Finally, the Council does not have a role within SLB in relation to its EMCCA nominating body designation – the Council does not participate in those decisions which are for the Districts and Boroughs; and while the envisaged role of SLB being a forum for discussing EMCCA related matters will remain beneficial for the Council to participate in, these are not dependent on the Council being the Host Authority and providing funding to support the programme team alongside.
- 4.11 It is therefore recommended that Cabinet agree to withdraw its previously agreed role as Host Authority of the Derby and Derbyshire Strategic Leadership Board for reasons outlined above.
- 4.12 It is also recommended that Cabinet agree the £156,324 funding returned to the Council following the dissolution of the Vision Derbyshire Joint Committee is not now allocated to the resourcing of the programme of work of the Derby and Derbyshire Strategic Leadership Board for reasons outlined above. The SLB has not yet determined the programme team structure and programme budget and therefore the Council's contributions are not committed.

Next steps (moving forward)

- 4.13 The principle of working effectively in partnership with others is core value of the Council an important part of the Council's overall strategic approach. The Council puts significant amount of elected member, executive, strategic and officer support into partnership working generally and therefore it is currently proposed that the Council's cooperation with the Board will continue. The Council will continue to work through the Board where is relevant and beneficial to do so to meet its priorities – such as business, economy and place. The Council will also consult with the Board on matters relating to the EMCCA where required, as a constituent EMCCA member.
- 4.14 However, it is also recognised that the change in the chairing arrangements signals the intention of district and borough councils to assume control of the agenda and provide new leadership and direction for the Board. In these circumstances, it is appropriate for the county council to keep its ongoing membership under review to ensure it remains aligned with the plans and aspirations of the county.
- 4.15 It is therefore recommended that at this point the Council continues to be a member of the SLB, with the delegated functions as set out in the Functions and Responsibilities document in Appendix 1 as agreed by Cabinet on 22 February 2024, with the same agreed representatives on the Board.
- 4.16 It will be for the Board and its members to explore different funding and/or operational models (such as secondments) to provide additional resources to the Board and its workstreams, if deemed necessary. Equally, the Board may decide to rein in its ambition to explore new agendas with less resourcing available to it. It is anticipated that this will be for the new Chair, alongside the new Host Authority and identified secretariat function, to determine how this is achieved in practice.
- 4.17 Whilst the commitment to funding for the Board will be withdrawn, the Council can still make this funding available to support strategic partnership working with EMCCA. It will be for the Strategy and Policy team as budget holders of this funding to determine and agree a future approach through appropriate delegations.

5. Consultation

- 5.1 Any variations to employee working arrangements may require consultation and engagement with those affected, to explain changes to the work they undertake.

6. Alternative Options Considered

- 6.1 The Council could take the option to not withdraw its role as Host Authority and the allocation of funding for the Board, however as has been outlined in the report, this option is not preferred as it would not be the best use of resources that can be deployed in a different way to deliver the Council's best interests.
- 6.2 The Council could take the option to cease its membership of the SLB. This option is not preferred as there is significant continued interest in collaboratively and partnership working with Derby and Derbyshire Councils to tackle the county's challenges and speak as a collective where possible, including providing an arena for discussion of EMCCA business.

7. Implications

- 7.1 **Appendix 1** sets out the relevant implications considered in the preparation of the report.

8. Background Papers

- 8.1 Establishing the Derby and Derbyshire Strategic Leadership Board – 22 February 2024

9. Appendices

- 9.1 Appendix 1 – Implications
- 9.2 Appendix 2 – Articles, functions and procedure rules for the D2 SLB Joint Committee

10. Recommendations

That Cabinet:

- a) Withdraws its commitment to act as the host authority for the Joint Committee - Derby and Derbyshire Strategic Leadership Board (SLB)
- b) Withdraws its approval of the associated costs of taking forward the programme of work, the maximum cost of which currently stands at £156,324 per annum.
- c) Notes the Council's intention at this time is to continue membership of the D2 Strategic Leadership Board and the delegated functions as set out in the Functions and Responsibilities document in Appendix 1. Ongoing membership will be kept under review to enable assessment of

the impact of the new Board leadership arrangements and any subsequent changes in the future direction of the Board.

- d) Notes that the Leader, Cllr Barry Lewis, will continue as the Council's representative on the D2 Strategic Leadership Board and the Deputy Leader, Cllr Simon Spencer, as substitute.

11. Reasons for Recommendations

- 11.1 To support the most effective use of the Council's resources.
- 11.2 To enable the Council to participate fully in all decision making and programme activity that will take place under the remit of the proposed D2 Strategic Leadership Board.
- 11.3 To ensure the Council has appropriate lead Elected Member representation on the proposed D2 Strategic Leadership Board.

12. Is it necessary to waive the call in period?

- 12.1 No

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Implications

Financial

- 1.1 The Strategy and Policy Budget has an allocation of £175,000 to support the Council Plan objective of establishing and implement effective partnership arrangements with EMCCA. This funding has not yet been committed and no spend has been made against this allocation to date.
- 1.2 This funding can be utilised to support work associated with strategic partnership working and it will be for the Strategy and Policy team to determine and agree a future approach through appropriate delegations.

Legal

- 2.1 The SLB is a joint committee that has been established under Section 101(5) of the Local Government Act 1972.
- 2.2 On 22 February 2024, Cabinet approved the Council's membership of the SLB and the Terms of Reference of the SLB, including the Introduction and Context, Functions and Responsibilities, Procedural Rules and Information Procedure Rules. Those Terms of Reference include a number of guiding principles; in particular the requirement that all participating authorities, whether or not agreeing to delegate functions, will be required to contribute towards the costs of funding the D2 SLB. As a member of the SLB the Council will therefore be required to make a contribution, as will all other participating councils.
- 2.3 The Joint Committee is not a legal entity in its own right and therefore to establish and operate, a host organisation is required. The role of host authority can be performed by any of the participating authorities.

Human Resources

- 3.1 The County Council currently employees 2FTE Grade 11 Senior Economic Development Officers who work for the Derbyshire Economic Partnership. Whilst their job description, person profile and line management will not change, they will now be required to support the priorities of the D2 Strategic Leadership Board and its associated work, which would have previously agreed and commissioned by DEP. As the

Council is not withdrawing its commitment to the work originally associated with DEP, these posts will be unaffected by this report.

Information Technology

4.1 None

Equalities Impact

5.1 An EIA is not needed as the report relates to an administrative decision rather than an issue of policy.

Corporate objectives and priorities for change

6.1 Establish and implement effective partnership arrangements with EMCCA to maximise the benefits of a devolution deal for Derbyshire is Strategic Object 18 of the Council Plan 2024-2025.

**THE DERBY AND DERBYSHIRE
STRATEGIC LEADERSHIP BOARD**

TERMS OF REFERENCE

ARTICLES

1. Introduction and Context

1.1 The **Derby and Derbyshire Strategic Leadership Board** (D2 SLB) brings together the County's ten local authorities in what is a **joint committee** with a refreshed and fully inclusive approach to collaborative working across existing and new partnership activity. D2 SLB will:

- Provide collective leadership for Derby and Derbyshire, allowing our authorities to speak with a single, shared voice on matters of common interest at the county, regional and national level;
- Collaborate as partners to develop joined-up approaches to the complex, connected and sometimes challenging agendas where our councils share common interests; and additionally
- Progress shared ambitions for the area, co-ordinating resources better and more sustainably.

1.2 With the creation of the East Midlands Mayoral Combined County Authority bringing new opportunities to improve outcomes for people and places throughout Derby and Derbyshire, it makes sense for D2 councils to come together to manage their interface with this new authority as well as co-ordinating City, District, Borough and County agendas which are envisaged as becoming the remit of D2 SLB including economic development and regeneration, business and skills, health and wellbeing, transport and the environment and potentially wider agendas where there is common recognition in the value of tackling challenges together.

1.3 Accordingly, the D2 SLB will:

- Achieve joined up approaches within and between a variety of **shared policy agendas and service delivery agendas**, including but not restricted to place and economic development;
- Rationalise and **simplify existing partnership and governance arrangements** related to these areas (with agreement that the work of

existing County level committees (including the Vision Derbyshire Committee, the D2 Economic Prosperity Committee together with the Growth Board will be superseded by a single Derby and Derbyshire-wide partnership arrangement); and

- Provide the lead forum for collaborative activity between councils in Derbyshire on matters relating to the new **Combined County Authority** primarily to secure collective influence, especially concerning investment and growth.

1.4 In this context, the overall ambition of D2 SLB is to mature into a truly collaborative and representative partnership of all Derby and Derbyshire councils, to maximise shared aims to the benefit of local citizens and businesses.

Guiding Principles for the D2 SLB

1.5 The joint committee will provide:

- Strong, collective and inclusive leadership which seeks to deliver better local outcomes and more joined-up public services
- Clear, transparent and accountable decision-making which will ensure best value for taxpayers' money and maintain strong ethical standards
- Flexibility to work across organisational boundaries to deal with strategic and emergent challenges.

1.6 It is envisaged that collaboration and decision making based on these principles will enable Derby and Derbyshire's local authorities to tackle challenges at regional, county and local place levels more effectively.

1.7 The D2 SLB will act as the responsible decision-making body for functions delegated to it by participating Councils within Derby and Derbyshire and, accordingly, membership of the D2 SLB will comprise councillors appointed by those participating authorities. Councils may choose to appoint members to the D2 SLB while not delegating decision-making responsibilities for functions. However, all participating authorities, whether or not agreeing to delegate functions, will be required to contribute towards the costs of funding the D2 SLB.

1.8 Councils participating in the D2 SLB are committed to the provision of improved services. It is considered that this will, in certain instances, be best achieved by the joint provision of services, joint working and/or the development of common standards and protocols. All proposals for the setting up of any new services or the discharge of functions are in the first instance to be subject to an investigation into the suitability of providing such services or discharging such functions, as a joint service for all participating Councils.

2. Membership of the D2 SLB

- 2.1 All local authorities within the Derby and Derbyshire are invited to join the D2 SLB as constituent members (subject to agreement by respective councils) namely:
- Derbyshire County Council
 - Derby City Council
 - Amber Valley Borough Council
 - Bolsover District Council
 - Chesterfield Borough Council
 - Derbyshire Dales District Council
 - Erewash Borough Council
 - High Peak Borough Council
 - North-East Derbyshire District Council
 - South Derbyshire District Council
- 2.2 All participating councils within Derby and Derbyshire will be permitted to appoint one elected member to the D2 SLB and to nominate one elected member as a substitute, whether or not they are delegating functions to the D2 SLB.
- 2.3 A Substitute Member will have the same rights to receive meeting papers and to access information as the Member for whom s/he is a substitute.
- 2.4 All appointments as Members or Substitute Members of the D2 SLB shall be for a term of one year from the Annual Meeting, but an individual may be re-appointed to serve as a Member or Substitute Member any number of times.
- 2.5 All councils shall be entitled at any time to terminate the appointment of a Member or Substitute Member appointed by it and to appoint another of its Elected Members in that person's place. Where a Council exercises this power it shall give written notice of the new appointment and the termination of the previous appointment to the Monitoring Officer responsible for the D2 SLB and the new appointment shall take effect from the point specified in the written notice.
- 2.6 Should a change of political control occur at a participating local authority, usually arising from local elections, it will be for that local authority to confirm any changes in appointments to the D2 SLB's membership in accordance with

the constitutional arrangements of that Council. A Member or Substitute Member of the D2 SLB who ceases (for whatever reason) to be an Elected Member of the Council that appointed them shall immediately cease to be a Member or Substitute Member of the D2 SLB, and the relevant Council shall as soon as practicable give written notice of this to the Monitoring Officer responsible for the D2 SLB and appoint another of its Elected Members in that person's place.

- 2.7 A person may resign as a Member or Substitute Member of the D2 SLB by written notice served on the Proper Officer of the Council that appointed them and the resignation shall take effect on receipt of the notice by the Proper Officer. The relevant Council shall as soon as practicable give written notice of this to the Monitoring Officer responsible for the D2 SLB and appoint another of its Elected Members in that person's place.
- 2.8 Where an appointing Council operates executive arrangements (within the meaning of the Local Government Act 2000), the appointment, removal and replacement of Members and Substitute Members of the D2 SLB shall be decided in accordance with the constitutional requirements of that Council, but it is anticipated that all Members and Substitute Members appointed by it shall be Members of its executive and will include its executive leader or elected mayor.
- 2.9 All appointments, removals and replacements of Members and Substitute Members of the D2 SLB by Councils shall be made by notice in writing addressed to the Monitoring Officer responsible for the D2 SLB. Any such notice shall be deemed to have been given when received by the Monitoring Officer.
- 2.10 Any individual council that does not operate executive arrangements and that wishes to co-opt an additional member or members can only do so following consultation with and a majority vote of all voting members of the Joint Committee and shall have no voting rights. An individual's co-option shall terminate as soon as her/his involvement with the organisation that gave rise to the co-option ceases; and such co-option shall be endorsed annually by the Joint Committee and subsequently confirmed formally by the appointing authority.
- 2.11 All Members of the D2 SLB (including any Substitute Members acting in place of Members of the D2 SLB) will:
 - a) (subject to the D2 SLB's voting arrangements) collectively be the ultimate policy makers of the D2 SLB;
 - b) bring views of their Councils into the D2 SLB's decision-making process; and
 - c) maintain the highest standards of conduct and ethics.

- 2.12 Members will at all times observe the Code of Conduct for Members in force in their own Council and any breaches will be reported to the Monitoring Officer of their own Council.
- 2.13 No remuneration shall be payable to D2 SLB Members other than allowances for travel and subsistence in accordance with the Members' Allowances Schemes in operation at participating Councils. (It is acknowledged that a participating Council may, in accordance with its own procedures, pay a special responsibility allowance to any Elected Member appointed by it to the D2 SLB in respect of duties and responsibilities undertaken as a Member or Substitute Member of the D2 SLB.)

3 Chairing the D2 SLB

- 3.1 The Chair of the D2 SLB will be appointed by the D2 SLB.
- 3.2 In the event that there are more than two Members nominated for the role of Chair, and there is not a clear majority of votes in favour of one Member, then the name of the Member with the least number of votes will be eliminated and that process will continue until a Chair is elected with a majority of votes.
- 3.3 The D2 SLB will appoint a Vice-Chair to deputise for the Chair when the latter is not present or available.
- 3.4 In the event that there are more than two Members nominated for the role of Vice-Chair, and there is not a clear majority of votes in favour of one Member, then the name of the Member with the least number of votes will be eliminated and that process will continue until a Vice-Chair is elected with a majority of votes.
- 3.5 The Chair or Vice-Chair of the D2 SLB will cease to hold such office when they cease to be a Member of the D2 SLB, in accordance with the provisions set out at paragraphs 2.6 to 3.7 above.

4. Procedural Arrangements

- 4.1 The D2 SLB shall meet in accordance with its agreed calendar of meetings throughout a municipal year, but additional meetings may take place should the need arise.
- 4.2 While a guiding principle of D2 SLB will be decision making by consensus, which will lead the Board to coalesce around agendas where there is a shared view about how to proceed, should there be circumstances where a vote is required each Member of the D2 SLB shall have one vote, other than in the following circumstances:
- a) where matters reserved to upper tier authorities are to be discharged, eg. public transport functions that are reserved to county and unitary authorities;

- b) where matters reserved to lower tier authorities are to be discharged, eg. housing functions that are reserved to borough, district and unitary authorities;
- c) where matters reserved to specific geographies are to be discharged, eg local planning functions that are reserved to Derbyshire councils only
- d) where matters reserved in a combination of the above are to be discharged, eg. shared services arrangements involving specific councils not others.

4.3 In such circumstances Members from authorities that have no formal remit will not be entitled to vote. No authority represented on the Board will be empowered to vote on or to discharge a function belonging to another for which it has no responsibility in law. No authority will be entitled to vote on a matter to which they have not formally delegated to the D2 SLB.

4.4 The proceedings of the D2 SLB shall not be invalidated by any vacancy among its Members or Substitute Members or by any defect in the appointment or qualifications of any Member or Substitute Member.

5. Records of Proceedings

5.1 The D2 SLB shall make arrangements for the names of Members and Substitute Members present at any meeting to be recorded.

5.2 Minutes of the proceedings of a meeting of the D2 SLB, or any sub-committee, shall be kept in such form as the D2 SLB may determine.

5.3 Any such minutes are to be agreed as a true record and signed at the same or next suitable meeting of the D2 SLB or sub-committee by the Member chairing that meeting.

5.4 A Member of the D2 SLB, or any sub-committee, has the right to have their vote on any matter recorded in the minutes of the meeting at which the vote was cast.

5.5 Minutes of all minutes will be published on the websites of all participating Councils.

6. Sub-Committee

6.1 The D2 SLB may establish such sub-committees as it thinks fit to discharge its functions.

7. Officers

7.1 The Section 151 Officer (appointed under Section 73 of the Local Government Act 1975) and Monitoring Officer (appointed under section 5 of the Local Government and Housing Act 1989) of the host authority for the D2 SLB will serve as the statutory officers in support of the D2 SLB.

7.2 The D2 SLB may call upon any officer of any of the local authorities who have members on the D2 SLB for advice and assistance, as it considers necessary to carry out its functions.

8. Scrutiny of decisions

8.1 Each constituent authority which operates executive arrangements will be able to scrutinise the decisions of the D2 SLB in accordance with that constituent authority's overview and scrutiny arrangements. Any authority that operates a committee system model of governance will have the discretion to scrutinise decisions of the D2 SLB according to its own specific governance arrangements.

9 Winding up of the D2 SLB and Cessation of Membership

9.1 The D2 SLB may be wound up immediately by a unanimous vote of all constituent authorities.

9.2 Where an authority determines through its own governance arrangements that it no longer wishes to be a member of the D2 SLB, that authority may cease its membership with effect from the date of its decision. However, authorities will remain liable for any previously agreed financial contributions until the end of the financial year for which those contributions have been agreed regardless of any decision to cease membership. Where long term liabilities, such as any Pension Fund shortfall, exists they will be calculated at the point membership ceases and any council exiting the arrangement will pay the host authority an amount to cover their share of that liability.

FUNCTIONS AND RESPONSIBILITIES

- a. The D2 SLB is established pursuant to Section 101(5) of the Local Government Act 1972, which permits local authorities to make arrangements for two or more authorities to discharge functions jointly, so long as it is a function that the law reserves to a specified committee. The D2 SLB is established for the following purposes:
 - Provide collective strategic leadership for local government in Derby and Derbyshire
 - Drive forward shared ambition and collective priorities for local government across Derby and Derbyshire
 - Improve joint working across local government in Derby and Derbyshire
 - Form a collective view on matters impacting Derby and Derbyshire
 - Enable agile, timely and effective decision making.
- b. The D2 SLB, on behalf of the participating authorities, will be responsible for improving the delivery of functions already within the remit of local authorities

through statute or through specific collaborative work to improve the economic, environmental or social wellbeing of the areas within Derby and Derbyshire from the following broad definitions:

- Incorporating existing partnership arrangements
- Areas for collaborative system changes across authorities
- Specific thematic projects and priorities

c. Within those broad definitions, the D2 SLB will:

- i) Provide a forum for consideration of opportunities for joint working across Derby and Derbyshire
- ii) Provide or assume democratic oversight for existing joint committee and partnership arrangements
- iii) Inform and support the work of the East Midlands Mayoral Combined County Authority, in particular feeding into the EMCCA led Investment Strategy for the region
- iv) Determine the prioritisation of issues affecting Derby and Derbyshire to influence commissioning at a regional level
- v) Determine commissioning arrangements on matters for which funding is provided on a sub-regional basis
- vi) In particular, act as the local public sector decision-making body for strategic economic development across Derby and Derbyshire (including potential alignment of resources, commissioning, and performance / contract management) in respect of
 - (a) Skills and training
 - (b) Inward Investment
 - (c) Investor Development
 - (d) Sector Development
 - (e) Regeneration Delivery
 - (f) Climate Change and Low carbon
 - (g) Supporting debates on Land Use policy

- vii) Own, monitor and review the Derbyshire Growth Plans and associated investment plans
 - viii) Act as the accountable body for decision making on funding streams allocated to the D2 SLB by other bodies
 - ix) Oversee the planning, alignment and performance of delivery partners and organisations to achieve more effective and efficient commissioning, monitoring and implementation, and ultimately better outcomes
 - x) Engage and maintain an active, ongoing dialogue with the Derby and Derbyshire business community through relevant economic advisory boards
 - xi) Hold to account relevant bodies whose work impacts on the economic well-being of Derbyshire
 - xii) Determine the programme of projects and work streams, how those will be managed and communicated to stakeholders and the public
 - xiii) Monitor and review performance in respect of services delivered in partnership through the D2 SLB and authorise the publication of an annual report of performance and outcomes
 - xiv) Commission strategic outline and full business cases for individual councils to consider opportunities for more collaborative working
 - xv) Determine requests from individual authorities or groups of authorities to work collaboratively on specific projects or work streams
 - xvi) Provide a forum for councils and their representatives to provide challenge to each other with the aim of increasing collaboration to deliver efficient, effective and economic services, which equally improve the offer and outcomes to residents and businesses
 - xvii) Delegate functions and responsibilities to sub-committees or officers as the D2 SLB deems appropriate and keep any governance arrangements associated with the D2 SLB under review.
- d. In the above context, it will be for the Board to establish any sub committees it chooses to in order to provide support with specific tasks within the Board's work programme and for the Board to determine the membership of such sub committees. Any sub committees will report into the full Board.

- e. The D2 SLB will exercise all its powers and duties in accordance with the law and these terms of reference and procedure rules.
- f. The authorities appointing to the D2 SLB are:
- Derbyshire County Council
 - Derby City Council
 - Amber Valley Borough Council
 - Bolsover District Council
 - Chesterfield Borough Council
 - Derbyshire Dales District Council
 - Erewash Borough Council
 - High Peak Borough Council
 - North-East Derbyshire District Council
 - South Derbyshire District Council

[MEMBERSHIP TO BE AGREED BY RESPECTIVE AUTHORITIES]

- g. It is for individual Councils participating in the D2 SLB to determine which functions and responsibilities they are willing to delegate to the D2 SLB in accordance with their own decision-making arrangements. Conversely, the D2 SLB in determining its agenda, priorities and forward programme will wish to take a view on whether or not to accept such responsibilities.
- h. No authority represented on the D2 SLB may participate in voting upon or discharging a function for which it has no responsibility in law.

PROCEDURE RULES

These procedure rules apply where appropriate to the Joint Committee and Sub-Committees established by the Joint Committee.

1. Name

- 1.1 The name of the Joint Committee shall be the 'Derby and Derbyshire Strategic Leadership Board (D2SLB)'.

2. Membership

- 2.1 The membership of the Joint Committee shall be determined in accordance with the provisions of Article 2.

3. Meetings

- 3.1 The Annual Meeting of the Joint Committee shall be held each year on such a day in the month of March, April, May or June as the Joint Committee may fix, to deal with any other business normally transacted at an annual meeting.
- 3.2 The Joint Committee shall meet throughout the municipal year in accordance with its agreed calendar of meetings, but additional meetings may take place should the need arise. The dates and times of meetings of the Joint Committee (including the Annual Meeting and extraordinary meetings) shall be determined by the Joint Committee. Such meetings shall be held at a venue determined by the Chair. Save as provided elsewhere in these Procedure Rules all meetings of the Joint Committee, sub-committees and working party meetings shall be summoned by the Proper Officer of the host authority.
- 3.3 An extraordinary meeting of the Joint Committee may be called at any time by the Chair. If the Chair refuses to call an extraordinary meeting of the Joint Committee after a requisition for that purpose signed by three Members of the Joint Committee has been presented to him/her or if, without so refusing, the Chair does not call an extraordinary meeting within seven days after the requisition has been presented to him/her then any three Members of the Joint Committee, on that refusal, or on the expiration of those seven days, as the case may be, may forthwith call an extraordinary meeting of the Joint Committee.
- 3.4 No business shall be considered at any extraordinary meeting save such as is specified in any requisition of the Joint Committee calling such meeting, or as the case may be, in the requisition presented to the Chair by Members.

4. Chair and Vice-Chair

- 4.1 Article 4 sets out the arrangements for the appointment of Chair and Vice-Chair of the Joint Committee.

- 4.2 If the Chair is absent from a meeting the Vice-Chair, if present, shall preside.
- 4.3 If both the Chair and Vice-Chair are absent from a meeting of the Joint Committee, such Member as the Members of the Joint Committee present so choose, shall preside.
- 4.4 Any power or duty of the Chair in relation to the conduct of a meeting may be exercised by the person presiding at the meeting.

5. Quorum

- 5.1 The quorum for a meeting will be one third of the total of the members of the Committee who are entitled to vote.
- 5.2 If during a meeting the Chair, after counting the number of Members present, declares that there are not one third of the Members present, who are entitled to vote, the meeting shall stand adjourned. The names of those Members who are present shall be recorded in the minutes of the meeting. Consideration of any business not transacted shall be adjourned to a date and time fixed by the Chair at the time the meeting is adjourned, or if s/he does not so fix a date and time, to the next meeting of the Joint Committee.

6. Chair's Announcements

- 6.1 No discussion shall take place on any announcement made by the chair of the meeting, but any Member shall be at liberty to move a motion, without notice, to refer the subject matter of any such announcement to the next ordinary meeting of the Joint Committee and such motion, on being seconded, shall be at once put to the vote.

7. Order of Business

- 7.1 Except as otherwise provided by paragraph 7.2 of this Rule, the order of business at every meeting of the Joint Committee other than the annual meeting and any extraordinary meeting shall be:-
 - (a) To choose a person to preside if the Chair and Vice-Chair are absent;
 - (b) Apologies for absence;
 - (c) To receive disclosures by Members of interests in matters under consideration;
 - (d) To approve as a correct record and sign the minutes of the last meeting of the Joint Committee;
 - (e) To deal with any business expressly required by statute to be done;
 - (f) Chair's announcements;
 - (g) To dispose of business, if any, remaining from the last meeting;
 - (h) To receive minutes of sub-committees;

- (i) To receive and consider reports, if any, from sub-committees;
- (j) To receive and consider reports from constituent authorities;
- (k) To receive minutes of and recommendations from other bodies;
- (l) To consider motions, if any, in the order in which notice has been received;
- (m) To deal with other business, if any, specified in the summons.

7.2 The Chair may at any meeting vary the order of business so as to give precedence to any business as seems appropriate and/or which in his/her opinion is of special urgency but such a variation shall not displace any business falling under items (a), (b), (d) or (e) in paragraph 7.1 of this Rule.

7.3 At any extraordinary meeting of the Joint Committee the minutes of the last ordinary meeting of the Joint Committee will not be considered. The minutes of an extraordinary meeting of the Joint Committee will be submitted where possible to the next ordinary meeting of the Joint Committee.

8. Notice of Motion

8.1 Except as provided by Rule 9, every notice of motion shall be in writing, signed by the Member or Members of the Joint Committee giving the notice and delivered by email or in person at least seven clear days before the next meeting of the Joint Committee at the office of the Head of Paid Service of the host authority, by whom it shall be dated, numbered in the order in which it is received and a record kept, which shall be open to the inspection of every Member of the Joint Committee during normal office hours.

8.2 Every motion shall be relevant to some matter in relation to the Joint Committee's powers or duties.

8.3 The Head of Paid Service of the host authority shall set out in the summons for every meeting of the Joint Committee motions of which notice has been duly given in the order in which they have been received, unless the Member(s) giving such notice intimated in writing, when giving it, that s/he proposed to move it at some later meeting or has withdrawn it in writing.

8.4 If a motion set out in the summons is not moved either by a Member who gave notice thereof or by some other Member on his/her behalf, it shall, unless postponed by consent of the Joint Committee, be treated as withdrawn and shall not be moved without fresh notice.

9. Motions which may be moved without notice

9.1 The following motions may be moved without notice:

- (a) Appointing a Chair of the meeting at which a motion is moved;

- (b) Motions relating to the accuracy of the minutes;
- (c) That an item of business specified in the summons has precedence;
- (d) Appointment of a sub-committee or members thereof occasioned by the appointment;
- (e) That leave be given to withdraw a motion;
- (f) That leave be given to withdraw in whole or in part or amend the minutes or proceedings of the Joint Committee or any sub-committee;
- (g) That the Joint Committee proceeds to the next business;
- (h) That the question be now put;
- (i) That the debate be now adjourned;
- (j) That the Joint Committee does now adjourn;
- (k) Amendments to any motion to approve the Minutes or proceedings of the Joint Committee or any sub-committee any part of which has been withdrawn or amended in accordance with Rule 9(f);
- (l) Suspending Procedure Rules in accordance with Rule 18;
- (m) A motion, under Part 1 of Schedule 12A to the Local Government Act 1972 (relating to admission to meetings of local authorities);
- (n) That a Member named under Rule 12 be not further heard or do leave the meeting;
- (o) Giving consent or leave of the Joint Committee where the consent or leave of the Joint Committee is required by these Procedure Rules;
- (p) That the subject matter of an announcement made by the chair of the meeting be referred to the next meeting of the Joint Committee or the appropriate sub-committee;
- (q) Approval or amendment of recommendations of Officers and any consequential resolutions.

10. Amendments to Motions

- 10.1 Normally, no motion to amend a motion other than a motion which may be moved without notice under Rule 9 shall be moved at any meeting of the Joint Committee unless not less than 24 hours' notice in writing of the motion, signed by the Member(s) giving notice, is delivered to the Monitoring Officer of the host authority. The Head of Paid Service of the host authority shall inform the Chair of the Joint Committee of any such amendments so received.

11. Rules of Debate

- 11.1 A motion or amendment shall not be discussed unless it has been proposed and seconded.
- 11.2 An amendment shall be relevant to the motion and shall be either:–

- (a) to refer a subject of debate to the next meeting of the Joint Committee or the sub-committee for consideration or re-consideration; or
 - (b) to leave out words and insert or add others; or
 - (c) to insert or add words;but such omission, insertion or addition of words shall not have the effect of negating the motion before the Joint Committee.
- 11.3 Only one amendment may be moved and discussed at a time and no further amendment shall be moved until the amendment under discussion has been disposed of.
- 11.4 When an amendment has been lost, other amendments may be moved on the original motion. If an amendment is carried, the motion as amended shall take the place of the original motion and shall become the motion to which any further amendment may be moved.
- 11.5 When a motion is under debate no other motion shall be moved except the following:-
 - (a) to amend or withdraw the motion provided that the notice of amendment has been properly given in accordance with these Procedure Rules;
 - (b) to adjourn the meeting;
 - (c) to proceed to the next business;
 - (d) that the question be now put;
 - (e) that a Member be not further heard.
- 11.6 The ruling of the Chair on a point of order or on the admissibility of a personal explanation shall not be open to discussion.
- 11.7 A Member who does not have the right to vote on a matter shall have the same rights to speak on a matter as a Member with the right to vote on that matter.

ACCESS TO INFORMATION PROCEDURE RULES

These rules are a summary of rights to attend meetings of the D2 Strategic Leadership Board, its sub-committees, and of access to documents. The host authority for the Joint Committee will keep at its principal office a summary of various rights to attend meetings and to inspect documents in the possession of that authority on behalf of the Joint Committee, conferred by law.

1. Access

- 1.1 A meeting of the Joint Committee (including meetings of its sub-committees) is open to the public, except as stated in Rules 1.2 and 1.3 below.
- 1.2 The public must be excluded from a meeting during any item of business whenever it is likely that, if they were present, confidential information would be

disclosed in breach of the obligation of confidence. Confidential information means information provided on a confidential basis by a government department, and information the disclosure of which is prohibited by statute or by Court order.

- 1.3 The public may be excluded by resolution during an item of business whenever it is likely that there would be disclosure to them of 'exempt information'. Exempt information is defined to cover such matters as personal information, financial and business affairs of people or companies with whom the Authority has dealings, action likely to lead to criminal proceedings, matters relating to industrial relations consultations and negotiations and matters relating to legal proceedings. A description of 'exempt information' is set out in Schedule 12A to the Local Government Act 1972, as amended.

2. Access to Agendas and Reports

- 2.1 Copies of the agenda and reports for a meeting of the Joint Committee or of any of its sub-committees must be open for inspection by the public, except for any report on an item during the consideration of which the meeting is not likely to be open to the public. Documents must be available five clear days before the meeting, or as soon as the meeting is convened, or the item added to the agenda, if that is less than five clear days before the meeting. The papers will be available through the following website (insert link) and at the offices of the host authority.
- 2.2 A reasonable number of copies of agendas and reports must be available for members of the public present at a meeting. The agendas and reports must also be made available to the media on request.

3. Key Decisions

- 3.1 A "Key Decision" means a decision of a decision maker, which is likely—
 - (a) to result in the incurring of significant expenditure, or the making of significant savings, having regard to the Joint Committee's budget for the service or function to which the decision relates; or
 - (b) to be significant in terms of its effects on persons living or working in an area comprising two or more wards or electoral divisions in the area of the participating authorities

In relation to expenditure or savings referred to in 3.1(a), as a guide, this will ordinarily be taken to mean that a Key Decision will result in expenditure or savings in excess of £0.25M.

4. Procedures before taking Key Decisions

- 4.1 Notice – Where a decision maker intends to make a Key Decision that decision must not be made until a notice has been published which states:

- (a) that a key decision is to be made in relation to the discharge of functions which are the responsibility of the Joint Committee;
- (b) the matter in respect of which the decision is to be made;
- (c) the decision maker's name, and title if any;
- (d) the date on which, or the period within which, the decision is to be made;
- (e) a list of the documents submitted to the decision maker for consideration in relation to the matter in respect of which the key decision is to be made;
- (f) the address from which, subject to any prohibition or restriction on their disclosure under Rule 1.3, copies of, or extracts from, any document listed is available;
- (g) that other documents relevant to those matters may be submitted to the decision maker; and
- (h) the procedure for requesting details of those documents (if any) as they become available

4.2 Subject to Rule 10 (general exception) and Rule 11 (special urgency), a key decision may not be taken unless:

- (i) the notice referred to at 4.1 above has been published —
 - (a) if the Joint Committee has a website, on its website; or
 - (b) otherwise, in such manner as it thinks is likely to bring the notice to the attention of persons who live in its area; and made available for inspection by the public at the offices of the host authority;
- (ii) at least twenty eight clear days have elapsed since the publication of the notice; and
- (iii) where the decision is to be taken at [or in the presence of] a meeting of the Joint Committee or its sub-committees, notice of the meeting has been given in accordance with 2.1 (notices of meetings) above.

4.3 Where, in relation to any matter—

- (i) the public may be excluded under section 100A of the Local Government Act 1972 from the meeting at which the matter is to be discussed; or
- (ii) documents relating to the decision need not, because of Rule 6 (confidential information), be disclosed to the public, the notice referred to above must contain particulars of the matter but may not contain any confidential information or exempt information.

5. Notice of a Key Decision – Cases of Special Urgency

5.1 Where the date by which a key decision must be made makes compliance with Rule 4 impracticable, the decision may only be made where the decision maker has obtained agreement from the Chair of the Joint Committee or, in the absence of the Chair, the Vice-Chair of the Joint Committee that the making of the decision is urgent and cannot reasonably be deferred.

5.2 As soon as reasonably practicable after the decision maker has obtained agreement under paragraph 5.1 that the making of the decision is urgent and cannot reasonably be deferred, the decision maker must –

(a) make available to the public at the offices of the host authority a notice setting out the reasons why the meeting is urgent and cannot reasonably be deferred; and

(b) publish that notice on the Joint Committee’s website, if it has one.

6. Inspection of Background Papers

6.1 Members of the public may also inspect a list of background papers for any report (except those reports containing ‘confidential’ or ‘exempt’ information) and a copy of each of the documents included in that list. This right is available as soon as the report to which the list relates is published, and continues for four years from the date of the meeting. (In the case of the public right to inspect background papers, the right is subject to their production as soon as is reasonably practicable after the request is made). Background papers disclosing confidential or exempt information are not required to be listed, but, if they are listed, they will not be open to inspection.

6.2 Background papers are documents which relate to the subject matter of a report, disclose any fact or matter on which the report is based, and have been relied on to a material extent in preparing the report - but exclude any published work. Requests for inspection of such documents should be made to the Monitoring Officer of the host authority who will arrange for the production of such documents as soon as reasonably practicable after the request.

7. Additional Access for Members of the Joint Committee

7.1 Any document in the possession or under the control of the Joint Committee which contains material relating to any business to be transacted at a meeting is open to inspection by a member of the Joint Committee.

7.2 Where a document discloses certain specified categories of exempt information it need not be open to inspection by a member. These categories relate mainly to personal information relating to crime or legal proceedings, or matters concerned with negotiations or industrial relations.

8. Publication of additional information

8.1 The host authority for the Joint Committee must maintain a register stating the name of every member of the Joint Committee and sub-committees and their appointing council. The register is published on the website and is also open to inspection by the public at the offices of the host authority.

8.2 The host authority for the Joint Committee will maintain a list specifying the powers delegated to individual authorities or specific officers, and stating the title of the officer by whom each of those powers is exercisable. The list is

published on the website of the host authority and also open to public inspection, but excludes delegations of less than six months' duration.

9. Documents deposited with the Joint Committee

9.1 Documents may be required to be deposited with a proper officer of the host authority for the Joint Committee, either under an Act of Parliament or statutory instrument, or pursuant to the Standing Orders of either House of Parliament. A person interested in any such document may inspect it. Requests should be made to the Monitoring Officer.

10. Other Documents

10.1 Any report received from the Local Government Ombudsman under section 30 of the Local Government Act 1974 must normally be open to public inspection for a period of three weeks, but the Ombudsman may direct that a particular report shall not be publicly available.

10.2 Where a public inquiry is to be held into a compulsory purchase order made by the Joint Committee, a statement of the Joint Committee's case to the inquiry, together with copies of any documents it intends to submit to the inquiry, must be made available for inspection by any person on request.

10.3 The Local Government (Inspection of Documents) (Summary of Rights) Order 1986 lists many other statutory provisions under which documents are required to be made available to the public.

11. Fees

11.1 No fee will be charged for providing the facility of inspecting background papers.

11.2 A person who is entitled to inspect a document may (unless copyright law forbids it) make copies of, or extracts from it, or require a photographic copy of, or extract from, the document. The host authority for the Joint Committee reserves the right to make a charge for providing copies of documents.

12. Disorderly Conduct

12.1 If at a meeting any Member of the Joint Committee in the opinion of the Chair misconducts himself/herself by persistently disregarding the ruling of the Chair or by behaving irregularly, improperly, or offensively, or by wilfully obstructing the business of the Joint Committee, the Chair may move 'That the Member named be not further heard' and the motion if seconded shall be put and determined without discussion.

12.2 If the Member named continues his/her misconduct after a motion under the foregoing paragraph has been carried the Chair shall either move 'That the Member named do leave the meeting' (in which case the motion shall be put and determined without seconding or discussion), or adjourn the meeting of the Joint Committee for such period as s/he in his/her discretion shall consider expedient.

- 12.3 In the event of general disturbance which in the opinion of the Chair renders the due and orderly dispatch of business impossible, the Chair in addition to any power vested in him/her may, without question put, adjourn the meeting of the Joint Committee for such period as s/he in his/her discretion shall consider expedient.

13. Rescission of Previous Resolution

- 13.1 No motion to rescind any resolution passed within the preceding six months, and no motion or amendment to the same effect as one which has been rejected within the preceding six months shall be proposed unless the notice thereof given in pursuance of Rule 8 bears the names of at least five Members of the Joint Committee. When any such motion or amendment has been disposed of by the Joint Committee, it shall not be open to any Member to propose a similar motion within a further period of six months.
- 13.2 Provided that this Rule shall not apply to motions moved by the Chair or other Members of the Joint Committee in pursuance of a recommendation of a sub-committee.

14. Mode of Voting

- 14.1
- (a) Every proposition shall, unless otherwise required by these Procedure Rules or statute, be determined by show of hands.
 - (b) In taking the votes on any proposition, only those Members who are present in the room when the proposition is put from the chair shall be entitled to vote.
 - (c) After a proposition is put from the Chair but before the vote is taken, any three Members by show of hands may require that the voting shall be recorded in the minutes of the meeting so as to show whether each Member present gave his/her vote for or against that proposition or abstained from the voting.
 - (d) Except where a recorded vote has been taken, any Member who is present when the vote was taken may require that his/her vote for or against the question or abstention shall be recorded in the minutes by notifying the Head of Paid Service of the host authority.
- 14.2 Where there are more than two persons nominated for any position to be filled by the Joint Committee and of the votes given there is not a majority in favour of one person, the one having the least number of votes shall be struck off the list and a fresh vote shall be taken, and so on, until a majority of votes is given in favour of one person.
- 14.3 In the case of an equality of votes the Chair shall have a second or casting vote.

15. Urgent Business

15.1 The Head of Paid Service, Chief Financial Officer and the Monitoring Officer of the host authority shall each be empowered individually to take any action which is required as a matter of urgency in the interests of the Joint Committee, after consultation (where practicable) with the Chair of the Joint Committee, on behalf of and within the powers and duties of the Joint Committee. All such action shall be reported to the next meeting of the Joint Committee.

16. Variation and Revocation of Procedure Rules

16.1 Any motion to add to, vary or revoke these Procedure Rules shall when proposed and seconded stand adjourned without discussion to the next ordinary meeting of the Joint Committee, provided that this Rule shall not apply to any review of Procedure Rules at the annual meeting of the Joint Committee.

17. Suspension of Procedure Rules

17.1 No Rule shall be suspended at any meeting of the Joint Committee except on the vote of a majority of the members then present.

18. Recordings at Meetings

18.1 The Local Audit and Accountability Act allows persons:

- (a) To film, photograph or make sound recordings of proceedings at a meeting of a body to which this section applies, or of a committee or - sub-committee of such a body;
- (b) To use other means for enabling persons not present at such a meeting to see or hear proceedings at the meeting, as it takes place or later;
- (c) To report or provide commentary on the proceedings at such a meeting orally or in writing, so that the report or commentary is available, as the meeting takes place or later, to persons not present at the meeting.

19. Record of Attendance

19.1 Every Member of the Joint Committee attending a meeting or a meeting of a sub-committees of which s/he is a member, shall have their attendance recorded and published through the website of the host authority.

20. Appointment of Sub-Committees

20.1 The Joint Committee may establish such sub-committees as it deems appropriate or it is required to appoint by or under any statute.

20.2 Subject to any statutory provision in that behalf the Joint Committee:–

- (a) shall not appoint any member of a sub-committee so as to hold office later than the next annual meeting of the Joint Committee;
- (b) may at any time dissolve a sub-committee or alter its membership; every vacancy on a sub-committee shall be reported by the Head of Paid Service of the host authority at the first meeting of the Joint Committee after the vacancy has arisen and the Joint Committee may thereupon proceed to fill the vacancy.

- 20.3 The Joint Committee may appoint sub-committees for purposes to be specified by the Committee and, subject to these Procedure Rules and to any resolution of the Joint Committee in that behalf, may delegate to any such sub-committee any power or duty delegated by the Joint Committee.
- 20.4 The Chair and Vice-Chair of the Joint Committee shall be ex-officio members of every sub-committee appointed by the committee.
- 20.5 The membership of a sub-committee may include persons who are not members of the Joint Committee by which the sub-committee was appointed, however where such persons are not Members of the Joint Committee, they shall be appointed as non-voting members.
- 20.6 A Joint Committee shall not appoint any member of a sub-committee so as to hold office later than the next annual meeting of the Joint Committee and may at any time dissolve a sub-committee or alter its membership.

21. Quorum of Sub-Committees

- 21.1 Except where ordered by the Joint Committee or authorised by statute, or set out in the specific terms of reference of a sub-committee, business shall not be transacted at a meeting of any sub-committee unless at least one third of the whole number of members of the sub-committee who are entitled to vote is present, provided that in no case shall the quorum of a sub-committee be less than three members.

22. Procedure Rules to Apply to Committees and Sub-Committees

- 22.1 These Procedure Rules shall, with any necessary modifications, apply to meetings of sub-committees.

23. Interpretation

- 23.1 The decision of the chair of the meeting on the question of the construction of the Procedure Rules and on any question of order not provided for by the Procedure Rules shall be final.
- 23.2 The inclusion or exclusion of any specific matters in any other regulation or resolution shall not be construed as limiting in any way the scope of these Procedure Rules.
- 23.3 Where the Monitoring Officer is not a solicitor holding a current practising certificate for the expression "Monitoring Officer" in these Procedure Rules there shall be substituted the expression "the solicitor to the Joint Committee" wherever it is appropriate and where there is a requirement at law that such action is to be taken by a solicitor.

24. Procedure Rules to be Given to Members

- 24.1 A printed copy of these Procedure Rules and any other documents in respect of governance of the Joint Committee shall be given by the Monitoring Officer

of the host authority to every Member of the Joint Committee on his/her first being appointed to the Joint Committee.

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FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

Thursday 13 June 2024

Report of the Executive Director - Place

**Acceptance and Usage of a Department for Transport Grant to Improve
Traffic Signal Timings and Refurbish Obsolescent Signal Equipment**
(Cabinet Member for Highways, Assets and Transport)

1. Divisions Affected

1.1 County-wide.

2. Key Decision

2.1 This is a key decision because it is likely to result in the Council incurring expenditure which is, or savings which are significant having regard to the budget for the service or function concerned (this is currently defined as £500,000) and it is likely to be significant in terms of its effect on communities living or working in an area comprising two or more electoral areas in the County.

3. Purpose

3.1 To seek Cabinet approval to accept a Department for Transport Grant of £641,217.87 which will be allocated to the improvement of Traffic Signal Timings and Refurbish Obsolescent Signal Equipment at appropriate sites throughout Derbyshire with work to commence June 2024, at the latest.

4. Information and Analysis

- 4.1 In December 2023, the Department for Transport (DfT) invited all English local authorities outside London to bid for £500,000 for improving traffic signal timings termed a Green Light Fund (GLF). Also, within the same grant funding initiative, the DfT would be offering monies from the Traffic Signal Obsolescence Grant (TSOG) fund based on existing formula for allocation. The Council's traffic signal specialists submitted an application to the GLF to meet the required deadline.
- 4.2 In March 2024, the Council was formally notified that the bid had been accepted and was successful under the Green Light Fund (GLF), and that in addition to the £500,000 for improving signal timings, a further £141,217.87 had been awarded via the TSOG under the existing formula allocation. All monies were transferred to the County Council by the DfT in late April 2024, in advance of any request being made by the Council. Instructions contained within the grant conditions specified that detailed plans for expenditure must be submitted to the DfT by 30 April 2024 (subsequently extended to 31 May 2024). Derbyshire's submission was made on 30 April 2024. GLF and TSOG monies must be spent in entirety by 31 March 2026. Should Cabinet decide not to proceed with the GLF and TSOG work, the monies will need to be returned to the DfT.
- 4.3 The initial proposals submitted to the DfT on 30 April 2024 note that, prior to commencement of work on site, a detailed investigation will be conducted to analyse where predictable and pseudo random congestion takes place, which will be analysed in tandem with an assessment of where the grant can be most beneficially applied. This will also be prioritised towards the Council's wider highways capital programme, to support these planned projects where necessary and relevant. It is expected that this work will result in significant improvements, in a short timescale, at many traffic signal junctions throughout Derbyshire.
- 4.4 An important element of the GLF work is the active assessment of the benefit of the work, so as to allow application elsewhere in Derbyshire (should suitable additional funding be available) and also disseminate findings to the DfT for the benefit of other local transport authorities.

5. Consultation

- 5.1 No consultation is planned as any works or measures will not require substantial works and will be incorporated into the Council's existing highways capital programme plans. In the instance that traffic

management measures are necessary, normal procedures for such works will be carried out.

6. Alternative Options Considered

- 6.1 Option 1: Do Nothing – This would involve refusing the grant and reimbursing the DfT with the monies that have already been transferred to the County Council. Taking this option would have substantial reputational damage and would most likely reduce the likelihood of success when bidding for future monies. Most importantly, taking the “do nothing” approach would lose the opportunity for improving signal timings and reducing delays in normal and abnormal circumstances, as well as delivering an improvement to Derbyshire Highways’ signal infrastructure asset. This option is not recommended.
- 6.2 Option 2: Accept the grant and use for other purposes – This would contravene the grant conditions and is therefore not recommended.
- 6.3 Option 3: Accept the grant and use for the purposes intended – As this will benefit the road users in Derbyshire and as the work is 100% funded by the grant, this is the recommended option.

7. Implications

- 7.1 Appendix 1 sets out the relevant implications considered in the preparation of the report.

8. Background Papers

- 8.1 Letter of Grant and conditions.

9. Appendices

- 9.1 Appendix 1 – Implications

10. Recommendation

That Cabinet:

- a) Approves the acceptance of a Department for Transport Grant of £641,217.87 which will be allocated to the improvement of Traffic Signal Timings and Refurbish Obsolescent Signal Equipment at appropriate sites throughout Derbyshire with work to commence June 2024, at the latest.

11. Reasons for Recommendation

- 11.1 The DfT grant is in addition to other programmes of work and offers the opportunity to make significant positive improvements to road conditions and the traffic signal asset. The necessary specialist staff are already available due to current engagement on the DfT funded Bus Service Improvement Fund work.
- 11.2 It is known that the DfT is about to offer a £2 million grant for additional traffic signal work and, therefore, Derbyshire needs to continue to show that the DfT's grant monies are used beneficially for the purpose intended, which will maximise the likelihood of being successful with future grant applications.

12. Is it necessary to waive the call in period?

- 12.1 No.

Report Author: Adrian Withill

Contact details: Adrian.Withill@derbyshire.gov.uk

Implications

Financial

- 1.1 Fully funded by the DfT so no call on existing or future Council funding is necessary.

Legal

- 2.1 None associated with this report.

Human Resources

- 3.1 All the necessary specialist designers are in place and will be available to the timescale of the grant.

Information Technology

- 4.1 None.

Equalities Impact

- 5.1 No implications on equalities.

Corporate objectives and priorities for change

- 6.1 The planned work funded by the DfT grant is in accordance with the Council's policies to minimise delays on the highway network in any given circumstance.

Other (for example, Health and Safety, Environmental Sustainability, Property and Asset Management, Risk Management and Safeguarding)

- 7.1 No other specific implications are present, but the delivery of project work will be managed in accordance with normal procedures where risks and mitigations will be catalogued and applied as work progresses.

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FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

13 June 2024

Report of the Executive Director of Children's Services

Children's Services Capital Allocations S106

(Cabinet Member for Education)

1. Divisions Affected

1.1 County-wide

2. Key Decision

2.1 This is a key decision because it is likely to result in the Council incurring expenditure which is significant having regards to the budget for the service or function concerned. This level is set at £500,000. It is also significant in terms of its effect on communities living or working in an area comprising two or more electoral areas in the County.

3. Purpose

3.1 To inform Cabinet of the receipt of recent Section 106 developer contributions and to seek approval for the allocation of those contributions to projects in line with the individual Section 106 agreements. To also inform Cabinet of the return of Section 106 contributions that have exceeded the spend date, in line with the individual Section 106 agreement.

4. Information and Analysis

- 4.1 Appendix 2 details the S106 contributions that have been received and/or allocated by the Authority. The Appendix details the schools that are to benefit from the investment, together with the planned projects.

Appendix 2 details the S106 contributions to be returned to the developer due to expiry of spend date, in line with the individual section 106 Legal Agreement.

5. Consultation

- 5.1 Not applicable

6. Alternative Options Considered

- 6.1 Developer contributions are to be utilised as per the S106 agreements. If we did not allocate these contributions the funding for additional school places related to the growth in housing would have to come from Basic Need.

7. Implications

- 7.1 Appendix 1 sets out the relevant implications considered in the preparation of the report.

8. Background Papers

- 8.1 These are held on file in the Children's Services Development Section

9. Appendices

- 9.1 Appendix 1- Implications.
9.2 Appendix 2 – Proposed schemes.

10. Recommendation(s)

That Cabinet:

- a) Notes the receipt/availability of S106 funding and approves allocations to the projects outlined in Appendix 2.
- b) Acknowledges expiry of spend date of Section 106 funding and approves return of funds to developer.

11. Reasons for Recommendation(s)

- 11.1 The approval of the S106 allocations will ensure that the funding can be spent in line with the agreement in the allotted time available and ensure there is sufficient capacity at schools in the County.

The approval of the return of the expired S106 allocations to the developer will ensure the Local Authority adheres to the individual Section 106 Agreement held between the Local Authority and the Developer.

12. Is it necessary to waive the call in period?

- 12.1 No

Report Author: Nicola Ward

Contact details: x35402

Implications

Financial

- 1.1 The contributions are wholly S106 Developer Contributions. Appendix 2 summarises the funds received. The total S106 to allocate is **£2,152,796.36** Appendix 2 summarises total spend date expired S106 funds to be returned in the sum of **£33,982.96**.

Legal

- 2.1 The projects and return of expired Section 106 funds are agreed in line with the individual S106 legal agreements.

Human Resources

- 3.1 None

Information Technology

- 4.1 None

Equalities Impact

- 5.1 No impact

Corporate objectives and priorities for change

- 6.1 Not applicable

Other (for example, Health and Safety, Environmental Sustainability, Property and Asset Management, Risk Management and Safeguarding)

- 7.1 Subject to funding approval the design and project delivery will either be procured via Concertus Derbyshire Ltd or via the schools.

Appendix 2

School	Development	Funds £	Project
Laceyfields Academy	North Street, Langley Mill AVA/2001/1214.	35.92	On 26 July 2018, Cabinet approved £86,000.00 for a small extension to create a group room. On 2 January 2019, Cabinet approved a further £94,144.93 additional funding to progress the project. On 3 March 2022 a further £17,158.19 was approved by cabinet to complete the project. Indexation of £35.92 on the total S106 monies received. Receipt is to repay SCA 2018/19.
Leys Junior School	Outseats Farm, AVA/2012/0084 £316,558.93 Greenhill Lane, Leabrooks AVA/1998/1074 £67,100.02.	383,658.95	On 5 April 2018 Cabinet approved £503,000 for 2 additional classrooms to expand the school to 2 form entry. Receipts of £383,658.95 are required to repay Basic Need 2017/18.
The Ecclesbourne School	Ashbourne Road, Kirk Langley AVA/2017/0502 £115,082.26 & AVA/2018/1006 £244,474.29 & AVA/2021/0004 £380,880.97. Derby Road, Duffield AVA/2019/0424 £81,405.35. Moor Lane, Kirk Langley AVA/2020/1226 £287,258.47. Radbourne Lane AVA/2009/0359	1,680,563.91	On 20 July 2017 Cabinet approved S106 allocations of £52,980. On 22 February 2018 a further £70,637.75 S106 was approved. On 11 March 2020 Cabinet approved further allocation of £1,163,701 S106 from the Keddlestone Road Development AVA/2014/0928 Due to significant housing growth and in order to meet increased demand for school places the school took the decision

	£8,837.96. Kedlestone Road AVA/2014/0928 £562,624.61		to meet the expenditure of a phased expansion on the basis they would be refunded once S106 funds were received into the Local Authority. Receipts of £1,668,563.91 are required to refund The Ecclesbourne School for the costs of their phased expansion project to date.
Belmont Primary School	Eureka Lodge, Newhall Road, Swadlincote 9/2016/0094 £37,334.02. 477a Burton Road, Midway, Swadlincote 9/2004/1212 £14,000. (South Derbyshire)	51,334.02	On 5 October 2017, Cabinet approved £9,431 for internal remodelling to create additional classroom accommodation. On 12 September 2019 Cabinet approved a further £134,311 to this project. Receipts of £51,334.02 are required to proceed and complete the project. (£14,000 from Development No. 9/2004/1212 is available from South Derbyshire to allocate to this project).
The Eckington School	Broomhill Farm, Eckington 08/00679/FL.	33,982.96	In accordance with Individual S106 Legal Agreement, to refund back to the Developer as S106 funds have exceeded their spend date. North East Derbyshire District Council originally received these funds from the developer on 9 January 2019 and held until 13 April 2021 when they were paid over to the Local Authority. (NB. The Local Authority were not a signatory to the S106

			funds).
Repton Primary School	Askew Lodge, Milton Road, Repton 9/2017/0194.	37,203.56	A new project to provide a canopy to accommodate additional teaching spaces. Receipts are required to progress and complete this project.
Total S106 to allocate to projects		1,769,101.49	
Total date expired S106 to refund to developer		33,982.96	
Total S106 to reimburse Basic Need and SCA	2018-19 SCA 2017-18 BN	35.92 <u>383,658.95</u> <u>383,694.87</u>	
Total S106 Received		2,152,796.36	
Total S106 Returned		33,982.96	

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FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

Thursday, 13 June 2024

Report of the Executive Director - Corporate Services and Transformation

ICT Strategy & Digital Services Target Operating Model
(Cabinet Member for Corporate Services and Budget)

1. Divisions Affected

County-wide

2. Key Decision

- 2.1 This is a key decision because it is likely to result in the Council incurring expenditure which is, or savings which are significant having regard to the budget for the service or function concerned (this is currently defined as £500,000). The strategy and Target Operating Model (TOM) are wide-ranging, but the full costs and benefits will be presented in future specific business cases as the strategy moves into the implementation phases.

3. Purpose

- 2.2 To note the inherent risks relating to the current ICT service and progress already made through initial stabilisation activity.
- 2.3 To approve the council's ICT Strategy (Appendix 2).
- 2.4 To approve the associated Digital Services Target Operating Model (Appendix 3).

2.5 To note alternative options considered.

3. Information and Analysis

Overview

- 4.1. DCC's ICT department and services have evolved over time. The evolution has, however, fallen behind that of similar sized councils, many of whom have adopted industry standards, best practice, and a more proactive approach to updating their applications, infrastructure and service portfolio. The result is that DCC's technology and application estate is now an outlier in comparison.
- 4.2. The council's requirement for an effective, well-integrated and managed ICT Service is growing, with a significant and growing reliance on the ICT Service (now Digital Services) for the provision of technology support to day-to-day service delivery, and to enable efficiencies across the whole council. This requirement is magnified by the council's financial position. To meet this requirement effectively, the organisational approach to Digital Services needs to change.
- 4.3. In March 2024, Cabinet approved a Digital Strategy to support the ambitions of the Council Plan, which clearly defines the council's digital vision for the future, and the core principles which will allow the council to achieve its vision.
- 4.4. To enable the Digital Strategy, significant improvements are required in the council's technology infrastructure, which underpins all the council's key business applications. These improvements were described in the Cloud Strategy, which was approved by Cabinet in April 2024.
- 4.5. To support the Digital Strategy and to deliver and support the Cloud Strategy, it is therefore now important to set out here the strategic direction for the ICT Service, and to describe the new Target Operating Model for Digital Services which will enable these objectives. It should also be noted that following the Cabinet decisions in December 2023 to create the new Director Digital post and to recruit into the new ICT leadership team, from 7th May 2024 the new Digital Services division has been created and the current ICT Service is being subsumed into that new division.
- 4.6. The sections below detail:
 - The actions taken to date.

- Why further change is needed.
- The core objectives of the ICT Strategy, and how it supports the Council Plan through the Digital and Cloud strategies.
- An outline of the financial impact.
- The other options considered.

Actions taken to date:

In recent months, actions have been taken to stabilise the service including:

- The Executive Director of Corporate Services and Transformation instigated an ICT stabilisation programme through Socitm Advisory.
- An external ICT Senior Management Team (G15 & G16) was appointed to modernise ICT, including the introduction of industry standards and best practices.
- A Digital Maturity Assessment was conducted to assess areas for improvement.
- A council-wide Digital Strategy was developed, shared, and then approved by Cabinet in March 2024.
- A detailed cloud migration assessment was conducted to inform the level of investment required to minimise on-premise technology, and from this work a Cloud Strategy was created, shared and then approved by Cabinet in April 2024.
- A Target Operating Model for the Digital Services division, to accompany this ICT Strategy, has been developed and working with the PMO an ICT Transformation Programme has been proposed, which includes the implementation of the Target Operating Model.

ICT improvements have focussed on remediating the most immediate, critical risks. These improvements were:

- Stabilising staffing through communication and engagement initiatives, recognising areas of low resource and morale, and through recruitment campaigns supported by HR.
- Introduction of team-based service improvement plans
- Introduction of industry-standard ITIL-based service management methodologies (service desk, incident management, problem management and change management), including service-wide ITIL Foundation training for colleagues.

- A review of systems and applications patching processes and tools, followed by the implementation of an industry standard patching methodology.
- A review of PDR management, putting in place regular reviews for all colleagues in ICT
- A focus on risk and compliance with mandatory staff training requirements.
- Support and implementation of key business projects, such as Mosaic, Alloy/Granicus and SAP HANA

Why further change is needed:

The digital vision described in the Digital Strategy sets out the long-term ambition for Derbyshire County Council:

By adopting a digital transformation approach, we will enhance service delivery, empowering residents and staff to take control of the services they use, enabling better outcomes for people. We will ensure a digitally inclusive approach that provides effective early help to residents.

To deliver this vision ICT needs to change to meet the digital ambitions of the organisation.

The aim of the ICT Strategy is to support and enable DCC's digital vision and strategic objectives as detailed within the Digital Strategy and the Cloud Strategy. Digital Services will act in a transformative support role to enable the wider organisation to deliver on their own strategic ambitions. The new division will implement modern digital, cloud-based solutions using best practices and modern delivery approaches in collaboration with the Portfolio Management Office (PMO). This will enable the use of up-to-date technology and a digital approach across the wider organisation to improve both our internal service delivery and enable more focused delivery from service areas.

To deliver on the ICT objectives, we will follow three simple principles:

- **Simplify** - Reduce the complexity of systems, processes, and services.
- **Digitalise** - Integrate systems and processes to provide end-to-end solutions and insights.
- **Grow** - Develop capabilities and capacity to deliver a customer-centric approach.

So that:

- Service areas make data based driven decisions to proactively target and prioritise need.
- Services are delivered more effectively and efficiently.
- Users will be involved in designing the services they use, making it easier to order and pay for services, and they will be able to track progress as needed.
- Residents and businesses will be able to more easily carry out transactions with DCC and its partner organisations, confident that the information is accurate and up to date.
- Colleagues and partners will have technologies and services that are designed to efficiently meet their needs, especially when away from the office. They will have the right information to make service delivery decisions and take requests at the point of need.

4. Alternative Options Considered

6.1. Do Nothing

Description: Continuing to operate 'as is' with only limited, evolutionary change.

Cost: As per existing budgets, maintaining current service levels.

Risks:

- Continued inconsistent and fragmented approach to the provision and delivery of services, with an ever-increasing gap to user expectations and continued risks to business continuity.
- Ever-increasing demand and pressure on front line support.
- Little or no capacity to support project work, resulting in increased cost, as external resources and skills would be required.
- Difficulty in delivering the ambitions of the approved Digital and Cloud strategies.
- Increasing difficulties recruiting and retaining skilled and motivated staff into an old-fashioned service

Benefits: No Benefit, but an increasing risk profile.

The impact of this option would be:

- Sub-optimal Digital Services business and delivery models, with limited ability to 'join up' ICT to benefit service delivery.

- Increasing risk of service failure, due to aged infrastructure not being supported or being costly to replace.
- Inability to make best use of data across services, by using the available data and technologies to reduce cost and/or improve service.
- Ever-increasing complexity and associated technical debt of the ICT infrastructure, as more point solutions are implemented, rather than considered and planned end-to-end solutions with associated longer-term costs.
- Widening inability to support service areas' delivery of the Council Plan.

6.2. **Approve the ICT Strategy and the Digital Services Target Operating Model**

Description: Approval of the ICT Strategy will strongly support the recently approved Digital and Cloud Strategies, supported by a new Target Operating Model to centralise, standardise and modernise all Digital Services delivery and invest in future-proofing the service. Together, the three interrelated strategies will provide a clear direction of travel, a technology roadmap and an implementation programme that will transform the council's technology platforms and the supporting Digital Services teams and processes, to become an integral part of the council's service delivery, supporting the wider organisation with its transformation ambitions.

Cost: An analysis of the 'As is' and 'To be' structures indicate that the TOM for Digital Services can be delivered within the current allocated budget for the ICT service. Management of change, to support the Director Digital and the Heads of Service in implementing the new TOM is estimated to require additional resource of c.£500k. Any approval for additional funds will be agreed through the council's normal budgeting process.

Risks:

- While the new Director Digital is now in post, recruitment of the Assistant Director and Heads of Service roles that were approved at Cabinet in December, has not yet concluded successfully. Filling these posts will be crucial to the successful implementation of the new TOM.
- The centralisation of Digital budgets and people from service areas is a complex and extensive piece of work that will require detailed

analysis and negotiations to deliver successfully. The resources and skill levels, as well as the time required should not be underestimated.

- Within the Digital Services division there are a relatively high number of vacancies that have been held open in anticipation of the forthcoming TOM changes. To build an effective service it is unlikely that all these vacancies will be filled by internal colleagues. The new TOM roles will require specialist skills which may be in high demand both internally and externally, which may constrain the speed of implementation or have a negative impact upon costs.

Benefits: The move from a very traditional ICT Service based around locally hosted hardware and software, acting in a fix-on-fail capacity, to a flexible, responsive service that engages in a partnership with the council's service areas to enable and support their digital ambitions.

The move will provide the structure, governance, proactive planning and cohesive guidance to build out the necessary strategies, policies, programmes, and supporting activities to deliver a modern digital, cloud-based, Digital Services division.

- Aligned with industry standards and best practices.
- Supporting service delivery of modern, flexible, resilient technology hosting and application services.
- Strong engagement with service areas and peer CST functions.
- Professional management of all digital suppliers, contracts and ongoing vendor management.
- Centralised Digital Services colleagues and contracts to enable economies of scale and efficient use of skills.

5. Implications

- 5.1 Appendix 1 sets out the relevant implications considered in the preparation of the report.

6. Background Papers

None

7. Appendices

- 7.1 Appendix 1 – Implications
- 7.2 *Appendix 2 – ICT Strategy*

7.3 *Appendix 3 – Digital Services Target Operating Model*

8. Recommendation(s)

That Cabinet:

- 8.1 Note the inherent risks relating to the current ICT service and progress already made through initial stabilisation activity.
- 8.2 Approve the council's ICT Strategy (Appendix 2).
- 8.3 Approve the associated Digital Services Target Operating Model (Appendix 3).
- 8.4 To note alternative options considered

9. Reasons for Recommendation(s)

- 9.1 To provide DCC with a clear ICT Strategy for its future technology and the service that supports it, outlining the benefits and likely costs.
- 9.2 To describe the structural and process changes needed to create the new Digital Services division, and the outline timeline and resources that will be required for that activity.
- 9.3 To put in place the right teams to address the current high risk levels associated with aging on-premise infrastructure; most notably to improve the council's resilience and disaster recovery provision.
- 9.4 To drive efficiencies and improved customer service throughout the Service Areas through centralising the use of technology, automation and the proactive use of data.

10. Is it necessary to waive the call in period?

- 10.1 No

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Implications

Financial

- 1.1 The proposals set out in this report in respect of the ICT Strategy and Digital Services Target Operating Model (TOM) are expected to have financial implications for the Council. The immediate costs of the TOM have been assessed but the full financial implications of the ICT strategy are not yet fully identified.
- 1.2 The cost implications of the TOM have been assessed and the staffing structures are expected to be accommodated within existing staffing budgets for ICT on an ongoing basis. There are one-off implementation costs of approximately £0.556m over two years (2024/25 and 2025/26). The implementation costs are an indicative estimate which will be funded from existing budgets where possible. Any requirement for additional funding will be subject to separate approvals.
- 1.3 Delivery of the Digital Strategy is expected to require significant improvements to the Council's technology infrastructure, which underpins all the council's key business applications. These improvements are likely to require some financial investment and detailed costed plans are being developed.
- 1.4 There is a total recurrent revenue budget for ICT services in 2024/25 of £11.390m, of which £7.595m is allocated to staffing and £3.795m to non-staffing costs. The staffing budget allocation is expected to be sufficient to accommodate the TOM on an ongoing basis. Non-staffing budgets are utilised for a range of areas. The most significant non-staffing costs relate to software, where requirements and forecast costs for 2024/25 are currently being reviewed.
- 1.5 The 2024/25 Capital Programme includes an allocation of £5.950m for ICT Services Hardware and Infrastructure which is to be funded from borrowing. This bid was based on an assessment of investment needs undertaken in 2023 and will be subject to review in the context of the Cloud Strategy (approved by Cabinet in April 2024) and the Digital Strategy.
- 1.6 Any requirements for financial investment in excess of the allocated revenue and capital budgets for 2024/25 will need to be considered as part of the 2025/26 financial planning process.

Legal

- 2.1 The Director of Legal Services will advise in relation to any contractual and risk issues which arise in relation to the Council's ICT strategy and associated Digital Services Target Operating Model.

Human Resources

- 3.1 The workforce changes that are required to support the future operating model are under review. A separate Service Implications report will be completed to outline the detailed workforce changes required and the process to be followed to support these changes. There will be full engagement with colleagues impacted and the workforce changes will be managed in line with the councils Redundancy, Redeployment, and protection of earnings policy.

Digital Services

- 4.1 The ICT Leadership Team have been closely involved in the assessment and preparation of the ICT Strategy and the Digital Services TOM and are fully supportive of its aims and objectives.

Equalities Impact

- 5.1 N/A

Corporate objectives and priorities for change

- 6.1 To deliver the Council Plan, Service Areas will need significant digital support and reliable and flexible technology infrastructure and applications to enable them to safely and securely collaborate with partners in new and powerful ways, maximising existing resources to collectively address complex challenges and shape future services to deliver better outcomes for local people and places.

Other (for example, Health and Safety, Environmental Sustainability, Property and Asset Management, Risk Management and Safeguarding)

- 7.1 None

ICT Strategy

1 Executive Summary

This ICT Strategy document seeks to set out the vision and strategy for the future of the ICT service at DCC and ensure it is fit for purpose to deliver on the Council's digital ambitions, as outlined in the Digital Strategy and the Cloud Strategy.

The ICT strategy will deliver a modern, digital, cloud-based ICT service with the capability to support the realisation of DCC's corporate ambitions. Building on the vision, themes, and principles from both the Council Plan, People Strategy and the Digital Strategy, the aim of this strategy is to provide the council with an ICT service which, in addition to operational excellence, can deliver transformational capacity to the wider organisation.

The ICT strategy outlines the existing strategic context, how the Digital Strategy relates to the operational delivery of the ICT service, what ICT will deliver under each of the key themes, the key risks and assumptions made, the impact of the ICT strategy, and the high-level delivery roadmap.

To support the ICT strategy, a separate ICT Target Operating Model has been created to outline the key functional changes needed to deliver the ICT strategy.

2 Strategic Context

DCC's ICT department and services have evolved over time. However, this evolution has fallen behind that of similar-sized councils, many of whom have adopted industry standards, best practice, and a more proactive approach to managing and updating their applications, infrastructure, and service portfolio. The result is that DCC's ICT is now several years behind the curve, and this makes DCC an outlier in comparison.

DCC has three key enduring ICT / Digital risks: -

1. Insufficient technical competence to run the council's ICT services effectively,
2. cyber and information security and,
3. the complexity of the ICT estate itself and related integrations.

The requirement for an effective, well-integrated and managed Digital service is a key foundation to the ongoing success of DCC as an organisation and places significant reliance on ICT for the provision of technology and services to support day-to-day service delivery and the enablement of efficiencies. This requirement will be magnified and accelerated by the council's financial position. To meet this requirement effectively, the organisational approach to Digital and ICT needs to change from simply operational support to become a transformational business partner.

The existing ICT Service provides support for 387 core applications. Most of the applications are hosted and configured 'on premise', by DCC's ICT service, with data storage managed by the council. The council is currently storing approximately 180TB of data on two sites, County Hall and Shand House. An initial upgrade project is already underway to ensure the current 'on premise' infrastructure is fit for purposes in the short term and to address long standing legacy issues. This will need to be followed by a significant technical programme to ensure DCC has the technical infrastructure needed to support its Digital and technical ambitions. For the long term a Cloud Strategy has been developed to support this work, which was approved by Cabinet in April 2024. 80% of DCC's current service delivery is reliant upon the existing 'on premise' infrastructure and support.

The ICT Service's role across the organisation has, in the past, been a reactive operational role providing fix-on-fail resolution, whilst also attempting to provide technical support to large and organisation-wide change programmes. More recently, however, there has been a shift to provide a more proactive service to meet the ambitions of the organisation and establish ICT as a transformational partner of the business.

Actions taken to date:

In recent months, actions have been taken to stabilise the service including:

- An ICT stabilisation programme to support the current service, through SOCITM Advisory.
- A Digital Maturity Assessment conducted to assess areas for improvement.
- A council-wide Digital Strategy developed, shared, and then approved by Cabinet in March 2024.
- A detailed cloud migration assessment conducted to inform the level of investment required to minimise 'on premise' ICT, and from this work a Cloud Strategy was created, shared and then approved by Cabinet in April 2024.
- A Target Operating Model to accompany this ICT Strategy has been developed, and working with the PMO, an ICT Transformation Programme has been proposed, which includes the implementation of the Target Operating Model.

ICT improvements have focussed on remediating the most immediate, critical risks. These improvements were:

- Stabilising staffing through communication and engagement initiatives, recognising areas of low resource and morale, and through recruitment campaigns supported by HR.
- Introduction of team-based service improvement plans
- Introduction of industry-standard ITIL-based service management methodologies (service desk, incident management, problem management and change management), including service-wide ITIL Foundation training for colleagues.
- A review of systems and applications patching processes and tools, followed by the implementation of an industry standard patching methodology.
- A review of PDR management, putting in place regular reviews for all colleagues in ICT.
- A focus on risk and compliance with mandatory staff training requirements.
- Support and implementation of key business projects, Mosaic, Alloy/Granicus and SAP HANA

To support the development of both this ICT Strategy and the Digital Strategy a Strategic Digital Maturity Assessment (SDMA) was carried out by SOCITM Advisory which measures digital maturity against 10 key criteria.

The organisation-wide Digital Strategy, Cloud Strategy, ICT Strategy, and the accompanying Target Operating Model have been created to address the current organisational and ICT challenges by making a strategic shift which will enable ICT to provide support for the council's overarching corporate priorities, as stated in the Council Plan:

- Resilient, healthy, and safe communities.
- High performing, value for money and resident focused services.
- Effective early help for individuals and communities.
- A prosperous and green Derbyshire.

3 The Digital Vision and Themes

The digital vision described in the Digital Strategy sets out the long-term ambition for Derbyshire County Council:

By adopting a digital transformation approach, we will enhance service delivery, empowering residents and staff to take control of the services they use, enabling better outcomes for people. We will ensure a digitally inclusive approach that provides effective early help to residents.

The vision is supported by four key themes that together build the capability to deliver the digital vision,

- **Engaged Residents, Businesses, & Partnerships** – proactively engage with stakeholders to co-design and continuously improve, providing high performing services that are focused on their needs.
- **A Digitally Enabled Workforce** – ensure our staff have the right skills, and access to the right support and training, to be confident in using digital technologies.
- **A Digitally Enabled Organisation** - develop a digital culture, where digital is seen as a key enabler. Foster collaboration among multidisciplinary teams, breaking down silos, and encouraging teams to work together toward common goals. Enable more focused service delivery, earlier interventions, and better outcomes.
- **Digitally Enabled Data & Insights** – maximise the use of corporate data by embedding processes that ensure data is handled safely and correctly, while enabling data to support decision making.

To deliver this vision, the ICT service needs to change to meet the digital ambitions of the council.

The aim of the ICT Strategy is to support and enable DCC's digital vision and strategic objectives as detailed within the Digital Strategy and the Cloud Strategy. ICT will act in a transformative support role to enable the wider organisation to deliver on their own strategic ambitions. ICT will implement modern digital, cloud-based solutions using best practices and modern delivery approaches in collaboration with the Portfolio Management Office (PMO). This will enable the use of up-to-date technology and a digital approach across the wider organisation to improve both our internal service delivery, and enable more focused delivery from service areas.

ICT will facilitate the breaking down of technical silos, enabling greater integration across the organisation and improving access to key corporate data sources. ICT will work with service areas across the council to ensure DCC are making the most of any technical investment by utilising new features and tools as they become available, to ensure we are creating an environment of continuous improvement.

Ultimately, the ICT team will deliver services that enable the organisation to improve the lives of all residents and businesses, through better designed services, the use of data for innovation, and improved digital collaboration.

For ICT to transform and support the organisation wide Digital Strategy and the Cloud Strategy, strategic objectives for ICT have been identified which can be split into two key categories:

Foundations

- An Architectural Review Board and a Business and Technical Design Authority have been created to ensure that end-to-end solutions align to strategies, are secure, conform to technical design standards, and work for the council.
- The Enterprise Architecture function will be developed further, building an overall architectural roadmap which will provide architectural governance, proactive end-to-end solutions, and reduced complexity.
- All ICT contracts will be centralised and managed in a standardised and consistent way. The contract landscape will then be reviewed, to consolidate and unify contracts and services to offer economies of scale and savings where possible.
- A Cloud Strategy implementation project will be initiated as part of the ICT Transformation Programme. This will look to mitigate the carried risks of aging and failing infrastructure and reduce technical debt.
- A Service Design approach will be defined and implemented.
- All investment and delivery initiatives against our strategic objectives will be quantified.
- An Information Management framework and vision will be defined, to drive the information management agenda, setting out what the council wants from its data, defining the overarching principles and the associated management approaches.
- Creation of clear, standardised, frameworks and processes that provide consistently good and timely outputs.
- Implementation of demand management to include the resources required for project work. This is to be considered at the Enterprise Architecture portfolio gateway reviews for project prioritisation, working in partnership with PMO colleagues.
- Ensuring the right information is available, at the right time and in the right place to enable effective decision making.
- Creation of a Business Information and Data Analytics function to harness the value of DCC's data and use it to provide evidence and insight for proactive decision making.

Digital

- Enabling the efficient delivery of end-to-end customer centric services using a rationalised set of applications and common design principles applied through the Service Design process.

- Enabling better integration between internal systems and partners, to support collaboration, making data available at the point of need and improving data management to drive digital inclusion across all interactions.
- Demonstrating the art of the possible through the provision of effective end-to-end solutions, using up-to-date design and development principles.
- Building capacity and partnerships to innovate quickly through early proof of concepts, then scaling to deliver.
- Making service delivery decisions at the point of need through proactive monitoring and planning of future demand.
- Improving the customer experience through confidence in the accuracy of data and information.
- Improving the user experience by designing customer centric services.
- Automating manual processes to deliver improved services to residents and businesses.

To deliver on the ICT objectives, the approach will follow three simple principles:

- **Simplify** - Reduce the complexity of systems, processes, and services.
- **Digitalise** - Integrate systems and processes to provide end-to-end solutions and insights.
- **Grow** - Develop capabilities and capacity to deliver a customer-centric approach.

So that:

- Service areas make data based driven decisions to proactively target and prioritise need.
- Services are delivered more effectively and efficiently.
- Users will be involved in designing the services they use, making it easier to order and pay for services, and they will be able to track progress as needed.
- Residents and businesses will be able to more easily carry out transactions with DCC and its partner organisations, confident that the information is accurate and up to date.
- Colleagues and partners will have technologies and services that are designed to efficiently meet their needs, especially when away from the office. They will have the right information to make service delivery decisions and take requests at the point of need.

4 What the ICT Strategy will Deliver and Why?

To support the delivery of the organisation wide Digital Strategy and the Cloud Strategy, and to meet the strategic ICT objectives outlined above, ICT will deliver a forward-looking ICT Transformation Programme structured around the four themes identified in the Digital Strategy. This will include the implementation of a new Target Operating Model for ICT (described separately), and the implementation of the Cloud Strategy, as two of the key deliverables. The following outlines the key activities and changes ICT will make against each of the themes, how ICT will monitor its progress, and deliver our commitment to the Digital and Cloud Strategies.

4.1 Engaged Residents, Business & Partners

We will...	So that...
Undertake continuous horizon scanning to maintain a Roadmap of Digital Offerings	DCC understands emerging technologies, when they are being brought to market and can proactively plan how services could take advantage of any evolving technologies.
Ensure we design our services and products focused on residents, businesses, partners, and colleagues needs.	Customer journeys can be built that reflect the needs of all users, including those who are hard to reach or who are digitally excluded
Adopt a 'digital by preference' approach to designing our services, whilst ensuring non-digital experiences match digital experiences	DCC truly become a digital council, serving residents consistently across all channels
Ensure that all digital services are accessible and easy to use, regardless of the resident's platform of choice	DCC residents can engage with services wherever, whenever, and however they like
Introduce a more complete resident feedback methodology	Residents know their voice will be heard and their insights are used to improve services

4.2 Digitally Enabled Workforce

We will...	So that...
Develop technology roadmaps to drive end-to-end system and service design	DCC understand when new functionality is being deployed or old functionality retired, the impact on the service, alignment with service needs and contract renewal dates to efficiently manage our service needs and contracts.
Include training need requirements in all procurements	We ensure appropriate training needs are identified at the earliest stage and that colleagues are given appropriate training and knowledge to deliver to the best of their ability.
Identify processes for automation based on business/service benefit	We will automate processes freeing up resource to improve service delivery rather than work on administration tasks.
Create an environment which allows colleagues to flourish, understanding how digital, data and technology can be used	Succession planning in the council creates digital leaders for the future in our region, in turn making Derbyshire a more attractive place to work
Provide colleagues with the tools, technology, and applications they need to deliver in their roles	Colleagues deliver effective and efficient services, capable of adapting to changing user needs
Review, adapt or redesign our internal processes in line with future customer journeys, enabling continuous improvements for our end users	Colleagues and partners are empowered to deliver services via our processes, not blocked
Create and use a set of common design standards and service patterns	Colleagues and partners can design consistent service delivery processes
Become proactive in our engagement with the wider business and manage issues and delivery	You tell us once; we then manage your need appropriately from first contact to delivery
Introduce a more complete internal client feedback, satisfaction, and complaints methodology	The wider organisation knows their voice will be heard and insights are used to improve services

4.3 Digitally Enabled Organisation

We will...	So that...
Implement the Cloud Strategy	To ensure that the migration to the cloud is efficient, secure, cost-effective, and aligned with your business goals, the Cloud Strategy will consider and propose a range of future state options, with associated costs, at various time intervals, with clear evidence to show how the different options align to the Council's requirements.
Develop a roadmap to move away from on-premise technology and move to cloud-based solutions	There is a high-level plan based on risk mitigation to move our data and applications from an on-premises architecture to the cloud. This also provides a framework for future contract renewals.
Develop and implement a new ICT Target Operating Model	To establish a modern and flexible ICT service which will enable the technology to deliver on our corporate ambitions and act as a transformational partner for the wider organisation.
Further develop Enterprise Architecture that sets out the technical journey to underpin Digital, Data and ICT Transformation	<p>We standardise use of Enterprise Architecture to translate the business strategies into end-to-end business change and technical delivery.</p> <p>We define & maintain a baseline for future technological development, bearing in mind the council's service strategy and newly emerging technologies.</p>
Develop Architecture Design principles	<p>We adopt and embed Architecture Design principles, providing guidelines to ensure solutions are repeatable, integrated, secure, considered from an end-to-end perspective and fit with the agreed application roadmap.</p> <p>We drive out complexity and reduce technical debt.</p>
Develop an integration strategy	We ensure all new initiatives and procurements consider integration and interoperability with both new and legacy applications. Solutions can then be

	designed and procured with future data insights in mind.
Establish a technical debt log	We quantify the level of risk associated with legacy systems and infrastructure, assign owners, and include replacement capabilities in the technical roadmaps to manage technical debt out.
Align with the council-wide Business Change and Portfolio Management (PMO) approach, including a prioritisation approach that maximises our delivery efficiency	Resources are focused on delivering work that makes the biggest difference to our customers, whilst embedding changes in a sustainable way

4.4 Digitally Enabled Data & Insight

We will...	So that...
Create a basic data management framework, underpinning our future data journey	All future data and intelligence builds upon our foundational capabilities, growing our effectiveness
Champion the use of information and intelligence driven delivery across all service areas	We become more customer focused, data driven, transparent and efficient in the way we operate
Create and use a set of common data standards and patterns	Intra-council and inter-organisational working leverages data to promote positive outcomes for our users
Create a data governance framework	We will improve and maintain the quality of our data making it accessible for data analytics, opening opportunities to innovate whilst also keeping our customer and community data safe
Work towards the creation of a single view of our customers and a single version of the truth for anything related to data and information held digitally	We dramatically improve the effectiveness and efficiency of our service delivery and decision-making process
Determine the requirements for business intelligence and performance reporting, standardising, and automating	We ascertain the effectiveness of our service delivery, our capacity and where we can most positively influence changes in the council
Work alongside local businesses to design our policies, based on the data we hold	We assist in creating an environment within which local businesses can thrive
Map our data, conducting a data maturity assessment	We understand where we can enhance our data capabilities and the capabilities of our partners' data in influencing service delivery
Work with our partner organisations to share and combine data, where appropriate and secure	Customers who require services delivered by multiple agencies do not experience unnecessary delays
Better utilise geographic, regional and location data when designing and redesigning our services	Our services continue to be as relevant as possible, meeting user needs

5 Risks and assumptions

There is a risk that...	We will mitigate this by...
Service areas lose support for the ICT Strategy over time	<p>Building quick wins into the transition plan so all areas of the council can see tangible improvements.</p> <p>Working with the service areas to demonstrate how technology and service design can improve services for residents and colleagues.</p>
The benefits of ICT strategy are not realised due to the size and complexity of changes required to modernise the service	<p>Developing the ICT TOM and associated ICT Transformation Programme to deliver all aspects of the ICT Strategy, alongside the Digital and Cloud Strategies.</p> <p>Prioritising delivery of the ICT Strategy, as without it DCC's digital ambitions will not be met.</p>
The value of information in providing insight for decisions is not appreciated nor prioritised	<p>Demonstrating the art of the possible with data analytics and quantify the value it can bring to the council.</p> <p>Developing a data vision for DCC.</p> <p>Developing an information management strategy and transition plan</p>
The level of business change required is underestimated	<p>Allocating an experienced, dedicated Business Change Manager to the ICT Transformation Programme.</p> <p>Identifying key stakeholders and stakeholder groups and developing a targeted communications plan.</p> <p>Quantifying the business benefits and communicating these to the wider council.</p>
Ineffective demand management and business prioritisation	Alignment with the corporate Project Management Office (PMO)

	<p>approach with robust gateway processes.</p> <p>Ensuring all initiatives have quantified benefits that directly support the council's strategic objectives.</p>
<p>Manual effort required to provide basic MI/BI reporting leaves no capacity for improvement.</p>	<p>Additional resources costed into the investment case to set up a centre of excellence. This could see the creation of a Centralised Office of Data Analytics within Digital Services.</p> <p>Identifying and prioritising the automation of reports to free up resource to augment the centre of excellence.</p>
<p>The organisational structure continues to operate with a tactical, short-term mindset, resulting in a continuation or worsening of the financial and contractual risk currently carried</p>	<p>Leadership buying in and endorsing the design principles and the holistic change and portfolio management capability, with a clear governance route in the event of conflicts with these</p>
<p>There may be a lack of digital skills among our workforce</p>	<p>Working with colleagues to understand the digital skills base, providing learning opportunities and encouraging digital uptake</p>
<p>There may be a recruitment freeze & withheld vacancies</p>	<p>Producing a compelling investment case for the Digital, Cloud, and ICT Strategies, including the fully costed Target Operating Model, to obtain an exemption for ICT</p>

Key assumptions

- Investment funding for the Digital, Cloud and ICT Strategies will be approved.
- The ICT Strategy and the Target Operating Model (TOM), to support the ICT Strategy, are planned to commence in June 2024 with the first phase of TOM implementation by December 2024.

6 The impact of the ICT Strategy

The ICT Strategy provides the foundations for a transformation of the ICT service which will enable key service areas of DCC to achieve their own strategic objectives. This will in turn improve the experience of the council's key stakeholders; residents, colleagues, businesses, and partners, in how they access, interact, and communicate with DCC. This supports the delivery of the overall strategic aim to provide high performing, value for money resident focused services.

What will the strategy mean to colleagues?

- Colleagues will have a clear understanding of their part in the digital journey.
- Colleagues will have the right equipment to successfully do their job.
- Colleagues will self-serve the information needed for their role.
- Colleagues will have technology and data which empowers the flexibility and mobility required to successfully do their job.
- Colleagues will have the skills and confidence to use the technology available.

What will the strategy mean for the organisation?

- The council's culture becomes more iterative, more innovative and more customer focused.
- The council's data is available to aid decision making.
- The council will share information securely with partners.
- The council will share information with residents and businesses.
- The council will have the capacity to plan and provide support where needed.
- The council will adopt best practice and share with partner organisations.
- The council will use information to enable joined-up services with partners.

What will the strategy mean to service areas?

- ICT becomes a trusted partner that is the go-to point for enabling improved service delivery.
- Open communication is enabled between ICT and the wider business.
- Data silos are broken down and Business Intelligence applied.
- Data becomes an enabler to joining up services.
- Service areas and ICT have clear working roles and responsibilities with clear lines of escalation.
- Service areas provide information once, and their needs are addressed first time, and in so doing create a single version of the truth.

There are several challenges that this ICT Strategy can help resolve:

- Aging infrastructure causing increased Business Continuity and cyber security risks.

- Cost, and risk associated with the quantity (180TB) of data stored on aging on-premise infrastructure.
- No Information Management Strategy
- A lack of basic MI/BI reporting - Heavily manual processes with no MI/BI strategy or standardisation.
- While there is a great deal of data available within the council, there are issues with access, data quality, and data use for insight and decision-making.
- Limited effective governance or industry standards applied (e.g., ITIL), nor best practice roles and responsibilities.

There are a series of opportunities that the ICT Strategy presents:

- Consolidate all ICT roles and budgets from across the council into Digital Services.
- Consolidate all ICT procurement into a single place, likely to be within the central Procurement team.
- Introduce industry standards and best practice.
- Move from a dated, reactive fix-on-fail, hybrid operating model to a more centralised model that provides the structure, governance, proactive planning, and cohesive guidance to build out the necessary policies and supporting activities to deliver a modern, flexible, digital, cloud-based, ICT service.
- Migrate applications and data to the cloud in line with the Cloud Strategy to increase flexibility, facilitate integration and reduce vulnerability risk.
- Further develop the Enterprise Architecture frameworks and capability to build the appropriate controls required for an efficient service and set out the technical journey to underpin digital, data and ICT Transformation.
- Put people at the heart of their own use of council services.
- Develop a co-design culture for services, with users both internal and external.
- Embrace technology enabled change.
- Prototype, learn and scale.
- Create a business intelligence Centre of Excellence, with a hub and spoke model, with the core capability sitting within the hub, providing a self-service capability to each business area spoke.
- Information becomes an enabler to join up services and partners.
- Prevention and proactive intervention, using data to analyse impact and deliver insight.
- Integrate people, processes, and technology.
- Develop the Service Design approach, creating end-to-end integrated services that work across channels, i.e., online, offline and customer-facing. This will mean that we become more cognisant of our user's needs.
- Work across services, minimising repeated effort and conversations, maximising the availability of customer information, insight, and effective case management to support truly customer-centric services.
- Change mindsets to a can-do attitude.

The Foundations the future ICT Service will establish.

- A modern flexible cloud-based infrastructure with cross-cutting component capabilities.
- Adoption of industry standards and best practices.
- Centralisation and standardised governance of all ICT resources and budgets.
- Continuous improvement of our services based on evidence and collaboration.
- Coherent and unified understanding of the council's data resulting in clear objectives, goals, and data driven decisions.
- An information management framework, enabling better and more open use of data.
- Effective procurement, supplier management and contract management practices.
- A holistic prioritisation across the Council, working closely with the PMO, targeting big wins first.
- Alignment with the central PMO benefit realisation approach, and a culture of accountability.
- A culture of empathy across the authority, understanding user need when designing services.

7 Roadmaps

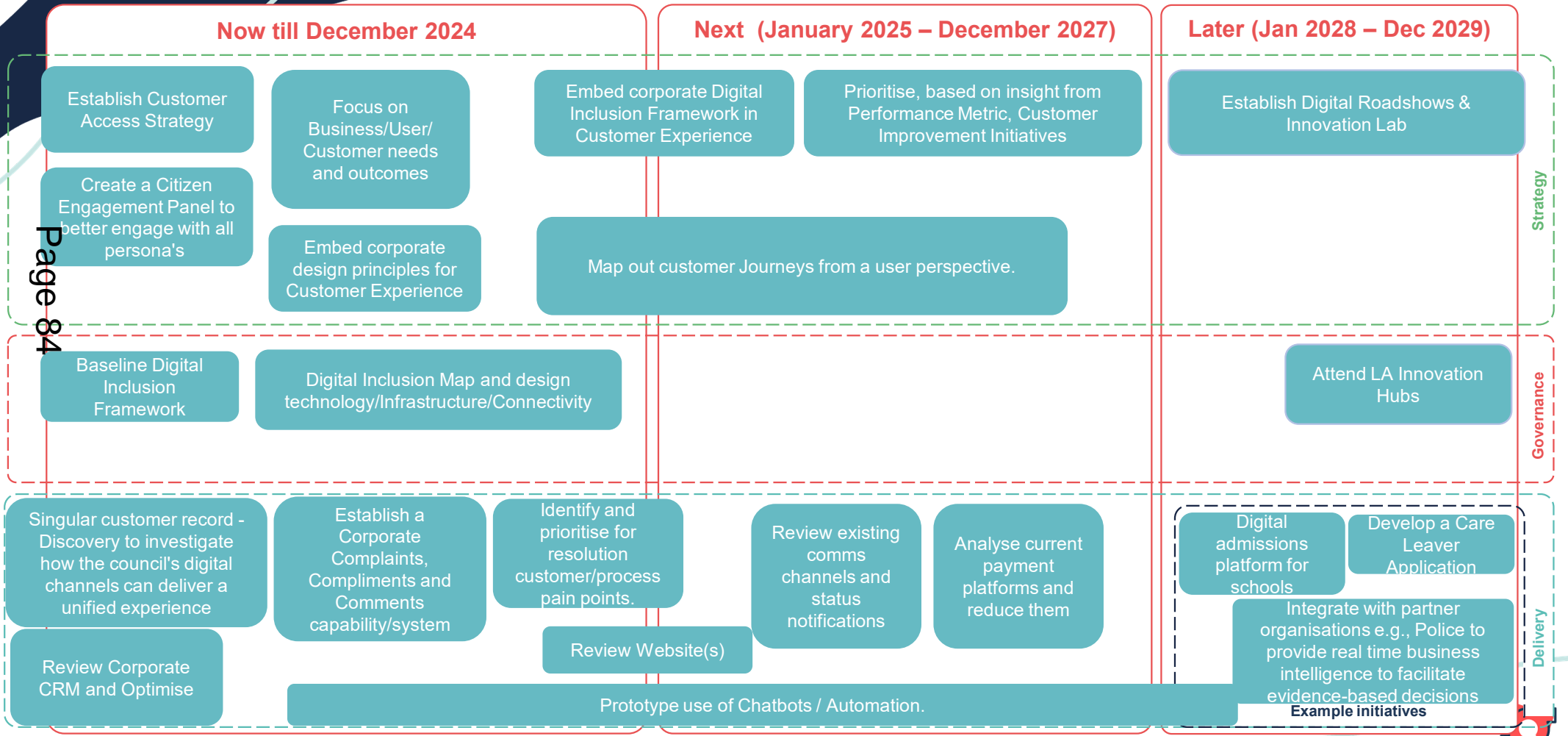
Roadmaps provide a high-level guide for the implementation, the components of which have been sequenced to incrementally build capability and maturity within the ICT organisation and will run alongside other strategic projects as part of an overall ICT Transformation Programme.

To ensure success, the foundational components are embedded before more modern techniques such as Service Design and Agile project delivery are considered. The delivery streams are suggestions of initiatives that are required and should be done in business priority order.

It is recognised that the Council cannot stand still whilst the Digital, Cloud and ICT Strategies are implemented, and so the roadmaps contain a delivery element running in parallel with strategic and governance initiatives. The roadmaps are ambitious, and the ICT Team recognise that there are many dependencies that need to be managed.

7.1 Engaged residents, businesses, and partners:

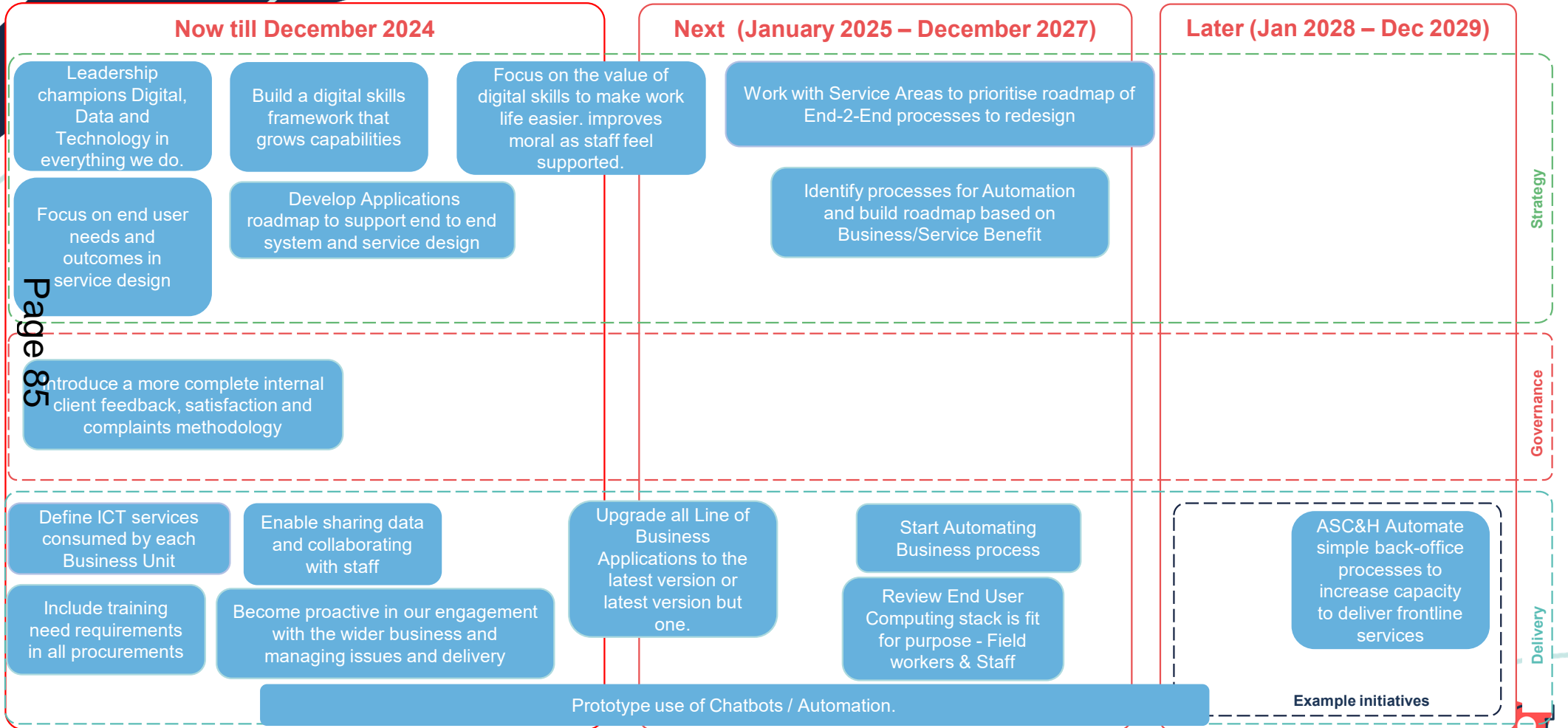
Engaged residents, business and partners



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7.2 Digitally enabled workforce

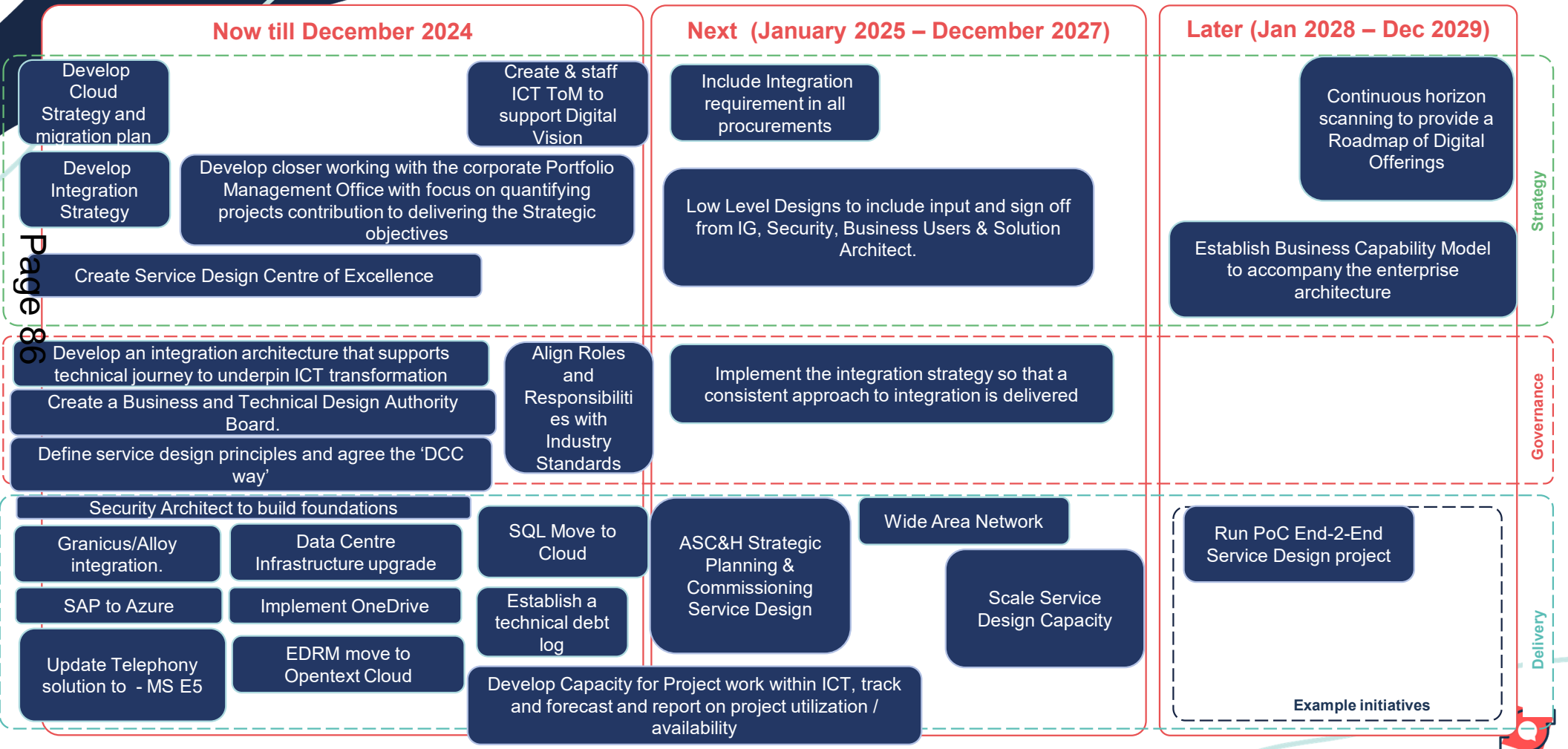
Digitally enabled workforce



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7.3 Digitally enabled organisation

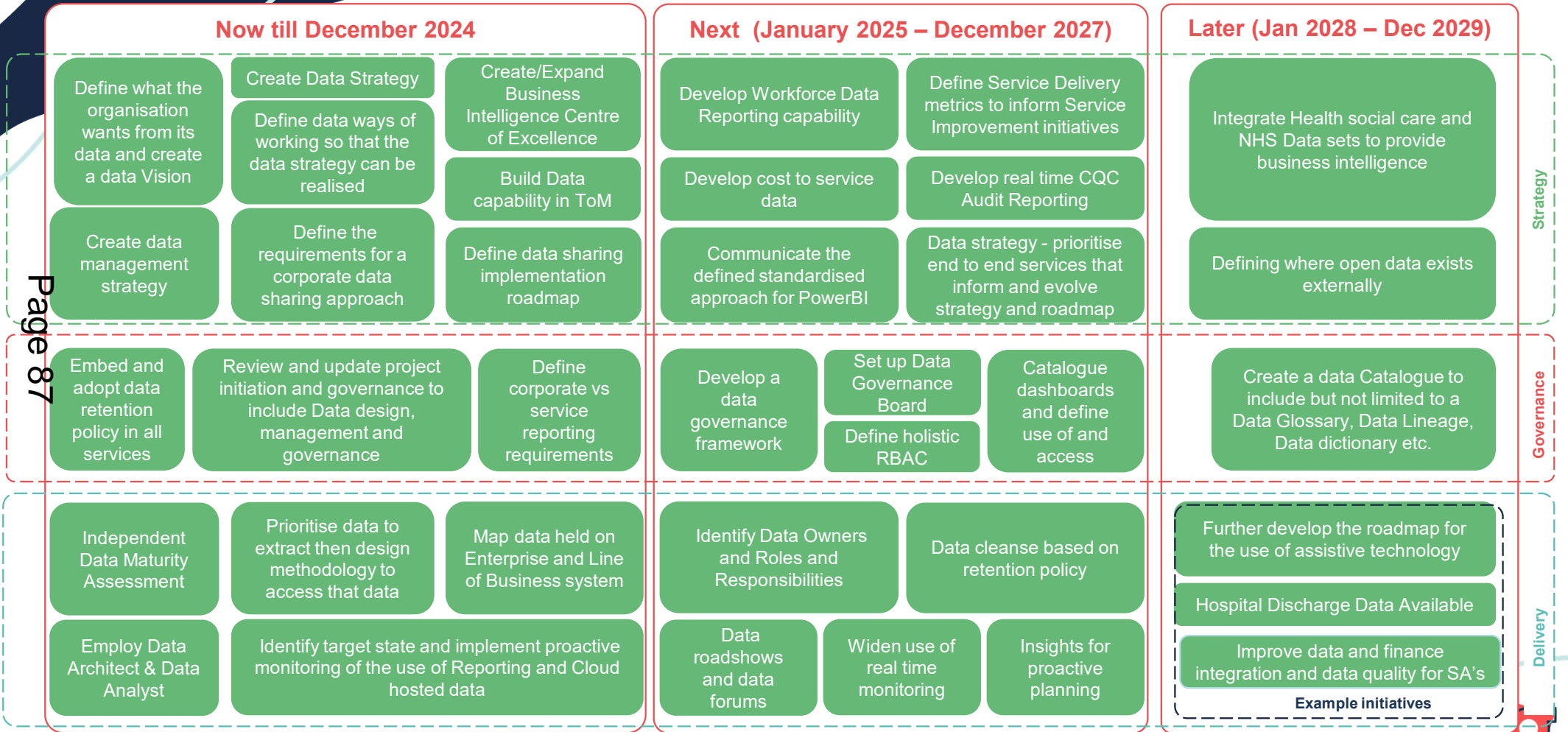
Digitally enabled organisation



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Digitally enabled data driven insight

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7.5 Outputs or outcomes from year 1 of the roadmaps

Outputs or outcomes from year 1 of the roadmap

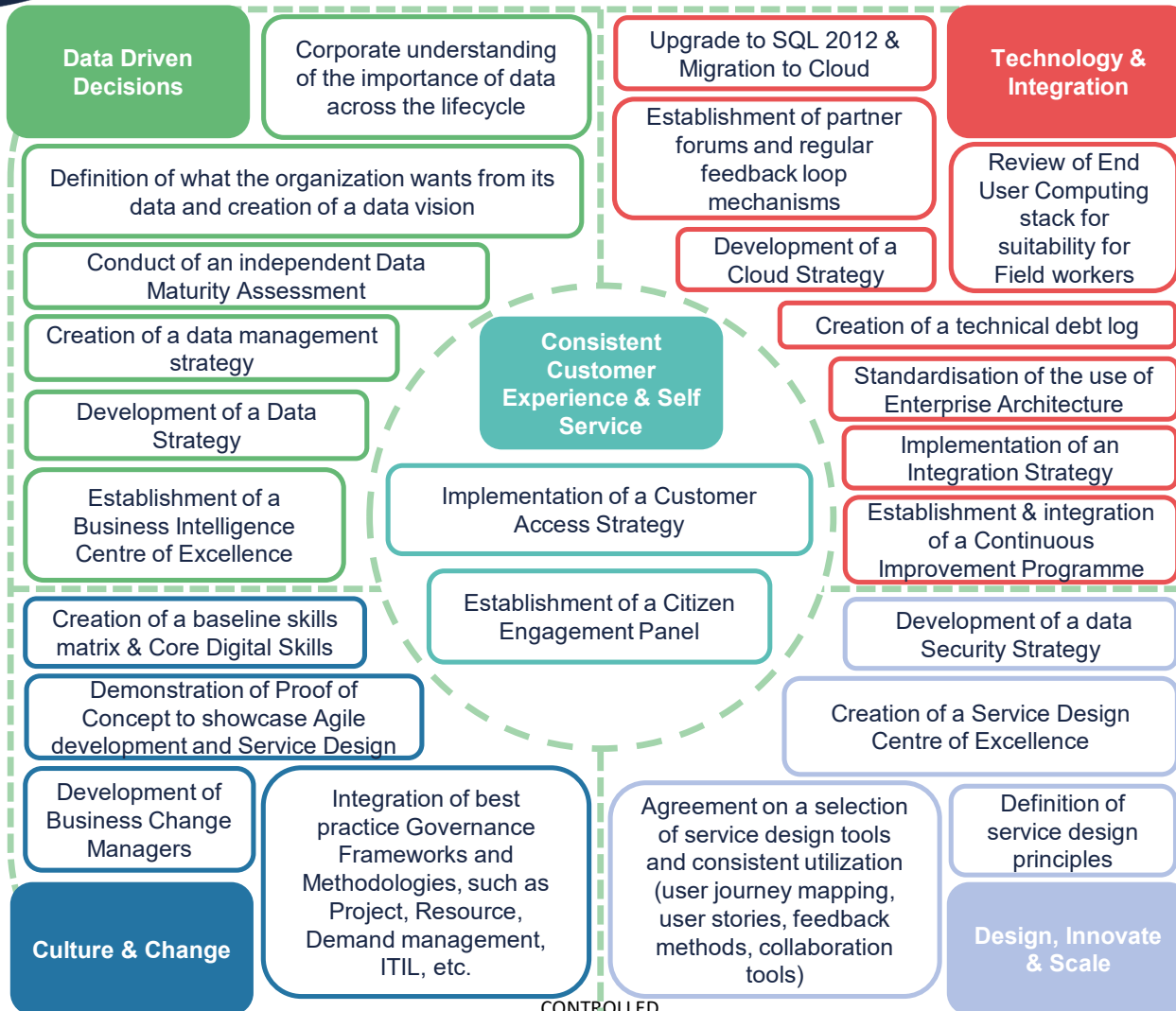
Where to start....

To achieve the desired higher-level outcomes, we co created a list of tasks which were prioritised to ensure appropriate focus and productivity.

The box to the right shows a few examples of the immediate actions to establish in the first 6-12 months.

The tasks incorporate all the themes ensuring there is a balance between Strategic, Governance and Delivery activity to compliment a sensible and realistic implementation roadmap.

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What does this mean....

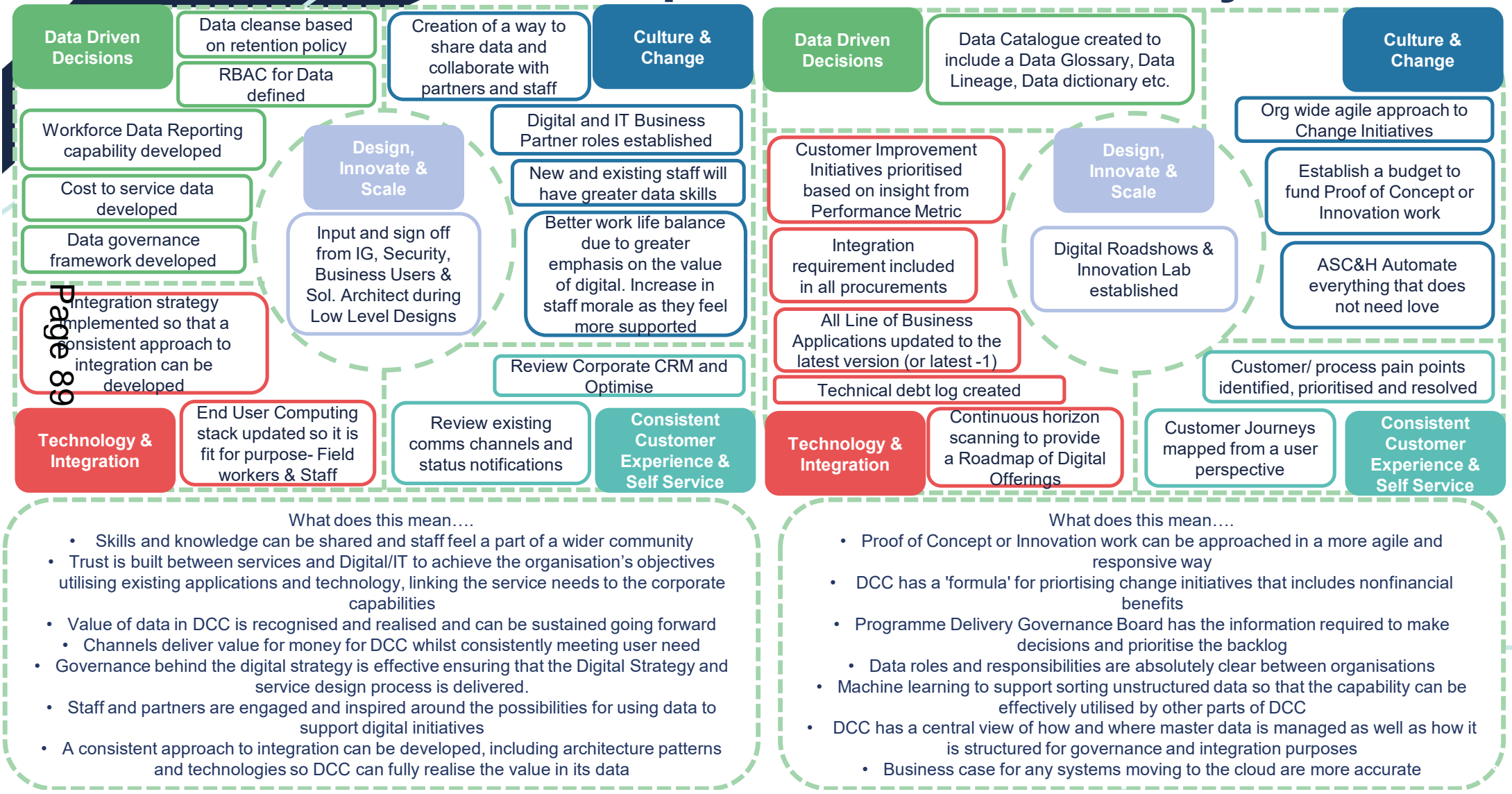
- Utilises processes and practices already in place to build on the DCC way
- DCC has the right skills and roles to support future ambitions
- It builds ability and confidence to access Digital Services
- Staff have the right equipment to do their job well
- Data is used confidently to aid decision making
- Technology and data empowers flexibility and staff have the mobility required to do their job
- Residents have a say and are engaged with council service improvements
- Start to drive out benefits in year 1



CONTROLLED

7.6 Outputs or outcomes in year 2 & 3

Outputs or outcomes in year 2 & 3



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Digital Services Target Operating Model Design

1 Executive Summary

This Digital Services Target Operating Model (TOM) has been created to support the Digital Strategy, the Cloud Strategy, and the ICT Strategy. This TOM has been shaped to establish a Digital service which is fit for the future, can deliver on the ambitions outlined in the Digital Strategy, Cloud Strategy and ICT Strategy, which will provide a service that has the capability and capacity to act as a transformational partner for the wider organisation.

The Digital Services TOM outlines the existing ICT strategic context, the operating design principles which have been used, and critical success factors. The TOM also describes the high-level functions needed, the proposed output for each function, the proposed transition approach, identified risks and assumptions, the financial investment case, and dependent functions.

2 Strategic Context

DCC's ICT department and services have evolved over time. However, this evolution has fallen behind that of similar-sized councils, many of whom have adopted industry standards, best practice, and a more proactive approach to managing and updating their applications, infrastructure, and service portfolio. The result is that DCC's ICT is now several years behind the curve, and this makes DCC an outlier in comparison.

DCC has three key enduring ICT / Digital risks: -

1. Insufficient technical competence to run the council's ICT services effectively,
2. cyber and information security and,
3. the complexity of the ICT estate itself and related integrations.

The requirement for an effective, well-integrated and managed Digital service is a key foundation to the ongoing success of DCC as an organisation and places significant reliance on ICT for the provision of technology and services to support day-to-day service delivery and the enablement of efficiencies. This requirement will be magnified and accelerated by the council's financial position. To meet this requirement effectively, the organisational approach to Digital and ICT needs to change from simply operational support to become a transformational business partner.

The following paragraphs detail the current delivery of ICT services across the organisation, the risks and challenges the existing ICT delivery model poses, the actions taken to date, and why there is a need for further change.

The council's ICT service delivery is fragmented, with some elements of ICT delivered directly from within service areas, but without council level ICT oversight or support. This has led to the issue of "Shadow ICT" spend and activities outside of the core ICT function. Shadow ICT accounts for an assessed additional £6.8m annual spend above the £12m core ICT spend, the result of which is no central visibility, governance or control of the ICT estate, or central planning for future needs.

Central ICT service delivery:

The existing ICT Service provides support for 387 core applications. Most of the applications are hosted and configured 'on premise', by DCC's ICT service, with data storage managed by the council. The council is currently storing approximately 180TB of data on two sites, County Hall and Shand House. An initial upgrade project is already underway to ensure the current 'on premise' infrastructure is fit for purposes in the short term and to address long standing legacy issues. This will need to be followed by a significant technical programme to ensure DCC has the technical infrastructure needed to support its Digital and technical ambitions. For the long term a Cloud Strategy has been developed to support this work, which was approved by Cabinet in April 2024. 80% of DCC's current service delivery is reliant upon the existing 'on premise' infrastructure and support.

The ICT Service's role across the organisation has, in the past, been a reactive operational role providing fix-on-fail resolution, whilst also attempting to provide technical support to large and organisation-wide change programmes. More recently, however, there has been a shift to provide a more proactive service to meet the ambitions of the organisation and establish ICT as a transformational partner of the business.

Shadow ICT service delivery:

Outside the central ICT service and budget there is 'shadow' ICT in departments. Shadow ICT accounts for approximately a further annual £6.8m spend across the council, predominantly relating to 'line of business' systems paid for directly by the service areas. Roles have been created in service areas that would normally sit in a modern central Digital service. These roles have been created to fill gaps in the current ICT service delivery at a service area level.

Shadow ICT within the service areas results in a fragmented approach to service delivery and contract management, renewals, and upgrades. Contract management can be variable, often performed by the system owners, which results in a loss of visibility of contractual delivery or performance issues. In addition, the adoption of 'point' solutions, rather than end-to-end solutions, increases complexity and technical debt, as they create siloed technical environments which often require specialist support skills. Finally, there is no 'professional lead' for the shadow ICT functions that directs the future direction / skills needs and enables the continuous professional development required from ICT professionals.

Key Risks.

The table below shows the key risks and associated impacts identified in Socitm Advisory's recent assessment:

Risk	Impact
No ICT director at top table	(Risk now mitigated)
Lack of Leadership at AD & Heads of Service Level	Fragmented and reactive service delivery, with no roadmap for the service. Not capable of curing itself.
Lack of formal governance structure, process with clear roles and responsibilities	Siloed service delivery, decisions made late or not at all, resulting in DCC being several years behind its peers.
Immature and under resourced Enterprise Architecture function	Aging applications and Infrastructure with increased risk of outages, lack of integration between systems and few end-to-end solutions to provide efficient services.
No Data & Information management function	No single view of data or master data management. Significant manual effort required to provide data and evidence on which to base decisions. Decisions made without supporting information.
Lack of central contract management function and capacity to exploit opportunities – e.g. any simultaneous contract end dates - and no single point of review/approval to procure	Contract review dates that are approaching end of life at similar times present an opportunity to rationalise or repurpose systems which may be missed otherwise – retaining current levels of technical debt
Service Relationship Managers (SRM's) funded by Business Areas	SRM do not fulfil the Business Partner role, to provide triage, insight, and requirement gathering with the business.

Actions taken to date:

In recent months, actions have been taken to stabilise the service including:

- An ICT stabilisation programme to support the current service, through SOCITM Advisory.
- A Digital Maturity Assessment conducted to assess areas for improvement.
- A council-wide Digital Strategy developed, shared, and then approved by Cabinet in March 2024.
- A detailed cloud migration assessment conducted to inform the level of investment required to minimise 'on premise' ICT, and from this work a Cloud Strategy was created, shared and then approved by Cabinet in April 2024.

ICT improvements have focussed on remediating the most immediate, critical risks. These improvements were:

- Stabilising staffing through communication and engagement initiatives, recognising areas of low resource and morale, and through recruitment campaigns supported by HR.
- Introduction of team-based service improvement plans
- Introduction of industry-standard ITIL-based service management methodologies (service desk, incident management, problem management and change management), including service-wide ITIL Foundation training for colleagues.
- A review of systems and applications patching processes and tools, followed by the implementation of an industry standard patching methodology.

- A review of PDR management, putting in place regular reviews for all colleagues in ICT.
- A focus on risk and compliance with mandatory staff training requirements.
- Support and implementation of key business projects, Mosaic, Alloy/Granicus and SAP HANA

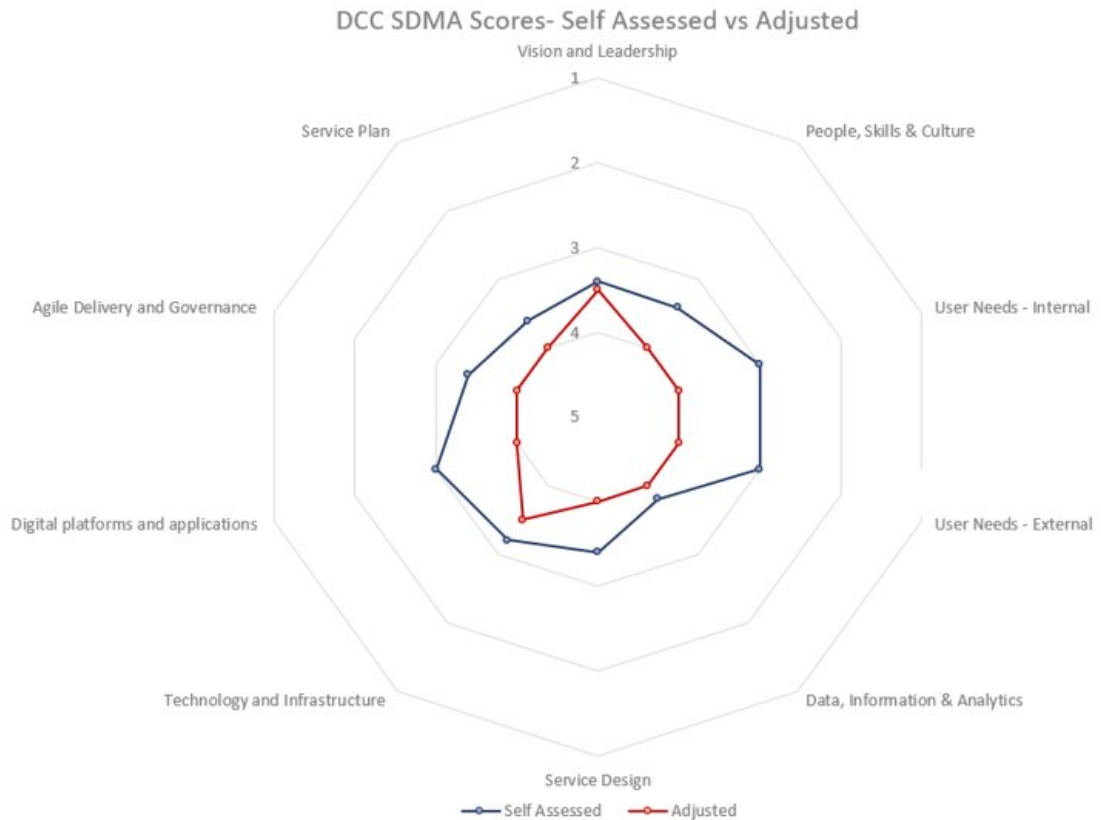
Maturity Overview

To support the development of both this ICT Strategy and the Digital Strategy a Strategic Digital Maturity Assessment (SDMA) was carried out by SOCITM Advisory which measures digital maturity against 10 key criteria. This assessment looked to baseline the current state:

- Review existing skills, resource capacity, and governance structures in place to support service delivery.
- Review the as-is architecture landscape, and the development of a to-be architecture.
- Review of ICT contracts to understand risks, and to provide visibility and focus on upcoming renewals.

To obtain a holistic understanding of the ICT capability, interviews and workshops were held with each of the council's four directorates: Corporate Services & Transformation, Place, Adult Social Care & Health, and Children's Services.

The SDMA assessed DCC's capabilities on scale of 1 to 4 (1 representing high levels of maturity, 4 representing low levels of maturity).



The assessment established that DCC had low-levels of maturity in all the 10 themes. Whilst it is common for Local Authorities to be weak in two or three areas, it is uncommon for there to be no areas of high maturity.

The headlines from the Digital Maturity Assessment were that DCC ICT has:

- Become c10 years behind best practice e.g. ITIL Service Management (including Change, Incident and Problem Management).
- No ICT, Data or Cloud Strategy (circa 5 years behind peers e.g. Derby City Council)
- Aging and failing infrastructure causing Business Continuity and vulnerability risks
- Ineffective demand management and business prioritisation of work into the ICT service
- Newly established a centralised PMO (1st April 2023) that it was still maturing in its capability.
- No effective ICT capacity/capability planning
- A lack of KPI's or ICT performance data
- Limited effective governance or industry standards applied and lacking best practice roles and responsibilities.
- Overly restrictive administration controls in place; seen as a barrier or blocker and suppressing innovation.

- A lack of basic Management Information / Business Information (MI/BI) reporting. Reporting is mostly manual with no MI/BI strategy or standardisation.
- Issues with data access, data quality, and data use for insight and decision making. There is a great deal of data available within the organisation.
- A lack of integrated technical ICT and Business Change to drive and embed initiatives.
- No project or project resource management controls

The resourcing issues highlighted were:

- Visibility, influence, and direction of ICT has been largely absent.
- Poor or no Head of Service leadership, poor working practices, and management of ICT staff
- Lack of self-awareness, motivation, and skills to instigate or implement a modern ICT strategy.
- Unfilled vacancies within ICT (40) creating serious capacity issues.
- Knowledge drain; people leaving the ICT service.
- Digital skills are not seen as a priority when recruiting across the council, putting pressure on ICT support services.
- Lack of training and support for colleagues to best utilise current systems.
- No 360-feedback loop, either internally or externally, resulting in poor communication.
- A 'can't-do' culture, rather than finding acceptable business solutions.
- No service management culture aligned to business requirements.

3 Operating Model Design Principles

In determining the design principles for the new operating model, the strategic drivers and priorities have been considered; specifically, a shared desire to:

- Embed solid foundations for robust, secure delivery of ICT services.
- Be efficient and effective and ensure everything delivered offers the best value for money.
- Ensure customer-centric design and service delivery.

The new operating model is created to deliver the ICT strategy and the ambitions of the Digital and Cloud Strategies, aligned to industry standards and best practices. It considers the key drivers, and seeks to support the Council Plan, while mitigating the current key risks associated with ICT and digital service delivery.

4 Critical Success Factors of the Operating Model

4.1 Effective, stable digital leadership

Digital leadership requires an understanding of how best to bring together people, technologies, and processes to deliver service transformation, with an emphasis on the cultural conditions for success. It also requires strong and effective engagement with service areas to ensure that digital is positioned as an enabler of service change and not simply a set of ICT tools. It requires an appreciation of the risks inherent within digital service design and delivery, and how best to mitigate them.

4.2 Standards and governance

Previous ICT governance processes were described as 'clunky' and 'not fit for purpose' by some stakeholders. The council has already recognised the need for effective governance that is proportionate, and which focuses on ensuring strategic alignment as well as managing risk and capacity.

The introduction of industry standards such as Information Technology Infrastructure Library (ITIL) for managing IT Service Management and the further development of the Enterprise Architecture function, is already raising the maturity of the ICT capability, and introducing new standard processes.

Revised architecture principles and associated governance processes will provide the framework for decision making, and have been designed to be effective in ensuring that objectives are met. The principles relate to all architecture domains, including data, infrastructure, applications, and processes. The principles and governance ensure that decisions are tested against the Digital, Cloud and ICT Strategies, and provide a framework which enables a clear direction of travel. New technology and digital roadmaps will set a proactive direction of travel that can be tracked. It will enable the council to better allocate capacity to planned work, while creating capacity that enables more responsive service to new, unplanned demands and innovation.

4.3 Centralisation and standardised governance of all ICT resources and budgets

Consolidation of budgets and ICT resources allows for standardisation of approach, accountability, control and governance and the reduction of technical debt, which is an inevitable consequence of a fragmented approach to the delivery of services. It also enables a proactive and consistent approach to managing contracts and vendor performance.

4.4 Continuously improving services based on evidence and collaboration

Better services result when users and residents are involved in designing solutions. Modern digital service design techniques put the user at the centre of the service design. Agile methodologies put a strong focus on collaboration and incremental development, so that usable elements of functionality can be quickly released into service, to deliver value and are then enhanced based on user or resident feedback.

4.5 Effective procurement and contract management practices

By centralising all ICT procurement, contract management and supplier management activities, expertise and best practice can be developed, working closely with the Enterprise Architecture function, to create application roadmaps to proactively manage contract renewal, consolidation or termination, and future service need can be more efficiently planned. In line with best practice, it is proposed that this centralised function of specialist ICT procurement expertise should be moved under the central DCC Procurement team who will provide that service in the future.

4.6 User focus

The council has a desire to deliver easy-to-use services for both colleagues and residents. There is an opportunity to create a user research and service design function in line with the Government Digital Service (GDS) service manual and established practices. This considers the offer for residents, including digitally excluded groups, how they might access services offline, as well as the creation of digital services themselves.

4.7 Competencies

To ensure the right competencies and capabilities are in place to support the council's Digital ambitions, a full review of current skills and competencies across the ICT teams will take place, to understand the gap between the current "as is" and the designed future state. This will identify how ICT can support the development of existing colleagues, to meet both the technical and professional competencies required, as well as the softer cultural capabilities needed to be a successful ICT / Digital service. A programme of ITILv4 Foundation training has been commenced for all colleagues in the current ICT team, giving everyone a base level of understanding

of the industry-standard framework and core processes. The industry standard SFIA (Skills for the Information Age) competency framework will be considered for future alignment with job roles.

4.8 Capacity

The Target Operating Model is sized to provide capacity to support and maintain the future ICT estate in line with the ICT Strategy and the Cloud Strategy. It also supports at least 10% of the ICT service capacity to be available to work on projects. Working with the Portfolio Management Office (PMO), if there is a prioritised demand for additional project capacity, additional ICT resource will need to be funded from within the project business case. A flexible provisioning model will be put into place which allows the council to call off specific resources.

4.9 Flexible provisioning

All ICT contract and supplier management will fall under the remit of DCC Procurement, working closely with ICT colleagues. This is to ensure that the necessary professional skills are in place to manage supplier relationships and ICT contracts, and to ensure compliance with minimum requirements in relation to GDPR, Information Security, Architectural Principles, the Technology Roadmap, and the Procurement Regulations. This approach also enables close monitoring of overall ICT and Digital spend and enables the Contract team to review whether contracts align with licence requirements and drive value for money overall (e.g., through contract and application consolidation).

4.10 Standard operating procedures

The purpose of standard operating procedures is to help organisations perform better and faster, by reviewing the procedures that are causing the most 'pain' and frustration. Many of the presenting issues in relation to perceived delays and lack of agility from the ICT service will be able to be resolved, or at least improved, by the use of standard operating procedures, and the underlying causes properly identified.

4.11 A delivery model with clearly defined accountability

In any ICT and Digital Service delivery model, it is critical that there are clearly defined accountabilities, particularly for the areas of the highest risk. As part of the risk control framework, it is important for the council to be assured that they know who has ultimate accountability for key elements, such as the running of the live ICT estate, cyber security, problem resolution, GDPR compliant design and for specific projects. The more fragmented responsibilities in each area become, the greater the likelihood of risks materialising.

4.12 A visible performance framework

Service Level Agreements (SLAs) have been used to offer very traditional approaches to measuring what is perceived as quality of service by IT organisations.

These traditional metrics are based on IT infrastructure and applications, such as “server up/down” or response times of an IT software application. When technology was less complex these metrics were fit for purpose.

It could be said that the construct of SLAs is fundamentally the reason IT departments are not perceived as innovative and strategic. IT organisations are often seen by a business as underperforming, disconnected from the needs of the business and simply a “commodity” rather than a partner. One of the major factors is that IT continues to design and report on metrics that have little to no value and do not demonstrate how IT is contributing to an organisation’s business outcomes.

Today, a more meaningful use of SLAs is about measuring business processes mapped to business outcomes. This is in line with the ITIL principle “*Focus on value*” where outcomes, not outputs, are what matters. Measuring business outcomes also takes service consumption into consideration, not only service delivery. This is what ITIL describes as the “*co-creation of value through service relationship*” in which “*customers are an essential element in the process of creating value*”. This means ICT needs to align metrics to outcomes such as an increase in customer satisfaction, contribution to revenue growth and delivery of business efficiencies.

4.13 Co-ordination of resources and activities

Linked to governance and the use of Standard Operating Procedures, there is a need to ensure a co-ordinated approach to the use of resources, to manage and prioritise overall demand effectively and to sequence activity in a logical way which ensures risks are not created, particularly as services transition to live operation. This requires visibility of the overall resourcing pool, and pipeline management of demand. The sequencing of activities also ensures that basic ICT services, like environment management, run effectively and that there are not multiple changes being made to council services at any one time.

5 ICT Function Definitions & High-Level Outputs

The table below details the ICT functions that are required to support the council's Digital, Cloud, and ICT Strategies. It provides a brief definition and high-level outputs of each function.

Function	Definition	High Level Outputs
ICT strategy and alignment	<p>ICT strategy and alignment refers to integrating an organisation's ICT strategy with its overall business strategy. ICT alignment aims to ensure that ICT investments and initiatives support and enhance the business's goals and objectives and that ICT is being used effectively and efficiently to meet the council's needs.</p> <p>It involves a close collaboration between the business and ICT departments to ensure that ICT is aligned with the business goals and that the business is taking advantage of the opportunities ICT can provide. This includes aligning technology investments with business priorities, ensuring ICT projects are aligned with business processes and operations, and managing risks related to ICT and the business.</p>	<ul style="list-style-type: none"> • End-to-end solutions, providing improved efficiency and productivity, • Evidence to support better decision-making, • Enabling proactive business responses. • Customer focus improves customer satisfaction. • ICT alignment also helps the council stay ahead of the curve by ensuring they are taking advantage of new and emerging technologies that can help the service areas.
Strategic Business Planning	<p>Strategic Business planning helps align business and ICT. It provides a visual blueprint, demonstrating the connection between applications, technologies, and data to the business functions they support.</p>	<ul style="list-style-type: none"> • Technology and Product roadmaps for key line of business systems • Horizon scanning • Innovation • It improves the council's operations. • It improves business agility. • It can help the IT team earn stakeholder buy-in • Assesses organisational maturity for adoption.
Architecture Management	<p>The primary objective of the ITIL Architecture Management process is to define & maintain a baseline for future technological development, bearing in mind the council's service strategy and any newly available technologies.</p>	<ul style="list-style-type: none"> • Produce and maintain as-is technology landscape diagrams. • Produce and maintain to-be technology landscape diagrams. • Define architecture principles. • Knowledge sharing good practice architecture with the business.

Function	Definition	High Level Outputs
Architecture Standards	<p>Identifies and selects which Enterprise Architecture framework and methodologies are to be used within DCC. Responsible for putting the nominated framework/methodology in place and communicating to ICT and the rest of the council the standards contained within the framework.</p> <p>Responsible for ensuring the standards are understood, adhered to and maintained.</p> <p>Examples of Frameworks are.</p> <ul style="list-style-type: none"> • The Open Group Architectural Framework (TOGAF) • Gartner's Enterprise Architecture Framework • The Zachman Framework 	<ul style="list-style-type: none"> • Run the Architectural Review Board (ARB) • Defined Architecture Standards and Templates. • Architecture Standards Governance Process • Training and Communications on the use of Architecture Standards.
Enterprise and Solution Architecture	<p>Enterprise & Solution Architects are leaders working across various levels within the council to translate the business strategy into business change and technical delivery. They own the enterprise architecture vision, strategy and roadmaps from a business, technology, security, and data perspective, including 'as is', 'to be' and transitional states.</p> <p>Responsible for designing business solutions that comply with Enterprise Architecture principles and best practices.</p>	<ul style="list-style-type: none"> • Identified priorities for change to enable delivery at pace. • Signed-off designs for business solutions
ICT Cyber Security	<p>ICT Cyber Security is the collective strategies, methods, solutions, and tools used to protect the confidentiality, integrity and availability of the council's data and digital assets.</p> <p>A comprehensive ICT security strategy leverages a combination of advanced technologies and human resources to prevent, detect and remediate a variety of cyber threats and cyberattacks. It will include protecting the</p>	<ul style="list-style-type: none"> • ICT Cyber Security Strategy • Cyber Security Framework • Cyber Security designs for solutions • Cyber Security governance • Cyber Security threat monitoring and prevention/remediation. • Cyber Security awareness training and communications.

Function	Definition	High Level Outputs
	council's ICT systems, networks, and data from unauthorised access, use, disclosure, disruption, modification, or destruction.	
Data Architecture	Data Architecture is the framework of models, policies, rules, and standards that the council uses to manage data and its flow. It describes how data is collected, stored, arranged, integrated, and consumed. Data Architecture is the foundation of an effective data strategy and is essential for data processing and artificial intelligence applications. A Data Architecture, in part, describes the data structures used by the council and its computer applications software. Data Architectures address data in storage, data in use, and data in motion; descriptions of data stores, data groups, and data items; and mappings of those data artifacts to data qualities, applications, locations, etc.	<ul style="list-style-type: none"> • Target state data architecture • Data platform design including data integration. • Data framework • Data policies • Data standards • Defined data structures
Data Platform & Tools	The purpose of a data platform is to collect, store, transform and analyze data and make that data available to (business) users or other systems. It is often used for business intelligence, (advanced) analytics (such as machine learning) or as a data hub. The platform consists of several components that can be categorised into common layers that each have a certain function. These layers are Data Sources, Integration Layer, Processing Layer, Storage Layer, Analytics Layer, Visualisation Layer, Security, and Data Governance	<p>Design/Specification, of the various data tools used by the data platform. E.g.</p> <ul style="list-style-type: none"> • Integration layer, • Data cleansing • Data migration, • Data analytics • Data Processing.
Data Centre Management	Overseeing of a series of processes, services, and applications related to data centres. This includes the consideration of dealing with large volumes of equipment, software,	<ul style="list-style-type: none"> • Definition and identification of all assets within the data centre ecosystem. • Quicker rollout of new equipment and processes.

Function	Definition	High Level Outputs
	<p>and data as well as maintenance and security.</p> <ul style="list-style-type: none"> • Maintenance of data centre hardware and software, including updates and installation • Connectivity solutions to external 3rd parties using Internet Service Providers and Network Service Providers • Managing data and application storage, flow, and distribution • Planning and execution of robust backup methodology • Disaster Recovery and Continuity Planning • Day to day technical support (in some cases, additional out of hours emergency support) 	<ul style="list-style-type: none"> • Build relationships with 3rd party users to enable new services for workforces. • Cost savings with cross connect services to internet and cloud service provider nodes. • Increased operational efficiency resulting in improved energy and cooling costs. • Revealing previously untapped capacity. • Futureproofed capacity • Plan for growth in the future. • 2nd & 3rd Level Support
Network Management	<p>The process of orchestrating network traffic and data flow across the enterprise ecosystem using network monitoring, network security, network automation, and other tools either hosted on-premises or on the cloud.</p>	<ul style="list-style-type: none"> • Network Strategy • Network fault management: to anticipate, detect, and resolve network faults to minimize downtime. • Automated network configuration management: Network configurations are a key aspect of performance. These configurations are expected to change dynamically to keep up with data and traffic demands. • Network performance management to help boost network uptime, service availability, and concurrent bandwidth speeds. • 2nd & 3rd Level Support
Environment/Release Management	<p>IT Environments Management encompasses a set of best practices proposed to provide an effective, end-to-end management service for test software platforms or development environments. The software test bed or development environment could consist of a client server application, Relational Database Management</p>	<ul style="list-style-type: none"> • Environment set up including Hardware, network, firewalls, storage and applications required for testing. • Release management • Source Code Management • Source Code deployment • Data Archiving (job scheduling only) • Change Management (for stages prior to Live release only)

Function	Definition	High Level Outputs
	System (RDBMS), middleware, interfaces, daemons, customized processes (written in any software programming language), FTP utilities etc. Functional test phases such as Unit, Integration, Acceptance, all manner of performance or non-functional testing and development phases all require IT Environments.	
Application Development	Planning, designing, creating, modifying, testing and deploying software applications to meet specific business requirements and objectives. Integrating Software as a Service (SaaS) applications Managing and maintaining on-Premises and Legacy applications.	<ul style="list-style-type: none"> • Planning and research • Design and prototyping • Code development • Testing and optimization • Release and maintenance
Microsoft Centre of Excellence	A Centre of Excellence (CoE) in an organisation drives innovation and improvement and brings together like-minded people with similar business goals to share knowledge and success, while at the same time providing standards, consistency, and governance to the organisation.	<ul style="list-style-type: none"> • Operational applications delivering measurable business value. • A team of trained resources adept at building applications • A knowledge base that drives further development • Industry and organisation specific best practices around data management, application build, change management, program management, and reusable code base. • Reduced silos of knowledge and data
Test	Evaluating and verifying the functionality, performance, and quality of software applications through various testing techniques and methodologies. Application testing refers to testing any software application using scripts, tools, or test automation frameworks to identify errors. It helps teams release bug-free and robust software applications into the real world. It also enables teams to identify bugs in the early stages of development and save development time.	<ul style="list-style-type: none"> • Test Plans mapped to business requirements. • Test Scripts • Defect remediation • Tested Applications <ul style="list-style-type: none"> • Web, desktop, and mobile App testing • Smoke, regression, acceptance, functional, non-functional and performance testing • Unit, integration, and system testing

Function	Definition	High Level Outputs
Website Management	<p>The ICT function for websites is to support the business (Digital communications team) with the back-office duties required to support the website. The scope of this support is limited to supporting the application that the website is hosted on.</p> <p>Out of scope for ICT: Website management is the process of maintaining and developing a website so that it is secure, attractive, fully functional, and up to date, once you've built your website. This process applies to the site's design, structure, content, features and marketing.</p>	<ul style="list-style-type: none"> • Managed application – maintenance and application 'housekeeping' tasks • Application support service <ul style="list-style-type: none"> • Deployments/ release management • Hot fixes, vendor fixes and security patches & updates. • Apps performance and optimization • Availability and performance monitoring and alerting • UAT Testing
Service Design	<p>Service Design identifies service requirements and devises new service offerings as well as changes and improvements to existing ones.</p> <p>To coordinate all service design activities, processes, and resources. Design coordination ensures the consistent and effective design of new or changed IT services, service management information systems, architectures, technology, processes, information, and metrics.</p>	<ul style="list-style-type: none"> • Defined new services including all component elements.
Business Relationship Management	<p>Business Partners are members of ICT, who function as a connector, a bridge, linking functions and business units (at different levels sometimes including sometimes at C-suite level) to ensure that the technical expertise they have to offer is placed within the real and current concerns of the business to create value. The Business Partner will work with business areas to:</p> <ul style="list-style-type: none"> • Create Business Value, • Implement ICT architecture and compliance policies, • Provide Technical Specialist, 	<ul style="list-style-type: none"> • Increased business agility and responsiveness. • Faster application of innovative approaches and solutions. • Effective compliance and control mechanisms.

Function	Definition	High Level Outputs
	<ul style="list-style-type: none"> Functional Intermediator 	
Business and Financial Planning	<p>Business financial planning (BFP) is the process of creating a financial roadmap to help ICT achieve its objectives. It documents the financial budget, data, and KPIs for the next three to five years. It also helps the business to balance competing priorities, implement strategies, and select suitable products or services. It involves evaluating the current financial status, setting short-term, intermediate-term, and long-term goals, and creating a budget plan. The ICT BFT should be based on and support the council's Strategic objectives</p>	<ul style="list-style-type: none"> Annual ICT Business Financial Plan.
Requirements Gathering	<p>Business Requirements gathering is the process of working with the business stakeholders to identify the business outcomes (requirement) required. Working with the suppliers to show how each requirement is fulfilled. Note - Requirements should be documented in terms of business outcomes not the way of delivering them. Each requirement should have a business owner. Requirements Traceability Matrix are live documents which for each requirement show the owner, success criteria, how it is being satisfied, by whom and the test results with evidence to show the requirement is fulfilled.</p>	<ul style="list-style-type: none"> For Each project Functional requirement Log Non-Functional requirement Log Requirement Traceability Matrix Signed off Prioritised Requirements Document
Digital Adoption	<p>Working with the business to overcome change resistance when introducing new products or services. To facilitate the embracing and integrating digital technologies, tools, and change in working practices within an organisation to enhance productivity, efficiency, and customer experiences.</p>	<ul style="list-style-type: none"> Benefits Identification & Map Change Plan Communications Strategy Comms Plan Training Approach, Training Plan
Demand Prioritisation	<p>A demand prioritisation process is rooted in two principles: The intent is to fulfill demand</p>	<ul style="list-style-type: none"> Real time view of project resource capacity

Function	Definition	High Level Outputs
	<p>whenever it is practical and will result in an increase in marginal profits. Prioritisation activities are unnecessary when demand and supply differ within a period that allows operations to be changed without impact on costs or other operations.</p>	<ul style="list-style-type: none"> • Project pipeline of when projects can be completed or resourced. • Informed decisions based on resource availability and business priorities. • Identification of capacity/capability bottlenecks that need additional resources.
<p>Technical Project Management</p>	<p>Technical project management is the process of managing IT or IT-related projects. A technical project manager is a person who has technical expertise in IT, manages IT projects, and leads technical teams within an organization. Technical project management requires both technical and management skills and is a hybrid role.</p>	<ul style="list-style-type: none"> • Managed and controlled project delivery • Robust project budgets • Robust project plans • Successfully delivered projects on time quality and budget. • Risks & Issues identified and proactively managed. • Expectations of Stakeholders managed.
<p>Service Desk</p>	<p>The single point of contact between ICT and the users, the service desk manages incidents and service requests and handles communications with the users. A service desk is a communications centre where customers, employees or other stakeholders can find help from their ICT resolver teams. As the ITIL service desk definition states, this help may take the form of incident resolution or service request fulfilment, but regardless of what type of help is being provided, the goal of a service desk is to deliver high-quality service to customers in a timely manner.</p>	<ul style="list-style-type: none"> • Enabling and continually improving effective, efficient, and convenient communications between the service provider and its users to deliver a high-quality service to customers in a timely manner.
<p>Service Management</p>	<p>Service Management is a customer-focused approach to delivering information technology. Service Management focuses on providing value to the customer and on customer relationships. Service Management provides a framework to structure IT-related activities and the interactions of IT technical personnel with customers and clients.</p>	<ul style="list-style-type: none"> • A published service catalogue covering all the service descriptions. • Integrated ITIL processes to deliver monitor and report on all ICT services.

Function	Definition	High Level Outputs
	<p>A service is a coherent, ready-to-use deliverable that is of value to the customer. Services allow customers to do business without worrying about underlying technology or IT infrastructure.</p>	
Request Management	<p>Service request management is a key component of the ITIL framework and is designed to shine a light on important service request data, help establish customer expectations, and address employee-initiated service requests effectively and conveniently.</p> <p>The ITIL service request definition states that it is a procedure of getting, recording, and responding to service requests known as service request management. Service request management is critical for service teams that get a high volume of requests (such as IT) to manage such requests and ensure that nothing gets missed.</p>	<ul style="list-style-type: none"> • Acknowledge, process, and allocate requests to the appropriate resolver team. • Follow up on service requests to ensure that workers are satisfied with the assistance they get. • Standardise requests by creating a service catalog that specifies the services that are provided. • Monitor service requests from submissions to service request fulfillment. • Control and optimize the resolver teams' response to service inquiries. • Manage and control the resolver team's bandwidth to avoid oversubscription.
End User Computing (EUC)	<p>End User Computing (EUC) encompasses user access to enterprise applications and data anywhere, anytime, using one or more devices to access virtual desktop infrastructure (VDI) located either at the enterprise's premises or in the public cloud. EUC provides support for a broad range of client devices including traditional PC, tablet, smartphone, or thin-client terminal device. EUC devices can either be provided by the enterprise or bring-your-own-device (BYOD) owned by employees or other users.</p>	<ul style="list-style-type: none"> • Management and deployment of operating systems and applications for desktop systems, smartphones, tablets, and other mobile devices. • Management of virtual desktops and applications. • Management of user access to enterprise applications and data.
Service Support	<p>There are usually 3 levels of Service Support:</p> <p>Level 1 support is the first tier of support, usually provided by service desk personnel with the least experience of technical issues, and limited access to company information.</p> <p>Level 2 support take queries from Level 1. This level of help mostly</p>	<ul style="list-style-type: none"> • Quick resolution of technical issues • Identification and resolution of repeat and endemic technical or procedural issues • Monthly stats and reports on first time fix. • Creating a positive customer experience

Function	Definition	High Level Outputs
	<p>deals with in-depth troubleshooting and backend analysis.</p> <p>Level 3 support technicians attempt to define the root cause of the problem by looking into code and designs in a lab setting. These technicians may raise the issue with the company to make changes to a product and pass down the solutions to Tier 1 and 2 support.</p>	<ul style="list-style-type: none"> Increased employee satisfaction
Early Life Support	<p>Ring fenced service desk resourced that work exclusively to support new projects as they go live. Early Life Support prevents the Business as usual (BAU) Service Desk being overwhelmed by queries or issues resulting from implementing a new project. The Early Life support team, work with the project team to identify trends and assist with root cause analysis prioritisation and resolution.</p>	<ul style="list-style-type: none"> Log of all calls related to a new project. Resolution of call or handover to project team for resolution. Prioritised trend analysis of calls / issues. Early identification of potential issues. Improved employee satisfaction.
Access Management	<p>Access Management is the process responsible for allowing only authorised users to access certain assets and IT services while preventing unauthorized users from accessing them.</p> <p>The main objective of access management is to safeguard data from being accessed by unauthorised users. This is extremely vital for an organisation as critical data falling into the wrong hands could cause irreversible damage to the company.</p>	<ul style="list-style-type: none"> The confidentiality of information will be maintained. Ensures that the employees have only the required level of access to complete their jobs effectively. Verification of the identity of a user making a request and the legitimacy of the request being made. It provides a means to audit the IT services and trace any misuse of the services. Ensures that access to the service to a particular user can be withdrawn when needed to comply with security requirements.
Disaster Recover Management	<p>Disaster recovery is the process of maintaining or reestablishing vital infrastructure and systems following a natural or human-induced disaster. Disaster recovery focuses on information technology (IT) or technology systems supporting critical business functions as opposed to business continuity. This</p>	<ul style="list-style-type: none"> Maintained recovery plan. Agreed Recovery Point Objective (RPO). This is the maximum acceptable interval during which transactional data is lost from an IT service. Agreed Recovery Time Objective (RTO). This is the targeted duration of time and a

Function	Definition	High Level Outputs
	involves keeping all essential aspects of a business functioning despite significant disruptive events; it can therefore be considered a subset of business continuity. Disaster recovery assumes that the primary site is not immediately recoverable and restores data and services to a secondary site.	service level within which a business process must be restored after a disruption in order to avoid a break in business continuity.
Service Catalogue Management	A service catalog lists all the IT services ICT provides for its customers. It brings together a huge amount of information regarding these services. The service catalog will include information about products and services, prices, contact points, contract data, ordering, and request processes. A brochure-style service catalog can double up as marketing material, showcasing your IT services to potential customers.	<ul style="list-style-type: none"> • Standard service definitions. • Identified mission critical services, business critical services, business operational services, and administrative services. • Published SLA's, per service.
Service Readiness	Operational Readiness and Release Management aim to ensure that the transition of a new or modified service into a live environment goes as smoothly as possible and that the service meets the predefined operational criteria. The business expectations for service releases are twofold: speed and agility, and error free service delivery.	<ul style="list-style-type: none"> • Service transition and release plans covering the testing and implementing of service processes and the support model before the release. • An operational readiness and release management checklist that helps to ensure a smooth transition, providing transparency of operational readiness of services and giving all parties a common understanding of the steps and key criteria for acceptance.
Capacity Management	Capacity management involves right-sizing IT resources to meet current and future needs. Capacity management is proactive, not reactive, and aims to ensure that business and service needs are met with a minimum of IT resources. It also includes the service designs, plans, and processes that affect the cost and availability of IT resources.	<ul style="list-style-type: none"> • Short, medium, and long-term capacity plans aligned to business requirements. • Early visibility of and proactive management of capacity constraints. • Efficient use of resources • Cost effective and efficient services and solutions.
Environment Management	Environment Management is a set of good practices used to provide an effective, end-to-end	<ul style="list-style-type: none"> • Environment management aims to reduce the risks associated with having multiple environments

Function	Definition	High Level Outputs
	<p>management service for all pre-production (e.g., developer, build, test, staging) and production environments used when releasing changes to software projects, products, platforms, and services.</p> <p>Having lots of teams and lots of environments, many of which multiple teams may need to use, causes two main problems:</p> <ol style="list-style-type: none"> 1. Environmental booking conflicts, which cause delays. 2. Lack of technical consistency between environments, which cause quality issues. 	<p>across multiple teams. This means ensuring that delays, problems, and incidents are not caused by issues that are traced back to environments being incorrectly set up or shared.</p> <ul style="list-style-type: none"> • Reduction in change fail rate through stages • Time saved from less unplanned work.
Vendor/Contract Management	<p>Vendor/Contract management involves identifying suitable suppliers based on specific requirements such as price, quality standards, and delivery timelines. Vendor managers manage the operational activities of acquiring goods or services from suppliers, including procurement planning, supplier evaluation, and the selection process.</p> <p>Vendor managers must establish key performance indicators (KPIs) that measure supplier performance against set goals to make informed decisions regarding ongoing supplier relationships.</p>	<ul style="list-style-type: none"> • Help ensure suppliers meet SLAs by monitoring their performance against agreed-upon metrics. • Ensure better communication between the organisation and its partners. • Having well-defined processes for communicating with suppliers can resolve issues more quickly and efficiently, leading to a better overall customer experience. • Promotes cost optimisation – identifying areas where efficiencies can be gained through streamlining or renegotiating contracts.
Incident Management	<p>Incident management is the process that restores service as quickly as possible, with as little adverse impact as possible. Here the service desk is the single point of contact for all the users communicating with IT.</p>	<ul style="list-style-type: none"> • Single point of contact for incident, and information related to it. • Co-ordinated response to incident • Fully aligned with Problem Management proactively working closely together. • Improved first-time fix rates, • improvement in overall service quality, • increased customer satisfaction

Function	Definition	High Level Outputs
Problem Management	The primary objectives of problem management are to eliminate recurring incidents (problems) and to minimize the impact of incidents that cannot be prevented. In other words, problem management people pop up after normal service has been restored and act as detectives to figure out what happened, what caused things to go wrong, how it was fixed, and how to stop recurrence.	<ul style="list-style-type: none"> • Fully aligned with Incident Management proactively working closely together to spot trends and reoccurring incidents. • Root cause analysis. • Improved first-time fix rates, • improvement in overall service quality, • increased customer satisfaction
IT Change Management	ITIL defines change management as the process of tracking and managing a change throughout its entire life cycle, from start to closure, with the aim to minimize risk. A change is defined as "the addition, modification or removal of anything that could have an effect on IT services". Setting up a systematic change management process helps your organization implement incident-free changes with a high success rate.	<ul style="list-style-type: none"> • Adherence to the Formal Change Management Process including authorisation. • Published calendar of authorised changes • Back out plan for each change • Risk assessment for each change • Higher rate of successful changes • Reduced risk of impacting existing services.
License Management	Software license management, or SLM, is part of overall software asset management (SAM) capability and involves the process of reducing, documenting, and controlling total IT costs. In short, SLM is a plan to help you monitor and maintain all your organization's various software licenses.	<ul style="list-style-type: none"> • Good understanding of contractual terms related to the type of software licenses being used. • compliance with software licenses (also known as an End-User License Agreement, or EULA) • Reduced license costs • Strong Policies • Clear Controls • Process and Governance.
Asset Management	IT asset management (ITAM) is the end-to-end tracking and management of IT assets to ensure that every asset is properly used, maintained, upgraded and disposed of at the end of its lifecycle. An information technology (IT) asset is any piece of information, software or hardware that an organisation uses in the course of its business activities. Hardware assets include physical computing equipment like physical servers	<ul style="list-style-type: none"> • Detailed inventory of all IT assets • IT assets are maintained according to their lifecycle stage. • Understanding the total cost of ownership (TCO) • Maintained TCO model. • Optimised costs by reducing the total number of assets in use. • Informed decision-making.

Function	Definition	High Level Outputs
	<p>in data centers, desktop computers, mobile devices, laptops, keyboards and printers. Software assets, on the other hand, include applications for which licenses are typically issued per user or machine, as well as software systems and databases built using open-source resources. Software assets also include cloud-based assets, such as Software-as-a-Service (SaaS) applications.</p>	
<p>Vulnerability Management</p>	<p>Vulnerability management, a subdomain of IT risk management, is the continuous discovery, prioritisation, and resolution of security vulnerabilities in an organization's IT infrastructure and software. A security vulnerability is any flaw or weakness in the structure, functionality, or implementation of a network or networked asset that hackers can exploit to launch cyberattacks, gain unauthorized access to systems or data, or otherwise harm an organisation. Examples of common vulnerabilities include firewall misconfigurations that might allow certain types of malware to enter the network, or unpatched bugs in an operating system's remote desktop protocol that could allow hackers to take over a device.</p>	<ul style="list-style-type: none"> • Continuous vulnerability lifecycle management • This lifecycle comprises five ongoing and overlapping workflows: Discovery, categorisation and prioritisation, resolution, reassessment, and reporting. • Risk-based vulnerability management.
<p>Event & Alert Management</p>	<p>Event & Alert Management deals with any kind of Event & Alert in the IT infrastructure and IT services. A well-defined and controlled process leads to the effective handling of these events and alerts. Event & Alert Management is triggered by occurrence of noticeable signals or messages which has significance for the services of infrastructure.</p>	<ul style="list-style-type: none"> • Defined correct level of filtering of events and alerts. • Close integration of Event & Alter monitoring in the Service Management Processes • Defined thresholds together with Service Design and Service Operations in trial-and-error manner • automated monitoring of systems and services for Event & Alert Monitoring.
<p>Patch Management</p>	<p>Patch management is the process by which organizations gain, test, and install multiple patches (sets</p>	<ul style="list-style-type: none"> • Up-to-date inventory of all DCC production systems • Determined degree of risk

Function	Definition	High Level Outputs
	of codes) in various operating systems and applications within the network to protect those systems and applications from potential threats and ensure business operations continuing. While waiting for the suppliers to give the most recent version, the patches apply to the running code to offer an extra layer of protection. The administrator of the information technology must be accountable for building a properly configured IT infrastructure and securing it against vulnerabilities.	<ul style="list-style-type: none"> • Roll out a plan for standardising computer systems and operating systems to the same version. • Automated Patch Management.

6 ICT Target Operating Model (TOM)

In developing the Target Operating Model to support the Digital, Cloud and ICT Strategies, what works well at high performing Local Authorities has been drawn upon, with ITIL best practice, taken into consideration as the council’s starting point. This has enabled the development of a functionally orientated modular Operating Model, with sufficient flexibility to enable the council to quickly create multi-disciplinary teams for project work. This approach considers the diverse types of inputs that different projects might need, the overall resilience is required to run an ICT service and the opportunities created by making improvements to operating and governance processes.

To deliver DCC’s Digital, Cloud and ICT strategies the ICT Operating Model is built based on the premise of authority over a technical domain. It is led by the newly created Director Digital, supported by one Assistant Director heading up the Strategy and Architecture functions and three Heads of Service heading up Applications & Infrastructure, Business Engagement, and Service Management respectively.

The Director Digital will manage and drive value from the use of modern technologies and approaches to digital services within the council. Main duties will include:

- Developing and implementing the technology vision and strategy for the council, aligned with its goals and objectives.
- Overseeing and supervising the research and development of modern technologies, products, or services that can improve what the council delivers.
- Providing technical guidance and advice to the MD, EDs, Statutory Officers and other senior leaders on technology related matters, such as innovation, digital transformation, security, privacy, and governance.

- Setting strategy and direction for the evaluation and selection of the appropriate technology vendors, partners, platforms, and systems for the organisation, negotiating contracts, and managing key relationships.
- Ensuring the monitoring and assessment of the performance, efficiency, and effectiveness of the technology systems and solutions, identifying issues and opportunities for improvement or innovation.
- Staying abreast of the latest technology trends and developments in the market, anticipating potential disruptions or opportunities for the council.

The Assistant Director for Strategy and Architecture has four areas of responsibility:

- Strategy and Architecture covering, ICT Strategy and Alignment, Strategic Business Planning, Architecture Standards & Management, and Solutions. This overall function is vital for defining and enabling DCC's future technical and architectural direction with the publication of architecture standards and application roadmaps and ensuring solutions and services are aligned.
- Compliance and Security, ensuring that cyber security and technical compliance (PSN accreditation, Cyber Essentials, etc) are identified and maintained.
- Data Architecture and the data platform and tools required by the council's Business Intelligence function.
- Information Governance, ensuring that DCC maintain compliance with ISO27001 information governance standards.

The Head of Service for Applications & Infrastructure is responsible for the technical delivery of all applications and infrastructure, this includes:

- Development, support and maintenance of the both the on-premise and cloud-based infrastructure, applications and network components. As on-premise applications and data are migrated to the cloud it is anticipated that resources will upskill to work on new cloud technologies and gradually move across to the Microsoft Centre of Excellence.
- Digital Services: responsible for support and maintenance of the council's websites and the new service design, user research and user experience functions which will be vital in working with service areas, colleagues, and residents to deliver customer-centric services.

The Head of Service for Business Engagement has three principal areas of responsibility:

- Customer Engagement: this includes the functions necessary to understand and address the key digital challenges faced by service areas, introducing the Business Engagement function to liaise between Enterprise Architecture and the service areas to advise on how they can take advantage of digital technology to improve their services and make them more efficient. Business Analysts tease out the service areas' requirements and provide input for the Solution Architects, then the demand management team works with the Portfolio Management Office (PMO) to prioritise demand and ensure what is

important to the council gets addressed. Technical Project Management delivers the solutions and Digital Adoption help to embed the new ways of working that projects will facilitate.

- Business Relationship Management: this function acts as the main conduit and triage between the council's directorates and Digital Services to help prioritise business projects requiring ICT resources.

The Digital Adoption function plays a crucial role in ensuring that digital transformation within DCC is successful, it provides training and guidance through a variety of media such as content rich video, bite-sized learning and FAQs. They are responsible for ensuring that information is socialised through the Digital Champions network of approximately 350 users throughout DCC, enabling the council to adopt new technology and capability quickly and consistently.

The Head of Service for Service Management has five main areas of responsibility and acts as the back office, administration functions that keep ICT running smoothly and consisting of:

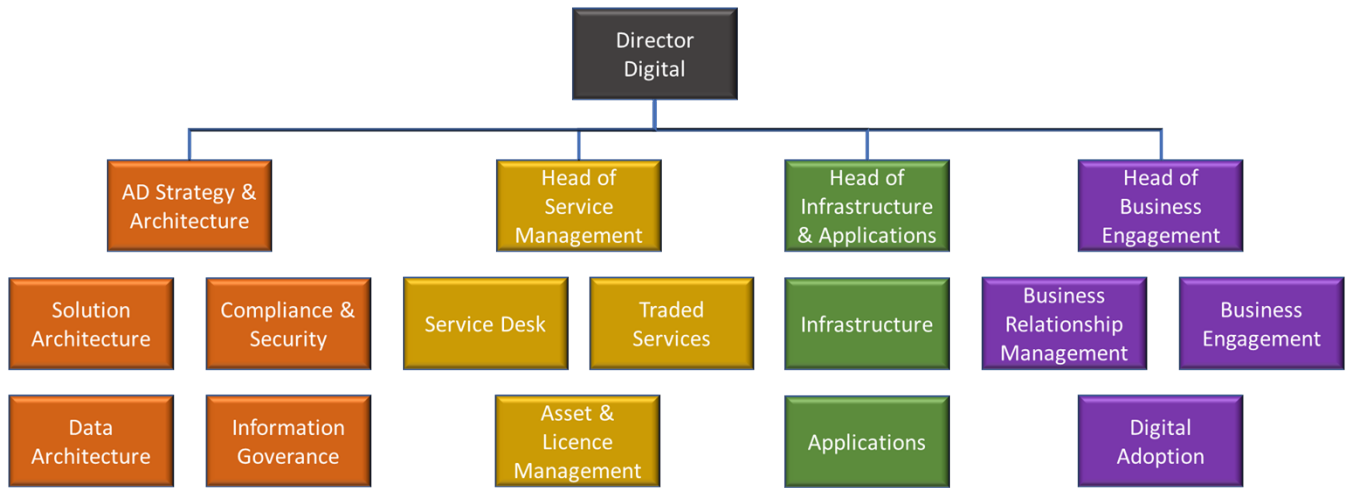
- Service desk: the main 'front door' for users into Digital Services helping to resolve technical problems, answer queries, and manage service requests, some of the key functions provided are:
 - Incident Management: Handling and resolving incidents (such as software glitches, hardware failures, or network issues) reported by users.
 - Service Requests: Fulfilling user requests (such as password resets, software installations, or access permissions).
 - Problem Management: Identifying and addressing underlying issues to prevent recurring incidents.
 - Change Management: Managing changes to IT systems and infrastructure.
 - Knowledge Base: Maintaining a repository of solutions, FAQs, and troubleshooting guides.
- Catalogue Management involves creating and maintaining a catalogue of IT services that Digital Services offers. It ensures that a precise and consistent picture of each IT service is readily available to those who need it. In the context of ITIL, it provides a single source of consistent information on all services and service offerings and includes details such as features, benefits, SLA, points of contact, vendor support and design information.
- Licence Management tracks, organises, control, and manages software usage across DCC. Right-sizing, planning and effective licence management ensures that DCC avoid unnecessary costs, maintain compliance, and ensure efficient utilisation of software resources across the estate.
- IT Asset Management (ITAM) is the process of ensuring that DCC's assets are accounted for, deployed, maintained, upgraded, and securely disposed of when the time comes. The service ensures that IT assets are properly amortised to provide the best value for the council.

- **Traded Services.** This function provides traded services out to over 220 schools across Derbyshire, these include Service Desk (not linked to DCC service desk function), on-site engineer support, Professional Services, infrastructure support, data migrations, Cyber Security review remediation and Risk and Insurance support.

There are ICT functions currently in other areas of the council which it is recommended should move in a phased approach to centralise within ICT. These areas are primarily Finance, Adult Social Care, and Children's Services. There are also opportunities for synergies by merging the current ICT Traded Service "School Support Team" with the Children's Traded Service "Education Data Hub". Given the scale of work to be undertaken it is recommended that this should be conducted on a phased basis.

The resultant Target Operating Model can be seen in in Figure 1 below:

Figure 1 - ICT Functional Operating Model



6.1 Roles, skills, and capabilities

New job descriptions will detail skills and capabilities to align with industry standard ITIL functions and SFIA competencies, suitably linked to the council's Job Evaluation scheme. These skills and capabilities requirements will be used to create a baseline skills matrix of core digital skills. A skills assessment will then be carried out to capture current digital skills and use this to highlight gaps, then a digital skills framework developed that grows capabilities will be actioned.

6.2 Key Elements

The new Target Operating Model addresses many of the challenges faced by the current ICT model, and positions the function as a flexible, business-oriented partner for the council's service areas:

- It has a director level role to sit at the top table to provide visibility, influence and direction of ICT.
- The Senior Management (Heads of Service) roles have been aligned with ITIL Best Practices.
- The Strategy and Architecture role has been elevated to an Assistant Director role to provide sufficient seniority and influence right across the council.
- All ICT/Digital resources and budgets are transferred to Digital Services to allow central control and governance to be applied.
- A centralised contract and vendor management function to allow a standardised proactive approach to be taken for managing contracts and vendor performance, moved under the professional practice of DCC Procurement.
- This model would achieve single line management of all the ICT, Digital, Data and Technology resources.
- It is the most efficient delivery model to streamline ways of working and optimise overall value for money.
- It would operate as a commissioning model, where Business Relationship Managers work with service areas to plan out work against agreed criteria and strategy prior to being submitted to the PMO for prioritisation.

6.3 Impacts on Other Service Areas

There are some traditional ICT functions and contract budgets that are currently delivered in the Service Areas; referred to in this paper as "Shadow ICT".

The council has agreed the centralisation of all technical Responsibility, Accountability and Authority, including budget, under the new Director Digital role. The functions outside the current central ICT service would be moved to Digital Services to put in place new governance for all technology development, centralising hardware and software management, improving service delivery, ensuring that all changes are aligned with the overall digital and technology direction, and ultimately lowering the overall cost of ICT provision for the council.

More detailed analysis of each functional area will be conducted to ensure that the appropriate changes are made, and the impact upon service areas is minimised. This detailed work would form the second phase of implementation of the TOM. An outline of the impact in each area is shown below.

6.3.1 Adult Social Care & Health. Digital and Partnership Team.

Adult Social Care & Health				
Functional Description	ICT Projects, Partnerships and Digital Adoption			
	ICT Projects, Partnerships and Digital Adoption		Management Information	
	Snr Project Officer 4x FTE	Project Officer 3x FTE	Mosaic (MI) 1x FTE	General MI 3.6x FTE
	<ul style="list-style-type: none"> • Focus on health • Continuous Improvements, MS Forms, Power Apps, Mosaic workflow • Cisco Meraki rollout to care settings • BAU managing Smartphones zero usage and cancelling contracts • Licence management for students and agency workers • Digital Champions 		<ul style="list-style-type: none"> • Manual provision of data and reports to provide evidence to support Care Act compliance and CQC audits • Augment with knowledge and skills from Power BI CoE 	
	Phase 0		No Change	No Change
Phase 1		Consider Review	Consider Review - Remain within ASCH but develop BI tools and governance	
Phase 2		Migrate to Digital Services	Migrate to Digital Services	

6.3.2 Childrens Services. Digital & Data Services, Strategic Commissioning, Quality & Performance

Childrens Services					
Functional Description	Digital & Transformation		Systems & BI	Information Governance	Traded Services (250 Schools)
	11.4x FTE	4x FTE	21.8x FTE	18.4x FTE	15.35x FTE
	<ul style="list-style-type: none"> Relationship management Assets Management (tracing missing devices) Digital Adoption M365 SharePoint Benefits realisation Contract Management Procurement support ICT problem/issue resolution exceptions 	<ul style="list-style-type: none"> Website Content managements, Schools extranet, Local Offer & Family Information Services 	<ul style="list-style-type: none"> Business Intelligence Inspection Readiness Data Dashboards Strategic systems (Mosaic, Core+, Synergy and Terms) workflow, config, systems admin and reporting) Migrating 600 reports to Power BI Supporting Families Data Quality FOI Requests 	<ul style="list-style-type: none"> IG policies and procedures FOI Requests Information sharing agreements Privacy notices Records management School's statutory returns Subject Access Requests <ul style="list-style-type: none"> Complaints Childrens Life Stories EHCs 	<ul style="list-style-type: none"> Education Data Hub (EDH), comprising; <ul style="list-style-type: none"> GDPR Compliance Audits & support Data management for schools Cyber Security, accreditation and support Training (data management, Security)
Phase 0	No Change	No Change	No Change	No Change	No change
Phase 1	Consider Review	Consider Review	Consider Review – move 25% to BI hub	Consider Review	Consider Review – Education Data Hub
Phase 2	Migrate to Digital Services	Migrate to Communications	Migrate to Digital Service BI Hub	Migrate to Digital Services	Migrate Education Data Hub

6.3.3 Finance. Core Systems Team.

SAP							
Functional Description	SAP Technical Lead			Reporting	HR	Procurement	Finance
	Basis	Development	Roles				
	<ul style="list-style-type: none"> BAU support Configuration management Process scheduling Release management Patching Statutory changes for year end 	<ul style="list-style-type: none"> Configure workflows Maintain interfaces Develop application code Database management 	<ul style="list-style-type: none"> Security Permissions Fiori – Application design, eg, Flexitime, annual leave approvals, sickness, etc. 	<ul style="list-style-type: none"> Business Warehouse functional experts Report writing Makes data available to functional teams Report creation in Power BI 	<ul style="list-style-type: none"> Overall functional support and guidance 3rd level support and CI Translates business requirements into technical specifications for SAP Basis development BAU support for current interfaces into functional areas Manages changes and improvements into the functional areas Develops workflow. 		
3x FTE	4x FTE (1 vacancy)	4x FTE	3x FTE	10x FTE (3 vacancies)	4x FTE (1 vacancy)	3x FTE	
Phase 0	No Change			No Change	No Change		
Phase 1	Consider Review			Consider Review	No Change		
Phase 2	Migrate to Digital Services			Migrate to Digital Services	No Change		

6.3.4 ICT

Digital Services				
Functional Description	Strategy & Architecture	Business Engagement	Service Management	Applications & Infrastructure
	Solutions Architecture	Business Analysis	Asset Management	Applications
	Data Architecture	Project Management	Service Desk	
	Compliance & Security	Business Relationship Management	Licence Management	Infrastructure
	Information Governance		Vendor & Contract Management	
		Traded Services		
Phase 0	Information Governance moves from Finance	No Change	No Change	No Change
Phase 1	No Change	No Change	Review – Traded Services Vendor & Contract to Procurement	No Change
Phase 2	No Change	No Change	Consolidate – Traded Services Vendor & Contract to Procurement	No Change

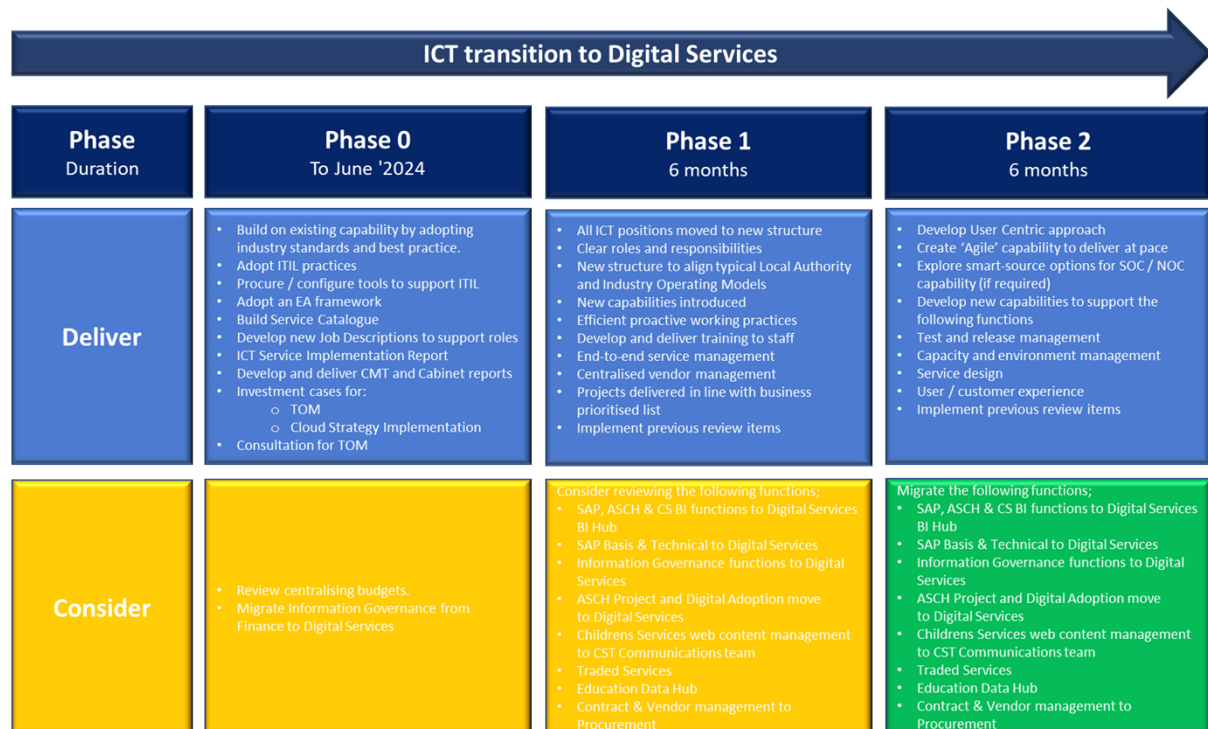
7 Proposed Transition Approach – Moving from the As-Is state to the TOM

A phased approach to transitioning to the Target Operating Model is recommended.

Phase 0 builds upon the stabilisation work already underway within ICT and adoption of industry standards and practices such as ITIL, the development of the Enterprise Architecture Framework, and the communication of these throughout the council. It also prepares for the launch of the TOM by aligning job descriptions, roles and responsibilities to the new structure, conducting digital skills assessments and preparing training frameworks.

Phase 1 would move all of the existing ICT staff to the new operating model and allow the new structure to bed in. ICT contract budgets will start to be consolidated under Digital Services' control. It is recommended that other Service Area colleagues are transitioned to Digital Services in Phase 2, thus allowing for a smoother transition into a recently transformed and stabilised environment. New ITIL capabilities such as Business Relationship Management, delivered by the incumbent Service Relationship Managers, will be introduced and the maturity of the ICT service can be considered to have improved a level. Phase 1 will also consider if Childrens Services and ICT Traded Services are to be consolidated.

In Phase 2 roles from ASC&H, Childrens Digital and Partnership would move into Digital Services. Building on the increasing levels of ICT maturity delivered in previous phases, this would allow for additional ITIL capabilities that require a level of organisational maturity to be introduced such as service design and agile delivery.



8 Risks and Assumptions

There is a risk that	Mitigated by
Visibility, influence, and direction of ICT has been minimal	Already addressed: Director of Digital recruited April 2024
Lack of leadership at AD & Heads of Service Level - Fragmented and reactive service delivery, with no roadmap for the service. Not capable of curing itself.	Aligning job descriptions to industry standards and recruit into these roles.
Lack of formal governance structure, process with clear roles and responsibilities - Siloed service delivery, decisions made late or not at all, resulting in DCC being several years behind its peers.	Introduce industry standard Governance procedures such as ITIL and EAF and introduce KPI to track performance against.
Immature and under resourced Enterprise Architecture function - Ageing applications and Infrastructure with increased risk of outages, lack of integration between systems and few end-to-end solutions to provide efficient services.	<p>Further development of the Enterprise Architecture function and framework, building upon already delivered architecture principles, design patterns, with a to-be architecture roadmap, horizon scanning and application roadmaps to ensure a proactive approach is taken to developing future solutions.</p> <p>Build upon the Cloud Strategy and develop business cases and plans to migrate data, applications, and infrastructure to the Cloud taking advantage of the modern technology, security and flexibility the cloud offers.</p>
<p>No Data & Information management function - No single view of data or master data management.</p> <p>Significant manual effort required to provide data and evidence on which to base decisions.</p> <p>Decisions made without supporting information.</p>	To provide information for the council's decision-making processes it is recommended to create a business intelligence Centre of Excellence, hub and spoke model, with the core capability sitting within the hub, providing a self-service capability to each business area spoke.
Lack of central contract management function and capacity to exploit opportunities – e.g., any simultaneous contract end dates - and no single point of review/approval to procure.	<p>Transfer all ICT budgets to ICT and contracts to Procurement.</p> <p>Provide a centralised contract and vendor management function within Procurement to allow a standardised,</p>

There is a risk that	Mitigated by
	<p>proactive approach to be taken for managing contracts and vendor performance.</p> <p>Work with the Enterprise Architecture and Business Relationship functions to ensure solutions/contracts conform to the architecture and application roadmaps.</p>
<p>Service Relationship Managers (SRM's) funded by Business Areas SRM do not fulfil the Business Partner role.</p>	<p>Introduce the Business Relationship Manager role, to provide triage, insight, and requirement gathering with the council. To mediate between the Enterprise Architecture function to advise service areas on emerging technologies they could take advantage of.</p>

9 Investment Case (Target Operating Model)

An analysis of the 'As is' and 'To be' structures indicate that the TOM for the ICT service can be delivered within the current allocated budget for the ICT service. Management of change, to support Director Digital and the Heads of Service in implementing the new TOM is estimated to require additional resource of c.£500k. Any approval for additional funds will be agreed through the council's normal budgeting process.

10 Dependent Functions

Alongside the new Digital Services TOM there are core functions which will sit outside of Digital Services but that will be crucial in the success of the ICT TOM. It is vital that these functions are mature and have the capacity to input and support initiatives from the initial stages of Solution Design.

A critical enabler of an effective ICT service is a mature PMO function to manage and prioritise council requirements and project priorities to enable the Digital Services team to maximise use of capacity.

Once the ICT service has migrated to the new TOM, and connected to progress against the Cloud Strategy, the intention will be to establish a Business Intelligence "Hub" Centre of Excellence. The responsive use of the council's data, which the Cloud Strategy will allow, coupled with the improved Digital capability that the ICT TOM offers, will allow the council to use the data it collects and holds to inform

analysis of service needs, costs of service deliver and decision making to drive further innovation in service design and delivery across the council.



FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

Thursday, 13 June 2024

Report of the Executive Director - Corporate Services and Transformation

Executive Scrutiny Protocol

(Cabinet Member for Corporate Services and Budget)

1. Divisions Affected

County-wide

2. Key Decision

2.1 This is not a Key Decision

3. Purpose

3.1 For Cabinet to adopt the Executive/Scrutiny Protocol as a framework for the relationship between the Executive and the scrutiny process.

4. Information and Analysis

4.1 In 2020 a member led review of the Council's Scrutiny function was undertaken in conjunction with the Centre for Governance and Scrutiny. This review brought about a positive cultural change in the way that scrutiny operates at the Council. As a result of the changes, the approach to scrutiny is far more collaborative between the various committee chairs and senior officers which has enabled far better work programming.

- 4.2 Separate to this the Government has published [Statutory Guidance on Overview and Scrutiny in Local Authorities](#) which promoted a formal working agreement between the executive and the scrutiny function in the form of a protocol. The guidance suggests that an Executive Scrutiny Protocol can help to define the relationship and expectations between the Cabinet and Scrutiny Committees to ensure that the two can work together in a positive and productive way. The guidance makes it clear the protocol may provide a framework, rather than a prescriptive set of rules, it “can deal with the practical expectations of scrutiny committee members and the executive, as well as the cultural dynamics.”
- 4.3 A protocol has been developed in conjunction with the five Scrutiny Committee chairs. The protocol has been discussed and endorsed by the Scrutiny Co-Ordination Group which consists of Scrutiny Chairs, the Managing Director, Executive Directors, Director of Legal and Democratic Services and Councillor Spencer as the relevant Cabinet member.
- 4.4 The protocol is being presented to Cabinet for formal adoption and will be used going forward to regularise the relationship between the Executive and scrutiny. The protocol will also be reported to each of the five scrutiny committees. It is also being recommended, in line with the statutory guidance, that the Scrutiny Co-ordination Group reviews the operation of the protocol after a 12-month period to ensure that it is operating effectively.

5 Consultation

- 5.1 No formal public consultation is required for the protocol, but relevant members and officers have been consulted in its drafting.

6 Alternative Options Considered

- 6.1 Not to agree the protocol. There is no statutory requirement to have an Executive Scrutiny Protocol, but it is considered a matter of good practice to establish such a framework which supports a collaborative approach to Scrutiny.

7 Implications

- 7.1 Appendix 1 sets out the relevant implications considered in the preparation of the report.

8 Background Papers

8.1 None identified.

9 Appendices

9.1 Appendix 1 – Implications

9.2 Appendix 2 – Executive/Scrutiny Protocol

10 Recommendation(s)

That Cabinet:

- a) Approves the Executive Scrutiny Protocol at Appendix 2 to the report; and
- b) Notes that the Scrutiny Co-ordination Group will be reviewing the operation of the Protocol in 12 months' time.

11 Reasons for Recommendation(s)

- 11.1 The Protocol has been developed in order to establish a joint approach between the Executive and Scrutiny in relation to the function of the Scrutiny process and its role in the decision-making structure of the Council. Cabinet is asked to formally approve the Protocol to demonstrate executive support.
- 11.2 A review is recommended to ensure the Protocol remains fit for purpose and up to date.

12 Is it necessary to waive the call-in period?

12.1 No

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Implications

Financial

- 1.1 There are no financial or resourcing implications associated with this report.

Legal

- 2.1 None directly arising from this report.

Human Resources

- 3.1 None directly arising from this report.

Information Technology

- 4.1 None directly arising from this report.

Equalities Impact

- 5.1 None directly arising from this report.

Corporate objectives and priorities for change

- 6.1 A healthy and successful relationship between the Executive and Scrutiny will contribute towards the delivery of High quality public services.

Other (for example, Health and Safety, Environmental Sustainability, Property and Asset Management, Risk Management and Safeguarding)

- 7.1 No relevant implications

DERBYSHIRE COUNTY COUNCIL

Executive-Scrutiny Protocol

Introduction

1. The relationship between the Executive (Cabinet and Portfolio Holders) and the Scrutiny function is governed in part by legislation and the Council's Constitution, in particular the Scrutiny Committee procedures. The purpose of this protocol is to set out the principles which will be followed by both the Executive and the Improvement and Scrutiny Committees.
 - i. To enable Improvement and Scrutiny members and the Executive members to fully understand their powers, roles and responsibilities in relation to the Scrutiny function.
 - ii. To establish a framework and the necessary procedures to enable Scrutiny to work effectively.
 - iii. To define and clarify the role of the Executive in the Scrutiny process.

The Improvement & Scrutiny Committees have very different functions and responsibilities. However, the aim of both the Executive and Scrutiny is to secure the best outcomes for the people who live and work in Derbyshire.

It is the responsibility of the Executive to take decisions to implement the budget and the key policies set out in the policy framework agreed by Full Council.

The Improvement and Scrutiny Committees have a number of responsibilities. These include:

- i. Adding value to the work of Derbyshire County Council
- ii. Holding the Executive to account on behalf of the residents of Derbyshire County Council through the regular review of performance in relation to service delivery
- iii. Holding the Executive to account through scrutinising its decisions
- iv. Undertaking reviews of Council activities and those of other public bodies that affect the people who live and work in Derbyshire, leading to recommendations on improvements which can be made
- v. Calling-in Executive decisions which have not yet been implemented if there is a need for aspects of the decision to be reviewed
- vi. Assisting the Executive in policy formulation and developing recommendations on the budget and policy framework when examining
- vii. Undertaking research and consultation on behalf of the Executive and in advance of Cabinet decisions. This is known as Pre-Decision Scrutiny
- viii. Being engaged with major policy and strategy work at a very early stage. This is known as Pre-Strategy Scrutiny

2. Culture

A Member-led review of Scrutiny was undertaken during 2020 which recommended cultural change ensuring that Scrutiny has a stronger and clearer role, adds value to the work of the Executive and Derbyshire County Council and works closely with the Managing Director and Executive Directors.

3. Relationship between the Executive and Scrutiny

The following principles set out how the working relationship between the Executive and Scrutiny should operate:

- i. The Executive and members of the Improvement and Scrutiny Committees recognise that they each have different functions and responsibilities that contribute to securing the best outcomes for the people who live and work in Derbyshire.
- ii. All participants in the working relationship between Executive and Scrutiny will do so in a spirit of mutual respect and constructive challenge.
- iii. Meetings of the Improvement and Scrutiny Committees should bear in mind the statutory guidance that scrutiny work should be conducted in a non-party political manner
- iv. The Executive recognises that the Improvement and Scrutiny Committees have a number of rights, for example requiring Cabinet Members to attend its meetings or calling-in Executive decisions which have not yet been implemented, should they consider a decision to be reviewed. The Improvement and Scrutiny Committees will exercise those rights responsibly.
- v. One of the principal responsibilities of the Improvement and Scrutiny Committees is the ability of non-executive members to hold the Executive to account. An important method to ensure accountability is through examining performance and decisions taken by the authority. To facilitate this challenge the Improvement and Scrutiny Committees may:
 - a. Challenge the Executive about decisions which have been taken by Cabinet;
 - b. Consider performance information;
 - c. Query or ask for information about items which are set out in the Forward Plan.
- vi. In addition to their rights as councillors, members of the Improvement and Scrutiny Committees and their working groups have additional rights of access to documents as included in the Access to Information rules in the Constitution. This allows the committees access to copies of any documents which are in the possession, or control, of the Executive or its committees. There are a few limits on this access, and these are identified in the rules.
- vii. There will be strong emphasis placed upon Improvement and Scrutiny adding value to the work of the Executive and the Council. In this vein, the Improvement and Scrutiny Committees will be engaged in policy and strategy development at a very early stage. The Executive may request that Improvement and Scrutiny Committees undertake Pre-Decision work and equally the Improvement and Scrutiny Committees may request that they undertake work to assist the Executive in its deliberations.

- viii. The Chairs of the Improvement and Scrutiny Committees, to maintain the independence of the committee, should declare an interest when presiding over the scrutiny of relatives who may be part of the Executive.
- ix. Members of the Executive cannot be members of the Improvement and Scrutiny Committees. Cabinet Support Members will not act as members of the Committee looking at portfolios to which their role relates to in order to maintain separation of roles between the Executive and Scrutiny function.

4. Conduct of Meetings

The following principles set out how meetings should be conducted in support of the general principles above.

- i. Meetings of the Improvement and Scrutiny Committees which are attended by Cabinet Members are subject to the relevant provisions in the Council's Constitution. They will usually be held in public unless exempt or confidential information will be discussed, and consideration needs to be given as to whether the public and press should be excluded.
- ii. Cabinet Members required to attend an Improvement and Scrutiny Committee will be given at least 10 working days' notice in writing by the Democratic Services Officer, together with an indication of the issues being raised and the expected focus of questioning.
- iii. Members of the Improvement and Scrutiny Committee are asked to notify the Democratic Services Officer of any factual information required in advance of the meeting.
- iv. When a Cabinet Member is required to attend a Committee, they may be accompanied by the relevant officer(s) to assist with explaining complex information.
- v. Attendance by Cabinet Members at task and finish working groups is to inform debate, clarify matters and contribute to a specific topic rather than to be held to account in respect of matters relating to the Cabinet Member's responsibilities.

5. Developing Work Programmes for the Improvement and Scrutiny Committees

The work programme is a flexible plan which outlines the programme for the coming municipal year and is usually developed at the first meeting after the Annual Council. The programme is drawn together by the Chair and members of the Committee and can include issues put forward by members, topics that arise during discussion with Cabinet Members, Executive Directors and senior officers, concerns generated from the Corporate Complaints Policy, the Council Plan, performance data and potential issues arising from corporate priorities or the Forward Plan.

The relevant Cabinet Member and senior officer will be informed of any reviews undertaken that fall within their remit and asked for observations on the final scoping document.

Cabinet Members can suggest items for inclusion in the scrutiny work programme; however, it is recognised that the Executive should not try to exercise control over the work of the Improvement and Scrutiny Committees. It is ultimately for the Improvement and Scrutiny Committee to determine whether to include such suggestions in the programme.

Once the work programme has been agreed the Improvement and Scrutiny Committee will endeavour to deliver it, however it is recognised that the programme needs to be flexible enough to be able to accommodate urgent, short term issues or emerging priorities that may arise during the year. On occasion there may be good reason why an ongoing review is not concluded, or planned review not commenced. This could be for a number of reasons including lack of capacity, insufficient evidence upon which to draft firm conclusions or decision by the Committee that it is no longer a priority. In such circumstances the relevant Cabinet Member and Executive Director will be informed prior to the Committee deciding to remove the review from the work programme.

It is important that the work of the Improvement and Scrutiny Committees receives broad publicity in order to ensure that residents and community groups are able to engage with the process. The Democratic Services Officer will work with the Council's Communications Team to publicise the work of the Committee.

6. Meetings with Scrutiny Chairs, the Cabinet Member, the Managing Director (MD) and Executive Directors (EDs)

The purpose of such meetings is to:

- i. Strengthen rapport
- ii. Create a shared understanding
- iii. Discuss strategic matters at an early stage so that Scrutiny may maximise its input and add value to the Council and to enable Scrutiny to develop informed and focussed annual Work Programmes
- iv. Ensure the Executive and Officers are kept informed about the Work Programme

7. Meetings with the Scrutiny Chair and the relevant Cabinet Member(s)

The purpose of such meetings is to:

- i. Strengthen understanding and rapport
- ii. Discuss a range of matters including the potential opportunities for pre-decision Scrutiny work.

8. The Health Scrutiny Committee

Legislation sets out the requirements specifically in relation to the Health Scrutiny Committee. This Committee is different from the Council's other Improvement and Scrutiny Committees.

The Health Scrutiny Committee is responsible for scrutinising any major health service reconfigurations in accordance with the Local Authority (Public Health, Health and Wellbeing Boards and Health Scrutiny) Regulations 2013.

The Health Scrutiny Committee is required to participate in Joint Health Scrutiny Committee arrangements with other local authorities. Currently, the Council is a member of the South Yorkshire, Derbyshire and Nottinghamshire Joint Health Scrutiny Committee (represented by the Chairman of the Council's Health Scrutiny Committee) and is an affiliate member of the Greater Manchester Joint Health Scrutiny Committee.

9. Scrutiny Review Recommendations

- i. Following the conclusion of a scrutiny review the final report and recommendations will be presented to the relevant Improvement and Scrutiny Committee and when agreed submitted to Cabinet for consideration. The chair, or appropriate member if the chair is not available, will present the report and recommendations to the next scheduled meeting of Cabinet.
- ii. Cabinet will provide a written response to the recommendations from the responsible Cabinet Member and this will be presented to the relevant Improvement and Scrutiny Committee at the next appropriate opportunity.
- iii. The response will identify those recommendations that have been accepted and will be implemented, along with reasons for those that will not be taken forward.
- iv. The Improvement and Scrutiny Committees have a duty to monitor progress of implemented recommendations. After six months the Cabinet Member responsible will be invited to attend the relevant Improvement and Scrutiny Committee to explain to members the progress of the implementation of accepted recommendations.

10. Compliance with this Protocol

The Monitoring Officer is responsible for overseeing compliance with the protocol and ensuring that it is used to support the wider aim of supporting and promoting a culture of scrutiny. Matters relating to the protocol's success may be reported to Council. The role also includes promoting the role of the authority's scrutiny function, providing support and guidance to Members and officers relating to the functions of the Improvement and Scrutiny Committees and providing a link between Cabinet, the Improvement and Scrutiny Committees and the Corporate Management Team.

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FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

Thursday, 13 June 2024

Report of the Managing Director

**REVIEW OF THE STRATEGIC APPROACH TO EQUALITY DIVERSITY
AND INCLUSION (EDI)**

(Cabinet Member for Health and Communities)

1. Divisions Affected

1.1 County-wide

2. Key Decision

2.1 This is a key decision because it is likely to be significant in terms of its effect on communities living or working in an area comprising two or more electoral areas in the County.

3. Purpose

3.1 To seek approval to adopt the final proposed Equality, Diversity and Inclusion (EDI) Statement and equality objectives.

4. Information and Analysis

4.1 The Public Sector Equality Duty requires all councils to develop and publish their equality and diversity objectives and regularly report on progress. The Council's existing Equality and Diversity Strategy was adopted in March 2022 and sets out the Council's key priorities for 2022- 2025. Since that time, a number of ongoing changes and challenges affecting the Council and local communities have

necessitated a review of the strategic approach to EDI to ensure that the Council is clear about what it is seeking to achieve and is focused on the most appropriate defined priorities both internally and externally. The review of the strategic approach commenced in September 2023 and set out to:

- Redefine the organisation's vision and priorities in relation to EDI, both internally and externally, and when considering the organisation's statutory obligations and organisation culture.
- Capture key developments in Adult Social Care, Childrens Services and the development of the Council's new organisational strategy.
- Consider what constitutes feasible action in relation to the make-up of the workforce, given the current challenges within the job market and the rate of change which can be achieved.
- Highlight any challenges regarding resources and/or the delivery of the approach across the Council.
- Better engage senior leaders and Elected Members from all parties on EDI developments and the ongoing development of the strategic approach to EDI.

4.2 Between September 2023 and January 2024 significant engagement was carried out with both internal and external stakeholders. Feedback included the following key themes:

- Wide recognition that over recent years the Council has worked hard to progress EDI work across the county.
- Leadership around EDI issues has improved and this has resulted in significant changes to our services, employment practices and our approach to equality, diversity and inclusion but that there is still further to go.
- Whilst providing a framework to achieve the significant progress made, the EDI Strategy 2022 -2025 is very broad in its scope and that there has been varied success in the associated workstream approach.
- Given the limited dedicated resources across the Council moving forward this will require a revised approach with commitment from across the organisation.
- Feedback has also recognised that whilst there are pockets of good EDI practice across the Council, significant EDI activity is focussed on "complying" with the Public Sector Equality Duty (PSED). The organisation has to meet a range of obligations to ensure it promotes equality, diversity and inclusion.
- Embedding and transforming equality, diversity and inclusion across the Council are not just matters of compliance, rather the

need to raise awareness of the EDI agenda and its associated challenges.

4.3 Recognising the above, feedback has broadly indicated that the approach moving forward should:

- Set out our aspirations to go further than the Council's PSED obligations, recognising the need to have focus on raising awareness in order to build capacity for later stages in the Council's EDI journey.
- Ensure the organisation's efforts and resources focus on the right issues and opportunities.
- Ensure that strong, simplified and clear objectives are in place to continue with our commitment to advance equality and promote inclusion within the workplace and when delivering local services.
- Be based on increasing leadership and Elected Member confidence on EDI across all levels of the Council, how the organisation wants to serve its residents and communities, how it wants to work with partners, and how leaders respond to and deal with employee related matters with an EDI lens.
- Continue to improve our understanding of, and reflect the needs of, people across all the diverse communities of Derbyshire.
- Work towards a workforce of people with a wide range of backgrounds, perspectives and experiences who feel that those different approaches are valued and treated with respect.
- Set out the proposed objectives and associated wording using plain English to make them more accessible and engaging.

Proposed strategic approach to Equality Diversity and Inclusion

4.4 As a result of the feedback received, and to aid understanding, commitment and delivery of EDI ambitions across employees, Elected Members and stakeholders it proposed to move away from having a separate EDI Strategy document and to move to the main EDI focus being on four equality objectives. This approach will overall enable the organisation to raise awareness around EDI issues and for the Council move towards applying an EDI "lens" as part of its day-to-day business and organisational culture, whilst simplifying our current approach and yet maintaining delivery of realistic outcomes. It is therefore proposed to take forward the Council's strategic approach around the following four proposed equality objectives:

1. Understand all our diverse communities and use that understanding to shape organisational policy and practice.
2. Lead by example on equality, diversity and inclusion.

3. Create a working environment that is inclusive where all colleagues feel that they belong and can be their best at work.
 4. Design, provide and deliver services that are accessible, inclusive and responsive to the needs of the people of Derbyshire and reflect our organisational culture.
- 4.5 Each of the objectives will have a number of key areas of focus with specific annual implementation plans, along with associated outcomes. Appendix 2 shows the proposed key areas of focus for each equality objective, and it should be noted that the EDI approach will evolve and continually developed as opposed to being a static approach.
- 4.6 It is proposed that the four EDI objectives will be supported by a short EDI statement. This is important to ensure that it is clear what EDI means to the Council.

“Equality, Diversity and Inclusion at Derbyshire County Council means that all colleagues and our communities will have a voice, ensuring we listen and engage, shape and respond to enable an inclusive culture. As a result, our inclusive culture will ensure equality, diversity and inclusion underpins our planning and service delivery leading to improved outcomes for our communities.”

- 4.7 As a result of the review, the Council will be better able to identify the interventions it needs to make and understand when they are successful when considering both its statutory obligations and the aim to incorporate EDI as part of its organisational culture.

Next steps

- 4.8 Key to embedding EDI objectives and activity in the work of the Council will be to consider how the equality objectives are integrated into key Council strategies and plans. The Council will be developing the Council Plan for 2025-2029 and its organisational strategy, and consideration will be given to how EDI objectives are reflected as part of the Council’s strategic vision, along with the further development and refinement of the strategic objectives and operating model. For 2024-25 EDI is a key element of the organisation’s workforce strategic objective. Performance updates will also be captured as part of the reporting against strategic objective number 24 (Develop and engage the council’s workforce to enable the organisation to be an enterprising council).
- 4.9 Consideration has been given to refreshing EDI governance to align with the new approach throughout 2024-25. The current EDI board has

been reframed and repurposed to provide senior leadership oversight in respect of the organisation's performance against its EDI statement and defined equality objectives, providing a connection between the Council's Corporate Management Team and Departmental Management Teams to support integration of inclusion into the Council's business as usual service delivery, whilst also making connections with the strategic planning approach. Moving forward from 2025-26, the wider EDI governance approach will be reviewed in readiness to align with the organisational strategy governance.

EDI Progress in 2023-24

4.10 Alongside the work to develop the revised strategic approach to EDI over the last year, several key areas of EDI activity have been undertaken. Much of the activity undertaken has not only positioned the Council in respect of progressing the new approach but has also continued to provide a robust basis for the Council in respect of its work around budget saving activity and wider transformation of the Council. Key activity undertaken includes:

- Establishing a cross part working group of Elected Members to consider how the Council, members and political parties might encourage broader participation in public life with recommendations from the group considered by the Council's Cabinet on 14 March 2024.
- Completing a range of face-to-face consultation sessions with young people, disabled people and the BME Community Forum to broaden and ensure a diverse voice within consultation for the Council's Budget for 2024/25.
- Completing further Equality Impact Analysis in relation to a number of key services which also included significant public and stakeholder consultation.
- Developing additional advice and support for colleagues to help support a comprehensive set of EIAs in relation to the Council's budget and budget proposals for 2024/25. This has been made available and promoted on the Our Derbyshire intranet pages and replaces initial plans to create a portal using other platforms.
- Developing updated profiles for each Electoral Division of the Council that includes more EDI profile information and areas profiles so that people can see the differences in diversity across geographical areas of the county, helping s in understanding Derbyshire's local communities better.

- Developing a workforce equality dashboard detailing gender, sexual orientation, religion, ethnicity, age and disability.
- Developing recruitment data detailing ethnic origin, gender, age, sexual orientation, religion and disability of candidates at each of the key stages of the recruitment process (application, shortlisted for interview, offer accepted, contract returned).
- Developed EDI data in detailing gender, sexual orientation, religion, ethnicity, age and disability of employees in formal HR processes – disciplinary, absence management, performance capability, bullying and harassment and grievance.
- Continuing to listen and engage with employees through our employee survey, shaping and responding to improve employee engagement
- Relaunching the Council’s five employee networks in 2023 to further improve engagement and support co-production: BME, Pride, Dis-Ability Inclusion, Neurodiversity, Women’s. Surveyed workforce on their views of employee networks.
- Launching mandatory EDI training for all employees.
- Undertaking an EDI awareness programme of ongoing events, sponsored by Corporate Management Team, following monthly discussion at Corporate Management Team meeting.
- Launching the ‘Inspiring Leaders’ development programme for all line managers, which includes delegating inclusively, challenging unacceptable behaviour and coaching.
- Reviewing the use and need of translation and interpretation services.

5. Consultation

5.1 Public consultation on the proposed EDI Statement and Equality Objectives took place between 28 February and 13 March 2024. Around 100 individual responses were received to the online consultation, which represents a significant increase on previous consultations on EDI strategies and policies.

5.2 There were high levels of agreement with the EDI statement and objectives with relatively low levels of disagreement as follows:

- **72%** of respondents agreed or strongly agreed with the EDI statement.

- **13%** of respondents disagreed or strongly disagreed with the EDI Statement
- **78%** of respondents agreed or strongly agreed with Objective 1.
- **4%** of respondents disagreed or strongly disagreed with Objective 1
- **74%** of respondents agreed or strongly agreed with Objective 2.
- **6%** of respondents disagreed or strongly disagreed with Objective 2
- **73%** of respondents agreed or strongly agreed with Objective 3.
- **11%** of respondents disagreed or strongly disagreed with Objective 3
- **76%** of respondents agreed or strongly agreed with Objective 4.
- **6%** of respondents disagreed or strongly disagreed with Objective 4

5.3 Respondents were asked in what capacity they were responding to the consultation and were able to select several options such as being a Derbyshire resident and employee. The highest single group responding were employees of the Council with 80% of respondents selecting this option.

5.4 Key results and findings from the public consultation are outlined at Appendix 3 along with the changes made to the proposed EDI statement and equality objectives. Many respondents acknowledged that good progress on EDI issues has taken place and welcomed a stronger commitment to EDI. Several key themes and issues were identified in the consultation as follows:

- Respondents felt the language used could be simplified.
- More detail was required on how the Council will deliver both its EDI Statement and proposed equality objectives.
- Respondents felt that the EDI statement needed to have a stronger emphasis on communities and customers as well as talking about the Council as an organisation.
- That the Council needs to give a bigger commitment to active listening and to involving communities in the design of policy and services.
- Some respondents felt the Council needs to do more to develop participation by diverse communities and groups within decision-making, co-design and public life.
- Some respondents highlighted a need for a more visible commitment to change and taking action to deliver objectives and the sentiments of an EDI statement.

- Concerns were expressed by a number of respondents over the impact the budget will have on the Council's ability to take action, affect culture change and provide necessary services and support.
- There was agreement that leadership was an important element but also that EDI should everyone's responsibility.
- All areas of EDI need to be considered and addressed by the Council including race equality, disability socio-economic inequality and deprivation, intersectionality and where necessary taking targeted action to address specific areas of inequality or under-representation.
- Specific feedback from the BME Community Forum highlighted that the objectives set out in the consultation questionnaire are positive. However, the Forum feels that there must be an explicit reference to the engagement of different equality groups and the diverse BME communities. The Forum are keen to see a clear understanding of an explicit working relationship to define the connection between the DCC EDI Board and the Derbyshire BME Forum
- Feedback from both the BME Forum and Deaf-initely Women stressed the need to develop a countywide Equality Partnership representing different protected characteristics as a recognition of intersectionality.

5.5 Alongside the public consultation further internal stakeholder engagement has taken place with responses having a bigger focus on organisational culture, diversity, and inclusion, and ensuring that actions match any commitments being made, including in relation to employee opportunities and engagement.

5.6 Both the proposed EDI Statement and proposed equality objectives were considered by Improvement and Scrutiny Committee – Resources on 29 February 24 and 9 May 2024 respectively.

6. Alternative Options Considered

6.1 Alternative Option 1 – Retain the existing Equality and Diversity Strategy 2022-25 - this option is not recommended as whilst providing a framework to achieve the significant progress made, the Strategy is very broad in its scope and that there has been varied success in the associated workstream approach.

6.2 Alternative Option 2 - Have a separate Equality, Diversity and Inclusion Strategy. This is not recommended as the proposed approach allows the Council to ensure that equality objectives are integrated into key Council strategies and plans supporting the Council to move towards applying an EDI "lens" as part of its day-to-day business and

organisational culture, whilst simplifying its current approach and maintaining delivery of realistic EDI outcomes.

- 6.3 Alternative Option 3 – Do not have any Equality objectives. This is not recommended as under the Equality Act 2010 the Council is subject to the Public Sector Equality Duty and has a statutory duty to set at least one equality objective every four years.

7. Implications

- 7.1 Appendix 1 sets out the relevant implications considered in the preparation of the report.

8. Background Papers

- 8.1 None identified.

9. Appendices

- 9.1 Appendix 1 – Implications
9.2 Appendix 2 – Public consultation results and findings
9.3 Appendix 3 – Final Proposed Equality, Diversity and Inclusion Statement and Objectives

10. Recommendation(s)

That Cabinet:

- a) Approve the final proposed Equality, Diversity and inclusion Statement and equality objectives.

11. Reasons for Recommendation(s)

- 11.1 The Council's strategic approach to equality, diversity and inclusion underpins all of its decision-making including key plans and policies. Approval of the Equality, Diversity and Inclusion Statement and equality objectives will support the Council to demonstrate compliance with the Public Sector Equality Duty (PSED) set out in the Equality Act 2010 and reflects the context within which the Council is operating.

12. Is it necessary to waive the call in period?

- 12.1 No

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Implications

Financial

- 1.1 There are no direct financial implications arising from the draft Equality, Diversity and Inclusion Strategy 2022- 2025. Key to delivering this strategy will be aligning resources to deliver positive outcomes, as far as is practicable to ensure equality, diversity and inclusion is at the heart of everything the Council does.

Legal

- 2.2 The Public Sector Equality Duty came in to force in April 2011 (s.149 of the Equality Act 2010) and public authorities are required, in carrying out their functions, to have due regard to the need to achieve the objectives set out under s149 of the Equality Act 2010 to:
- a. eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Equality Act 2010;
 - b. advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
 - c. foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

To ensure transparency, and to assist in the performance of this duty, the Equality Act 2010 (Specific Duties) Regulations 2011 require public authorities to publish:

- equality objectives, at least every four years (from 6th April 2012)
- information to demonstrate their compliance with the public sector equality duty (from 31st January 2012)
- The proposed strategic approach will support compliance with the above requirements.

Human Resources

- 3.1 Equality, diversity and inclusion is integral to our workforce processes, policies and practices, and is at the heart of the Council's People Strategy with our people ambition of becoming an employer of choice. The Council continues to make positive progress towards where inclusivity is embedded in our practice, with plans being developed aligned to the People Strategy to further strengthen our approaches.

Information Technology

4.1 None identified

Equalities Impact

- 5.1 The Council would be failing to meet specific duties under the public sector equality duty of the Equality Act 2010 if it did not adopt appropriate equality objectives and on at least an annual basis publish equalities information, including progress against its objectives.
- 5.2 The strategic approach as set out will help lead work to address inequality across Derbyshire, advance equality of opportunity and support activity which promotes good relations between people from different backgrounds. This will extend to employment, service delivery, and the Council's public functions.

Corporate objectives and priorities for change

- 6.1 Strong links are already made between the EDI Strategy and the Council Plan and Departmental Service Plans. The proposed strategic approach to EDI offers a real opportunity of translating organisational improvement and addressing inequalities within these key corporate plans.

Other (for example, Health and Safety, Environmental Sustainability, Property and Asset Management, Risk Management and Safeguarding)

7.1 None identified.

FINAL PROPOSED EQUALITY DIVERSITY AND INCLUSION (EDI) STATEMENT AND EQUALITY OBJECTIVES

Equality, Diversity and Inclusion at Derbyshire County Council means that all colleagues and our communities will have a voice, ensuring we listen and engage, shape and respond to enable an inclusive culture. As a result, our inclusive culture will ensure equality, diversity and inclusion underpins our planning and service delivery leading to improved outcomes for our communities.

Objective 1: Understand all our diverse communities and use that understanding to shape organisational policy and practice

We will do this by:

- Ensuring equality, diversity and inclusion underpins our planning and delivery and how we manage outcomes and impact on residents.
- Improving how we collect and use information to tell us more about all our diverse communities.
- Assessing how our decisions affect different communities and how we can reduce inequalities in outcomes.
- Working alongside people from all our diverse communities to create services and encourage wider participation in public life.

Objective 2: Lead by example on equality, diversity and inclusion

We will do this by:

- Increasing EDI understanding and confidence amongst all leaders and Elected Members, to further enhance our inclusive culture
- Working with our partners and key stakeholders to understand EDI best practice
- Sharing our experiences of best practice in EDI.
- Generate opportunities for local people and help address inequalities.

Objective 3: Create a working environment that is inclusive where all colleagues feel that they belong and can be their best at work

We will do this by:

- Sharing our stories and learning to understand and celebrate our differences
- Making our physical and virtual workplaces more accessible and welcoming
- Enabling our employee networks to support the colleagues they represent
- Demonstrating our commitment to externally recognised standards such as Level 3 Disability Confident Employer

Objective 4: Design, provide and deliver services that are accessible, inclusive and responsive to the needs of the people of Derbyshire and reflect our organisational culture.

We will do this by:

- Developing more equal partnerships between people who use services, providers, carers and colleagues to deliver better outcomes
- Removing barriers preventing access to services and information

Key results and findings from the Public Consultation on proposed EDI Statement and Equality Objectives

Introduction

Public consultation took place on the Council's draft EDI Statement and four Equality Objectives between Wednesday 28th February to 13 March 2024.

This was done via an online survey on the Have Your Say pages and via colleagues who promoted taking part with a number of groups from diverse backgrounds, including the BME Community Forum, youth groups, and area Learning Disability groups,

In total, 101 people completed the online survey, which is a significant increase from past consultations on EDI policies or strategies.

Survey respondents

Respondents to the consultation were grouped by their relationship to the Council. Some indicated several relationships such as resident and employee, for example. The highest single group were employees of the Council.

Type of respondent	Number of respondents
Derbyshire Resident	47
Derbyshire Business Owner	2
Works in Derbyshire	35
Studying in Derbyshire	3
DCC Employee	80
Representative of local group/org	3
Other	0
Total	170

Participation by diversity

- 91.9% of respondents were aged 25 to 64.
- Those aged 45 to 64 (60.5%) were overrepresented and the younger and older age groups underrepresented.
- 89% of respondents said they were straight/heterosexual. With 7% identifying as Gay/Lesbian, and 5% Bisexual.
- 8.9% of respondents were from BME communities, marginally higher than BME representation in communities and the workforce
- 85% of respondents identified as female at birth with males underrepresented.

- 34.7% of respondents stated they had a disability of some form.

Key Findings

Overall, respondents agreed with the Council's proposed EDI statement and objectives. Many respondents however also felt that more work should be done to develop the statement and the Council needs to identify how it will deliver on its commitment and objectives.

- **72.4%** of respondents agreed or strongly agreed with the EDI statement.
- % of respondents disagreed or strongly disagreed with the EDI Statement
- **78%** of respondents agreed or strongly agreed with Objective 1.
- **3.5%** of respondents disagreed or strongly disagreed with Objective 1
- **74.4%** of respondents agreed or strongly agreed with Objective 2.
- **6%** of respondents disagreed or strongly disagreed with Objective 2
- **73%** of respondents agreed or strongly agreed with Objective 3.
- **10.5%** of respondents disagreed or strongly disagreed with Objective 3
- **75.6%** of respondents agreed or strongly agreed with Objective 4.
- **6%** of respondents disagreed or strongly disagreed with Objective 4

EDI Statement

Key themes

Based on the feedback provided, several key themes emerged regarding the current statement on Equality, Diversity, and Inclusion (EDI) at Derbyshire County Council (DCC):

Clarity and Conciseness: Respondents said the current statement is vague, jargonistic, and lacks clarity. They suggest simplifying language and making the statement more accessible to all audiences, whether internal or external.

Inclusivity: There's a strong emphasis on ensuring that the statement reflects the needs and voices of all individuals, including hidden communities and those whose voices may not traditionally be heard.

Actionable Commitments: Feedback indicates a desire for the statement to include specific, actionable commitments rather than generalisations. This includes proactive measures to promote equality, reduce division and discrimination, and actively engage with communities.

Community-Centric Approach: Many respondents highlight the importance of centring the statement around the broader Derbyshire community, rather than solely focusing on the council itself.

Continuous Improvement: There's a recognition that while progress has been made in embedding EDI, there is still room for improvement.

Active Listening and Engagement: Feedback highlighted the importance of actively listening to and engaging with individuals and communities to understand their needs, concerns, and perspectives.

Empowerment and Representation: The statement should reflect a commitment to empowering all members of the community and ensuring their representation in decision-making processes.

Respondents suggested amendments/ changes/ ideas

Some respondents suggested areas where the statement could be improved further including:

Inclusivity: The language used should reflect inclusivity and avoid sounding disingenuous or top-down.

Proactivity and Concrete Actions: Many respondents expressed a need for the Council to be more proactive and action oriented. They suggested including specific commitments, such as training programs, mentorship initiatives, and creating safe spaces for dialogue and feedback.

Accessibility and Understanding: It is important that the statement is written in plain English, is easily understandable by all residents of Derbyshire, whilst demonstrating an understanding of the barriers faced by different sectors of the community.

Listening and Engagement: The statement should emphasize the importance of listening to and engaging with the community, as well as acting on feedback received. This includes co-production and ensuring that all voices are heard.

Wellbeing and Representation: The importance of prioritising the wellbeing of the workforce and ensuring representation at all levels was emphasised.

Clarification and Specificity: Respondents highlighted the need for clarity and specificity in the statement, including clear goals, targets, and timelines for achieving EDI objectives.

Addressing Concerns and Language Sensitivity: Some respondents raised concerns about the language used and possible areas of conflict particularly around gender identity.

Objective 1

Objective 1: Understand our diverse communities and use that understanding to shape organisational policy and practice

We will do this by:

- Ensuring equality, diversity and inclusion underpins our planning and delivery and how we manage outcomes and impact on residents.
- Improving how we collect and use information to tell us more about our communities.

- Assessing how our decisions affect different communities, particularly those with poorer life outcomes.
- Working alongside people from all our diverse communities to create services and encourage wider participation in public life.

78% agreed or strongly agreed with objective 1. With only 3.5% disagreeing or strongly disagree.

Key themes

Many respondents called for a stronger commitment to taking action to address inequality and using assessments such as EIAs to drive change, including when proposals will impact adversely.

Respondents also felt that there should be deeper engagement with diverse communities to better understand their needs and challenges. Engagement should lead to meaningful changes in policies and practices, ensuring that community voices directly influence decision-making.

Collaboration with diverse communities is seen as essential for gaining insights, addressing blind spots, and improving service delivery. Building trust through transparency and acknowledgment of the issues impacting different sectors of the community is highlighted as necessary.

Feedback also suggests the need to improve the accessibility and promotion of services, especially for vulnerable individuals and their caregivers. The importance of equity and social justice was also emphasised, with a focus on addressing disparities and promoting inclusivity through tailored services and decision-making processes.

Respondents emphasised the need for better representation, particularly of minority groups such as autistic individuals, in decision-making roles within the organization.

Overall respondents believe that EDI principles should be integrated into service delivery and decision-making processes. Tools for consultation, impact analysis, and community understanding should be embraced genuinely.

Respondents suggested amendments/ changes/ ideas

Many suggested amendments such as clarifying that services are intended for everyone, including those without a voice such as children, individuals with severe disabilities, and enduring mental health issues.

Respondents felt that the Council should ensure everyone is involved in the shaping of organisational policy and practice to promote inclusion at all levels.

Respondents also identified the need to expand engagement methods beyond surveys and questionnaires to include in-person meetings, phone calls, and other forms of direct interaction.

The Council should also look at ways to enhance inclusivity through initiatives such as providing accessibility initiatives, language support, cultural training, and community outreach.

Proposed Revised Objective 1

Objective 1: Understand *all* our diverse communities and use that understanding to shape organisational policy and practice

We will do this by:

- Ensuring equality, diversity and inclusion underpins our planning and delivery and how we manage outcomes and impact on residents.
- Improving how we collect and use information to tell us more about **all** our **diverse** communities.
- Assessing how our decisions affect different communities and **how we can reduce inequalities in outcomes**.
- Working alongside people from all our diverse communities to create services and encourage wider participation in public life.

Objective 2

Objective 2: Lead by example on equality, diversity and inclusion

We will do this by:

- Increasing EDI understanding and confidence amongst all leaders and Elected Members, to further enhance our inclusive culture
- Working with our partners and key stakeholders to understand EDI best practice, share our experiences.
- and generate opportunities for local people and help address inequalities.

74.4% agreed or strongly agreed with objective 2. With only 6% disagreeing or strongly disagree.

Key themes

Many respondents emphasised the importance of senior leadership demonstrating commitment to inclusivity through their actions, not just words. This involves actively championing diversity initiatives, participating in relevant training, engaging with diverse communities, and ensuring accountability and transparency in progress towards inclusivity goals. Respondents included councillors in this.

However, it was also noted that it is important for all colleagues to be involved in promoting inclusive practices and understanding the needs of the communities they serve.

There's a consensus that representation in leadership positions should reflect the diversity of the community served. Translating into actively recruiting and

supporting individuals from underrepresented backgrounds for leadership roles and community-facing positions. This aspect of diversity work seems to be absent from the proposals for action to deliver the objective currently. Those taking part expressed a desire for concrete actions rather than just high level statements of intent. They advocate for identifying priority groups, addressing specific inequalities, and implementing clear plans to extend opportunities to those who currently lack them. While some respondents see the progress that has been made as a good start, others stress the need to go further and ensure that inclusivity is woven into every aspect of organisational culture and practices.

Respondents suggested amendments/ changes/ ideas

Based on the feedback provided, there are several areas where improvements can be made to promote equity, diversity, and inclusion (EDI) within an organisation or community.

Respondents believe that there should be increased understanding and advocacy for Equality, Diversity and Inclusion within the Council leadership and by Elected Members. This included attendance at mandatory training and engagement with communities of interest to enhance their knowledge, understanding, and confidence in addressing EDI issues. Some advocated establishing designated champions for various minority groups (e.g., disability, LGBTQ+, neurodiversity) among Elected Members to openly support and advocate for marginalised communities.

Many comments relate to the need for improved collaboration with partners and stakeholders to identify and implement EDI best practices, actively seeking out diverse stakeholders to ensure representation and inclusion in decision-making processes. There was support for implementing measures to support individuals who may not be able to express their views or needs directly, such as young people or those with communication challenges.

Respondents also believe the Council should help to remove barriers for local communities to voice their ideas and concerns regarding inequalities, fostering a culture of openness and inclusion.

The Council should also pro-actively work to challenge unfair or negative workplace culture and promote greater organisational and personal accountability. Some wanted to see regular reviews of workplace policies, procedures, and practices through an EDI lens to ensure they do not inadvertently disadvantage any group, whilst also provide training for managers on recognising and accommodating hidden disabilities and fostering an inclusive environment for all employees.

Proposed Revised Objective 2

Objective 2: Lead by example on equality, diversity and inclusion

We will do this by:

- Increasing EDI understanding and confidence amongst all leaders and Elected Members, to further enhance our inclusive culture
- Working with our partners and key stakeholders to understand EDI best practice
- **Sharing our experiences of best practice in EDI.**
- Generate opportunities for local people and help address inequalities.

Objective 3

Objective 3: Create a working environment that is inclusive where all colleagues feel that they belong and can be their best at work

We will do this by:

- Sharing our stories and learning to understand and accept our differences
- Making our workplaces more accessible and welcoming
- Enabling our employee networks to support the employees they represent
- Demonstrating our commitment to externally recognised standards such as Level 3 Disability Confident Employer

73% agreed or strongly agreed with objective 3. With only 10.5% disagreeing or strongly disagree.

Key themes

Based on the provided feedback, several key themes emerge regarding the need for inclusivity and support within Derbyshire County Council (DCC) and in relation to activity to generate employment opportunities.

Respondents strongly related to EDI as a workplace issue, and highlighted County Hall as a venue that needs to be more welcoming, inclusive and accessible to all individuals, including those with disabilities or specific needs. This includes physical accessibility, such as ramps and lifts, as well as accommodations like accessible software, but it also covered how people feel when at this venue working.

There's a call for tailored support for various needs, including those related to physical disabilities, neurodiversity, mental health, and minority backgrounds. This involves not just policies but practical implementations, such as providing necessary equipment and resources.

Training and awareness sessions are seen as essential to increase understanding and reduce stigma around diverse needs and conditions, including neurodiversity and disabilities.

There's a recognition that inclusivity is an ongoing process that requires continuous evaluation and improvement of policies and practices based on feedback and evolving understanding. Respondents value being heard and being involved in decision-making processes however, there are concerns about under-representation and the need to ensure fair opportunities for all

individuals, regardless of protected characteristics does not feature in the objective as is.

Respondents suggested amendments/ changes/ ideas

Several respondents identified the need for improved training for managers regarding reasonable adjustments and supporting colleagues. As well as training on understanding and actively challenging racism and other forms of discrimination. Providing clear policies and workflows for seeking support for employees.

Respondents want to see representation at all levels across all areas of work within the Council. Whilst those working for the Council welcomed expanded communication in relation to EDI, they highlighted some gaps in relation to accessibility, including the tone of some types of communication currently being delivered.

Given the high proportion of respondents who indicate they work for the Council, it is not surprising that many respondents chose to focus on workforce, culture and engagement inside the authority and were able to describe actions they believe the Council should consider, such as creating clear policies and practices for training, development, and promotion within the Council.

Proposed Revised Objective 3

Objective 3: Create a working environment that is inclusive where all colleagues feel that they belong and can be their best at work

We will do this by:

- Sharing our stories and learning to understand and **celebrate** our differences
- Making our **physical and virtual workplaces** more accessible and welcoming
- Enabling our employee networks to support the **colleagues** they represent
- Demonstrating our commitment to externally recognised standards such as Level 3 Disability Confident Employer

Objective 4

Objective 4: Design, provide and deliver services that are accessible, inclusive and responsive to the needs of the people of Derbyshire and reflect our organisational culture.

We will do this by:

- Developing more equal partnerships between people who use services, providers, carers and employees to deliver better outcomes

Removing barriers preventing access to services and information

75.6% agreed or strongly agreed with objective 4. With only 6% disagreeing or strongly disagree.

Key themes

Based on the provided comments, there is a strong emphasis on the need for clearer, more specific language and actions regarding the removal of barriers and ensuring accessibility, particularly in the context of organisational culture and service provision.

Respondents want to see concrete steps being taken by the Council, rather than general statements. This includes commitments to specific actions such as improving physical accessibility, providing training, engaging with the community, and leveraging technology.

There is strong support for involving the community, service users, and carers in the design and delivery of services to ensure that services are responsive to the diverse needs of the community and foster a sense of ownership and empowerment among stakeholders.

There is a need to ensure that services are equitable and inclusive, addressing the needs of all residents, including those from marginalised or underrepresented groups. This involves not only removing physical barriers but also addressing communication barriers, cultural competency, and accessibility of information.

In summary, to address the concerns raised and improve organisational culture and service provision, it is essential to focus on clear, specific actions that prioritise community engagement, equity, inclusivity, and transparency. This requires a commitment to ongoing evaluation, learning, and adaptation to ensure that services are responsive to the evolving needs of the community. Ensuring transparency and accountability in the implementation of all initiatives.

Respondents suggested amendments/ changes/ ideas

From the themes emerging from the survey respondents wanted a focus on ensuring equality, inclusivity, and accessibility within the services provided by the Council and emphasis on equality and inclusivity not being merely aspirational but fundamental values that guide all aspects of service delivery and organisational culture.

Many respondents felt that instead of vague statements about reflecting organisational culture or aspirations, the Council should articulate specific actions and strategies for removing barriers to access and ensuring inclusivity. Respondents highlight the importance of collaborating with external partners, community organisations, and advocacy groups to address systemic issues and ensure that services are designed and delivered in a way that meets the diverse needs of the community.

Feedback again recognised the challenges faced by those who may be unable to voice their opinions or advocate for themselves, such as young people or individuals with disabilities. That the Council should ensure that mechanisms are in place to empower and amplify the voices of these groups in decision-making processes.

Respondents also felt that there should be greater commitment to regular communication and transparency regarding the organisation's progress and challenges in advancing EDI goals. This includes sharing successes, addressing shortcomings, and soliciting feedback from both internal stakeholders and the broader community.

Proposed Revised Objective 4

Objective 4: Design, provide and deliver services that are accessible, inclusive and responsive to the needs of the people of Derbyshire and reflect our organisational culture.

We will do this by:

- Developing more equal partnerships between people who use services, providers, carers and **colleagues** to deliver better outcomes
- Removing barriers preventing access to services and information

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