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PUBLIC

To: Members of Cabinet

Friday, 6 March 2020

Dear Councillor,

Please attend a meeting of the **Cabinet** to be held at **2.00 pm** on **Monday, 16 March 2020** in Committee Room 1, County Hall, Matlock, DE4 3AG, the agenda for which is set out below.

Yours faithfully,

A handwritten signature in black ink, appearing to read 'S Hobbs', written over a light blue horizontal line.

Simon Hobbs
Director of Legal and Democratic Services

AGENDA

PART I - NON-EXEMPT ITEMS

1. To receive apologies for absence
2. To receive declarations of interest (if any)
3. To consider Minority Group Leader questions (if any)
4. To confirm the non-exempt minutes of the meeting of Cabinet held on 13 February 2020 (Pages 1 - 8)
5. To receive non-exempt minutes of Cabinet Member Meetings as follows:

- 5 (a) Health & Communities - 3 February 2020 (Pages 9 - 12)
- 5 (b) Young People - 4 February 2020 (Pages 13 - 14)
- 5 (c) Strategic Leadership, Culture & Tourism - 7 February 2020 (Pages 15 - 18)
- 5 (d) Corporate Services - 13 February 2020 (Pages 19 - 20)
- 5 (e) Highways, Transport & Infrastructure - 13 February 2020 (Pages 21 - 24)
- 6 (a) Council Plan Refresh 2020-21 (Pages 25 - 54)
- 6 (b) Departmental Service Plans 2017-2021 (2020-21 update) (Pages 55 - 212)
- 6 (c) Capital Budget Monitoring to Month 9 2019-20 (Pages 213 - 222)
- 6 (d) Approval of the 2020-2021 Risk Strategy (Pages 223 - 252)
- 6 (e) Advanced Payment of Pension Contributions Proposal (Pages 253 - 262)
- 6 (f) Item number not used
- 6 (g) Modernising Council Services through Digital Transformation and Channel Shift (Pages 263 - 344)
- 6 (h) Public Health Localities and Place-based Programme & Investment 2020-21 and 2021-22 (Pages 345 - 352)
- 6 (i) Flood Response Policy (Pages 353 - 368)
- 6 (j) Children's Services Capital Programme 2019-20 Joint Match Funding Initiative (Pages 369 - 374)
- 6 (k) Inspection of Local Authority Children's Services (ILACS) - Post ILACS Action Plan and Summary for Young People (Pages 375 - 386)
- 6 (l) Early Years Funding Settlement 2020-21 (Pages 387 - 392)
- 6 (m) Central School Services Block and Pupil Growth Fund Settlement (Pages 393 - 398)
- 6 (n) High Needs Block Funding Settlement 2020-21 (Pages 399 - 410)
- 6 (o) Home Care Fees 2020-21 (Pages 411 - 422)
- 6 (p) Care Home and Day Care Fees 2020-21 (Pages 423 - 440)
- 6 (q) Derbyshire Second Homes Programme (Pages 441 - 450)

PART II - EXEMPT ITEMS

7. To receive declarations of interest (if any)
8. To consider Minority Group Leader questions (if any)
9. To confirm the exempt Minutes of the meeting of Cabinet held on 13 February 2020 (Pages 451 - 458)
10. To receive exempt minutes of Cabinet Member Meetings as follows:
 - 10 (a) Strategic Leadership, Culture & Tourism - 7 February 2020 (Pages 459 - 462)
 - 10 (b) Corporate Services - 13 February 2020 (Pages 463 - 464)
 - 11 (a) Corporate Property Future Delivery Joint Ventures (Pages 465 - 478)
 - 11 (b) Urgent Decision taken by the Executive Director Economy, Transport and Environment and the Executive Director Adult Social Care and Health for the approval of award of contracts for Specialist Transport Services (Pages 479 - 492)
 - 11 (c) Investment Opportunity (Pages 493 - 496)

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Agenda Item 4

MINUTES of a meeting of **CABINET** held on 13 February 2020 at County Hall, Matlock.

PRESENT

Councillor B Lewis (in the Chair)

Councillors A Dale, A Foster, C Hart, T King and J Wharmby.

Apologies for absence were received on behalf of Councillor S A Spencer.

Declarations of Interest

Councillors A Dale and B Lewis declared personal interests in Agenda Item 6(a) – Income Generation Through Advertising as Members of North East Derbyshire District Council.

24/20 MINORITY GROUP LEADERS' QUESTIONS

There were no Minority Group Leader questions.

25/20 MINUTES RESOLVED that the non-exempt minutes of the meetings of Cabinet held on 16 and 23 January 2020 be confirmed as a correct record and signed by the Chairman.

26/20 CABINET MEMBER MEETINGS - MINUTES RESOLVED to receive the non-exempt minutes of Cabinet Member meetings as follows:

- (a) Young People – 7 January 2020
- (b) Economic Development & Regeneration – 16 January 2020
- (c) Adult Social Care – 23 January 2020
- (d) Highways Transport & Infrastructure – 23 January 2020
- (e) Strategic Leadership, Culture & Tourism – 23 January 2020

27/20 INCOME GENERATION THROUGH ADVERTISING (Corporate Services) The Executive Director – Commissioning, Communities and Policy sought approval to generate income for Derbyshire County Council, through selling advertising space on selected Council platforms, procuring a specialist company to deliver the initiative by a Concession Contract awarded under Protocol 1 of the Council's Financial Regulations, in partnership with two District Councils in the initial phase.

In line with around fifty other councils across the UK, the Council had the opportunity to achieve its savings targets in the Communications area by generating income through advertising on carefully selected platforms.

An internal precedent for income generation through Communications activity already existed, with the provision of a crisis communications service to schools, which generated in the region of £50,000 per annum. Income generation through advertising embraced the 'Enterprising Council' approach and would see managed advertising appear on the Council's website, in Derbyshire Now magazine, with the issuing of the Gold Card travel permit and in newspaper/magazine advertising related to the Trusted Trader scheme. It was estimated, through benchmarking against other local authorities, that an income of over £125,000 could be made in the first year of the contract.

Most councils restricted advertising that was not aligned with social value aims, prohibiting areas like gambling, alcohol, fast food and pay day loan companies and it was recommended that the Council followed these principles. Political advertising was prohibited by law on local government websites and intrusive advertising such as pop-ups were also largely banned. An advertising policy for the Council was set out in Appendix 1 to the report, which would ensure that only appropriate advertising was carried on Council platforms.

The introduction of advertising to the Council website, and potentially other relevant websites within the Council's control, was one of the main drivers of this approach. Advertising was now a feature on 52 local government websites. In areas where advertising had been allowed, there had been relatively few complaints from residents largely because the use of advertising was so widespread across the internet. Advertising would be placed in agreed areas of web pages and would not detract from the information presented. It was expected that the website would make around 26% of the income target in the first year of delivery, with that percentage increasing significantly over time.

It was proposed that an equivalent of eight full pages of Derbyshire Now be dedicated to advertising, with the introduction of three regional editions to maximise income generation opportunities (north-east, mid and south Derbyshire). In order to maintain the space currently enjoyed for Council articles and to keep within postal cost brackets, it was proposed to add eight pages to the publication and to reduce the physical size of the magazine by a third. It was anticipated that Derbyshire Now would make around 53% of the income target in the first year of delivery.

The Gold Card opt-in scheme currently attracted approximately 35,000 people to sign up or be issued replacement cards each year. Promotional materials could be included when cards were issued or replaced at no cost

other than production, which would be no more than a few thousand pounds per year and would be mitigated by income. It was expected that the Gold Card would make around 9% of the income target in the first year of delivery.

There were around 1,000 traders registered within the Trusted Trader Scheme and there were opportunities to promote the scheme in a more commercial way which could include newspaper and magazine advertising placed by the Council, with traders paying to be featured within adverts and/or features in Derbyshire Now online (our e-newsletter). It was anticipated that the Trusted Trader Scheme would make around 12% of the income target in the first year of delivery.

Gaining income from advertising required a sales-based operation, targeting companies who might want to take advantage of the offer and significant logistical expertise to manage and deliver the technical and offline requirements. The Council could appoint an existing company to deliver its requirements, or could set up an in-house service. An in-house service would enable the Council, over time, to embed commercial advertising expertise within the organisation. However, it would also; be a higher risk model if the Council underachieved on sales, given the cost of employing staff; be difficult to implement within the Council's pay structure given the need to pay a commission based on the sales achieved (which will drive higher income targets); require new resource-intensive processes to manage administration and finance and require a commercial skillset that did not currently exist within the organisation.

As such, it was recommended that a delivery model be adopted which gives the Council access to commercial expertise, without the risk and overhead costs of employing staff directly. The preferred approach would be to commission a company with a proven track record of working with councils, to generate income from advertising on a payment-by-results model. A number of such organisations exist and the Council would expect to pay a commission of between 35% and 25% based on volume of sales.

The procurement of this service falls within the Concession's category and due to the value of the contract, it would not require advertising in the Official Journal of the European Union (OJEU), but would require advertising on Source Derbyshire and Contracts Finder. Clear requirements for reporting, auditing and payment would be laid out in the Procurement documents, with the contract managed by Communications and Customers and offered initially on two year contract term, with the option for the Council to extend for a further year.

Once established, this income generation model might provide an opportunity for district councils to utilise their assets in a similar way in partnership with the Council. In order to test this, North-East Derbyshire and

Bolsover District Councils would join the Council in the procurement exercise, in order to deliver advertising on their own platforms. Their requirements would be part of the Council's tender documents, but all councils would hold their own contracts with any chosen supplier.

RESOLVED to approve (1) the principle of generating income through advertising at the Council;

(2) the appointment of an external company to deliver this opportunity, paid on a commission basis through the award of a Concessions Contract awarded under Protocol 1 of the Council's Financial Regulations; and

(3) North-East Derbyshire and Bolsover District Council's inclusion in the initial phase as a pilot, with a view to potential expansion to other District Councils in the future (with future approval of District Council involvement being delegated to the Executive Director for Commissioning, Communities & Policy).

**28/20 PROCUREMENT TRANSFORMATION MID-PROGRAMME
UPDATE ENTERPRISING PROCUREMENT AND VISION AND MISSION
PROCUREMENT STRATEGY 2019-24 AND IMPLEMENTATION PLAN**

(Corporate Services) The Executive Director – Commissioning, Communities and Policy provided Cabinet with an update of the progress to date on the delivery of the previous 2018-21 Procurement Strategy at the halfway stage of the Procurement Improvement Programme including the additional actions taken which were outside of the scope of the previous Strategy.

The report also explained how the Procurement Vision and Mission utilised CIPS best practice to shape the future activity of Corporate Procurement to most effectively support the Council in achieving the objectives defined in the Council Plan 2017-21.

The report also included the annual iteration of the Procurement Strategy as required by Financial Regulations. Copies of all three documents were appended to the report.

RESOLVED to approve and endorse the Council's 2019 iteration of the Procurement Strategy covering the period 2019-2024

**29/20 AUDIT CHARTER, ROLE OF THE HEAD OF INTERNAL AUDIT IN
PUBLIC SERVICE ORGANISATIONS AND RESULT OF EXTERNAL
ASSESSMENT OF AUDIT SERVICES**

(Corporate Services) The Assistant Director of Finance (Audit) informed Cabinet of the review and update of the Audit Charter, which was a specific requirement of the Public Sector Internal Audit Standards (PSIAS), and recommended that Cabinet endorsed the Audit Charter as Council policy. The report also informed Cabinet of the update to

the Chartered Institute of Public Finance and Accountancy's (Cipfa) Statement on the Role of the Head of Internal Audit in Public Service Organisations and also of the result of the external assessment of Audit Services which was a requirement of the Public Sector Internal Audit Standards. A copy of the revised Charter was attached at and the CIPFA Statement on the Role of the Head of Internal Audit in Public Service Organisations were attached as Appendices 1 and 2 respectively to the report.

RESOLVED to note (1) the review of the Audit Charter and approve it as Council policy;

(2) the update to the Chartered Institute of Public Finance and Accountancy's (Cipfa) Statement on the Role of the Head of Internal Audit in Public Service Organisations; and

(3) the result of the external assessment of Audit Services confirming that the Unit complies with the PSIAS overall and in each of the four areas of focus assessed.

30/20 CHILDREN'S SERVICES CAPITAL PROGRAMME 2019-20

FURTHER ALLOCATIONS (Young People) The Executive Director – Children's Services reported on allocations approved under delegated powers by the Executive Director - Children's Services and the Head of Development and sought approval to further allocations from the 2019-20 Capital Programme and the allocation of Section 106 contributions.

On 11 July 2019, Cabinet approved and noted further allocations to the Children's Services Capital Programme which left an unallocated balance of £5,196,357. Approvals made under delegated powers by the Executive Director - Children's Services and the Head of Development to top up previously approved allocations were detailed in Appendix A to the report. The allocations totalled £589,884, leaving an unallocated balance of £4,606,473.

On 12 September 2019, Cabinet approved a further allocation of £190,562 for Dunston Primary School and an urgent decision by the Executive Director - Children's Services to approve £689,419 for the new primary school at Highfields Farm was reported to Cabinet on 21 November 2019, leaving an unallocated balance of £3,726,492.

School Devolved Formula Capital (DFC) Contributions totalling £129,257 from the 2018-19 programme of works were reported to Cabinet on 18 April 2019, as being paid into the Capital budget. This figure had now been revised down to £124,952 leaving the unallocated balance at £3,722,187.

Appendix B to the report detailed Section 106 Developer contributions totalling £319,167 that had been received. The Executive Director - Children's

Services approved, under delegated powers, for the monies to be repaid to the Children's Services Capital Programme Basic Need which funded the expansion schemes at the schools. The repayment of these contributions would increase the unallocated balance to £4,041,354.

On 26 July 2018, Cabinet approved £130,000 condition funding for a small extension to create new toilets and to refurbish the existing toilets at Rosliston CE Primary School. Following the approval, the School indicated they did not support the project and it was removed from the Programme. The funding could therefore be returned to the 2018-19 Capital Programme, bringing the unallocated balance to £4,171,354.

A project had been developed at Chinley Primary School to replace a terrapin building which had reached the end of its economic life. The total value of the project was £606,231. The project would be partially funded from S106 funding amounting to £288,413 from developments in the School's normal area and topped up with £317,818 from Basic Need, part of which would be repaid from further S106 contributions when received. On 11 July 2019, Cabinet approved the Basic Need allocation. However, due to an oversight, the £288,413 S106 funding was not formally allocated to the project. This allocation would not have any effect on the overall balance of the budget.

On 7 October 2019 the Executive Director - Children's Services approved £50,000 Basic Need funding under delegated powers to begin design work on a two classroom extension to increase the Chapel-en-le Frith Primary School's capacity from 420 to 490 as detailed in Appendix A to the report. The expansion of the School had been identified as a high priority Basic Need case with the accommodation being required for September 2020. A budget cost of £750,000 had been received for the scheme and £700,000 school condition funding (insufficient basic need) was required in addition to the already approved £50,000 in order to progress the scheme. This would leave an unallocated balance of £3,471,354.

Queen Elizabeth's Grammar School had developed an expansion scheme with a value of £2,462,015 to meet the demands of local housing growth. This scheme was the subject of a separate Cabinet report also due to be considered at the meeting on 13 February 2020, but kept separate due to the detail of the project and its funding. The Basic Need element was £629,506 and was included in this report to ensure that the balance of the Children's Services budget is correctly reported. This would leave an unallocated balance of £2,841,848.

RESOLVED to (1) note the allocations approved under delegated powers by the Executive Director - Children's Services totalling £463,684. 52;

(2) note the allocations approved under delegated powers by the Children's Services Head of Development totalling £126,200;

(3) note the change to the amount of DFC contributions received from schools as reported to Cabinet on 18 April 2019;

(4) note the cancellation of the project at Rosliston CE Primary School;

(5) approve the allocation of the £288,413 Section 106 funding towards the classroom project at Chinley Primary School;

(6) note the approval by the Executive Director - Children's Services for the repayment of £319,167 Section 106 Developer contributions to the Children's Services Capital Programme;

(7) approve the allocation of £700,000 school condition funding from the 2019-20 Capital Programme to expand Chapel-en-le Frith Primary School; and

(8) approve the allocation of £629,506 school condition funding from the 2019-20 Capital Programme to expand Queen Elizabeth's Grammar School in advance of the receipt of Section 106 contributions.

31/20 QUEEN ELIZABETH'S GRAMMAR SCHOOL – SECTION 106

FUNDING (Young People) The Executive Director – Children's Services sought approval to the allocation of Section 106 funding from three housing developments in the Ashbourne area to Queen Elizabeth's Grammar School for an expansion project on the Boothby site.

The Academy had drawn up a feasibility study which would convert an existing building on the Boothby Site adjacent to the playing fields into a new two storey building to accommodate new changing rooms and a total of 9 classrooms as well as ancillary spaces at a total cost of £2,462,015. This would increase the net capacity of the school by 180 places.

Cabinet had approved a total of £700,818 S106 funding towards phase 1 of the Boothby project, details of which were presented. A further £631,691 was now available to the project and it was recommended that approval be given for the allocation of these funds to the project.

RESOLVED to approve the allocation of £631,691 S106 funding to the project.

32/20 PREVENTION GROUP CHANGE OF ELECTED MEMBER

PORTFOLIO (Adult Social Care and Health) The Executive Director – Adult Social Care and Health sought approval to change lead member responsibility

for the Adult Care Prevention Group and associated budget, from the Elected Member Portfolio Holder for Adult Care to the Elected Member Portfolio Holder for Health and Communities with effect from 1 April 2020.

RESOLVED to approve the change of responsibility for the Prevention Group of services and associated budget from the Elected Member Portfolio Holder for Adult Social Care to the Elected Member Portfolio Holder for Health and Communities with effect from 1 April 2020.

33/20 EXCLUSION OF THE PUBLIC FROM THE MEETING RESOLVED

that the public be excluded from the meeting during the consideration of the remaining items on the agenda to avoid the disclosure of the kind of exempt information detailed in the following summary of proceedings.

SUMMARY OF PROCEEDINGS CONDUCTED AFTER THE PUBLIC HAD BEEN EXCLUDED FROM THE MEETING

1. To consider Minority Group Leaders' Questions (if any).
2. To confirm the Exempt Minutes of the meeting of Cabinet held on 16 January 2020.
3. To receive the exempt minutes of Cabinet Member meetings as follows:
 - (a) Young People – 7 January 2020
 - (b) Adult Social Care – 23 January 2020
 - (c) Strategic Leadership, Culture & Tourism – 23 January 2020
4. To consider exempt reports as follows:-
 - (a) PSP (Derbyshire) LLP – A proposed Limited Liability Partnership – Executive Director - Commissioning, Communities and Policy (Corporate Services) (contains information relating to the financial or business affairs of any particular person (including the Authority holding that information))
 - (b) Waste Management Contracts – Approval to Award a Contract for the Amber Valley and Erewash Organic Waste Treatment Contract - Executive Director - Economy, Transport and Environment (Highways, Transport and Infrastructure) (contains information relating to the financial or business affairs of any particular person (including the Authority holding that information))
 - (c) Donut Creative Arts Studio (DCAS) – Executive Director - Children's Services (Young People) (contains information which is likely to reveal the identity of an individual)

PUBLIC

MINUTES of a meeting of the **CABINET MEMBER FOR HEALTH AND COMMUNITIES** held on 3 February 2020 at County Hall, Matlock.

PRESENT

Councillor C Hart – Cabinet Member

Also in attendance: Councillors Stuart Swann and Dave Allen

01/20 **MINUTES** **RESOLVED** that the non-exempt minutes of the meeting of the Cabinet Member for Health and Communities held on 5 December 2019 be confirmed as a correct record and signed by the Cabinet Member.

02/20 **BUDGET MONITORING 2019-20 PERIOD 9** The joint report outlined the revenue budget position of the health and Communities portfolio for 2019-20 up to the end of 31 December 2019. There was a projected year-end underspend of £230,000; this included the projected year-end overspend against the ring-fenced Public Health Grant of £22,382. The significant areas that made up the projection were detailed in the table within the report. The portfolio had incurred additional costs of almost £19,000 due to the Toddbrook reservoir Whaley Bridge incident, which had been funded from the Council's General Reserve.

The Trading Standards underspend of £196,000 was attributed to planning for the achievement of the future savings requirement for the period 2019-22, one-off funding to support older people in relation to scams and doorstep crime, vacancies and additional income.

A risk level of five had been identified around the national shortage of Pathologists and the impact by increasing fees, with the coroner's service. The total Earmarked Reserves were listed within the report, totalling £10.411m to support future expenditure.

RESOLVED to note the report.

03/20 **RECOVERY FROM ALCOHOL AND DRUG DEPENDENCE GRANT** The Cabinet Member was asked to approve the award of £147,388 for five organisations from the Recovery from Alcohol and Drug Dependence Grant.

Evidence showed that individuals in receipt of drug and alcohol treatment were more likely to recover from addiction if they could access supportive arrangements alongside treatment, which encouraged and improved employability, settled accommodation, strong relationships, self-esteem, purposeful activities and healthy diet/nutrition. The grant programme had been

running for the last four years to fund projects that provided recovery activities across Derbyshire.

In September 2019 organisations were invited to apply for the next round of funding in which organisations could apply for a maximum of £40,000 for their recovery projects. Five of the ten applications received from organisations across Derbyshire for the 12 month grant to run from 1 April 2020, were recommended for funding. Details of these organisations were detailed within the report.

In addition to the support these projects provided, Derby County Community Trust was grant-funded by Public Health to deliver activities for people in recovery from substance misuse issues in South Derbyshire, Erewash and Amber Valley. In areas not covered by the recovery projects, the Commissioning Team would work with locality leads to identify community projects which offered activities which may support recovery.

This round of grant funding would end on 31 March 2021. Future requirements for recovery activity would be procured by undertaking a competitive process in line with the Council's Financial Regulations and Standing Orders. In preparation for this, current projects would be reviewed and evaluated to inform requirements for the procurement process and ensure equitable coverage was available for all who require support across the county.

RESOLVED to approve (1) the award to five organisations who meet the Recovery from Alcohol and Drug Dependence Grant funding criteria; and

(2) to further develop the Recovery Communities in Derbyshire from 2021.

04/20 REDUCING THE HARM OF SUBSTANCE MISUSE IN DERBYSHIRE The Cabinet Member was approval for the award of a Recovery Month grant to the value of £770 to Derventio Housing Trust.

Recovery Month was an annual national event where participants showcase recovery from substance misuse, to reduce stigma and to highlight that recovery was achievable. Local activities took considerable resources to organise and tended to locate in Chesterfield. Due to this, a number of smaller but active recovery organisations from other parts of the county had struggled to take part in a meaningful way and recovery month in Derbyshire was starting to lose momentum.

On 13 November 2018 the Strategic Director for Adult Care approved the allocation of £20,000 over a three-year period to encourage individuals, treatment services and recovery organisations to undertake their own projects, events and activities in their own localities. This approach was more inclusive of our geographically diverse county and had revitalised the efforts of both local and countywide organisations and their service users.

The first year, 2019, saw grant funding for nine organisations and sixteen separate events/activities which saw over 300 people taking part. An annual showcase event recognising achievements around recovery was held at County Hall in November 2019 and feedback from the event and the first year of this new approach in general had been very positive.

For year 2 there would be two deadlines: an early deadline (Friday 06 December 2019) for events that cannot take place in Recovery Month, and a later deadline (Friday 19 March 2020) for events in Recovery Month itself. An application was received for the first deadline and was proposed to provide a grant to Derwentio Housing Trust for £770;

RESOLVED to (1) approve the award of a grant to Derwentio Housing Trust to the value of £770 as detailed in the report t; and

(2) agree to accept further reports relating to the award of other small grants to support Recovery Month in Derbyshire.

05/20 **EXCLUSION OF THE PUBLIC** **RESOLVED** - to exclude the public from the meeting during the consideration of the remaining items on the agenda to avoid the disclosure of the kind of information detailed in the following summary of proceedings:

SUMMARY OF PROCEEDINGS CONDUCTED AFTER THE PUBLIC HAD BEEN EXCLUDED FROM THE MEETING

1. To consider the exempt minutes of the meeting of the Cabinet Member for Health and Communities held on 5 December 2019.

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PUBLIC

MINUTES of a meeting of the **CABINET MEMBER – YOUNG PEOPLE** held on 4 February 2020 at County Hall, Matlock.

PRESENT

Cabinet Member - Councillor A Dale

Also in attendance – Councillor J Twigg

9/20 **MINUTES** **RESOLVED** that the minutes of the meeting of the Cabinet Member for Young People held on 7 January 2020 be confirmed as a correct record and signed by the Cabinet Member.

10/20 **CONFIRMATION OF NOMINATIONS OF SCHOOL GOVERNORS** **RESOLVED** to approve the nomination of the following persons to serve as Local Authority Governors:-

J Bate	-	Pottery Primary School
C Martin	-	Spire Nursery and Infant School

11/20 **EXCLUSION OF THE PUBLIC** **RESOLVED** that the public, including the press, be excluded from the meeting during consideration of the remaining item on the agenda to avoid the disclosure of the kind of exempt information detailed in the following summary of proceedings:-

SUMMARY OF PROCEEDINGS CONDUCTED AFTER THE PUBLIC, INCLUDING THE PRESS, WERE EXCLUDED FROM THE MEETING

1. To confirm the exempt Minutes of the meeting of the Cabinet Member – Young People held on 7 January 2020.

12/20 **EXEMPT MINUTES** **RESOLVED** that the exempt Minutes of the meeting of the Cabinet Member for Young People held on 7 January 2020 be confirmed as a correct record and signed by the Cabinet Member.

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PUBLIC

MINUTES of a meeting of the **CABINET MEMBER FOR STRATEGIC LEADERSHIP, CULTURE AND TOURISM** held on 7 February 2020 at County Hall, Matlock

PRESENT

Cabinet Member – Councillor B Lewis

Also in attendance – Councillors R Flatley, P Smith and M Wall

7/20 **MINUTES RESOLVED** that the minutes of the meeting held on 23 January 2020 be confirmed as a correct record and signed by the Cabinet Member.

8/20 **FESTIVAL OF DERBYSHIRE – UPDATE AND RESOURCING REQUIREMENTS** The Cabinet Member was updated on the progress of the Festival of Derbyshire and was asked to consider resources required to deliver the festival activity as agreed at the meeting of the Cultural, Heritage and Tourism (CHAT) Board on 17 December 2019.

A Festival Framework had been devised which had been used to consult with key partners and stakeholders. The response had been positive and, following sign off from the Project Steering Group, was endorsed by the CHAT Board at the meeting held on 17 December 2019.

The Festival of Derbyshire (FOD) would celebrate Derbyshire's distinctive culture and world class offer and start to tell the Derbyshire Story, based on its 'People, Places and Products', making some key milestones and historically relevant anniversaries during the period that helped illustrate and bring the story to life. The Festival would be delivered through a high profile campaign, with activities commencing in May 2020. An overview of the Festival including the marketing campaign and Festival content was presented.

A budget of £43,500 had been forecast (£13,500 for creative proposal and £30,000 for marketing activities) for the entire branding, social media and marketing campaign. The contracts would be let by Marketing Peak District and Derbyshire and then reimbursed during 2019-20 by the Council. Following on from this, it was estimated that another £46,500 would be required in 2020-21 to deliver festival activities, as detailed in the report. It was envisaged that the budget allocated would be used to support external funding applications to deliver specific activity where possible. The total of the Festival of Derbyshire

was set to be £90,000 over the period (which spanned two financial years) and could be met from the Economic Regeneration budget.

RESOLVED to (1) note the progress to date of Festival of Derbyshire with further progress to be reported on a quarterly basis or when required; and

(2) approve the estimated budget of £90,000 for delivery of the Festival of Derbyshire.

9/20 WITHDRAWAL OF AWARD OF GRANTS TO EXTERNAL RECIPIENTS – VITAL VALLEY (HERITAGE LOTTERY FUND GREAT PLACE SCHEME) AND THE PROCUREMENT OF COMMISSION

Derbyshire County Council, on behalf of the Derwent Valley Mills World Heritage Site (DVMWHS) Partnership, had accepted a grant offer from the Heritage Lottery Fund (now - National Lottery Heritage Fund (NLHF)) for a Great Place Scheme in the DVMWHS. The Great Place Scheme included “Old Spaces, Creative Futures”, a project to facilitate a co-ordinated approach to the regeneration of the Belper Mills complex, particularly the North and East Mills. All Great Place Scheme activities must be completed by December 2020 in accordance with the NLHF terms of grant.

The DVMWHS Partnership Co-ordination Team, through the Great Place Scheme, agreed with the NLHF, that an Options Appraisal and Feasibility Study was required to review the viability and form of the visitor offer housed on the North and East Mills site and that the study should be undertaken in consultation with Belper North Mill Trust (BNMT), FI Real Estate Management (FI) and Amber Valley Borough Council (AVBC).

The “Old Spaces, Creative Futures” project had considered various options for the commissioning of the Options Appraisal and Feasibility Study between members of the DVMWHS Partnership and through discussion, it was considered that responsibility for the work was better aligned to the work of the Board as a whole, rather than one of the individual partners. As part of the wider discussion, consideration was also given to options for grant funding awards based on the organisational roles of BNMT and AVBC:

At the meeting of the Cabinet Member - Strategic Leadership, Culture and Tourism on 25 March 2019, it was agreed that a grant up to a maximum of £75,000 should be provided to BNMT. This was to commission appropriately experienced and qualified consultants to undertake a feasibility and options appraisal report for a World Heritage Site visitor facility on the North and East Mill site in Belper. BNMT had agreed to the withdrawal of the £75,000 grant to facilitate the commission by the DVMWHS Partnership, although the Trust would continue to be an active participant in delivery of the work as the operator of the accredited museum housed in the North Mill.

A grant was awarded under delegated powers, by the Executive Director – Economy, Transport and Environment, in a report dated 19 August 2019 to Amber Valley Borough Council (AVBC) to a maximum of £40,000 for Feasibility and Options Appraisal report for visitor attraction and development of Strutt's North Mill Museum, Belper, as a visitor attraction for the DVMWHS. This option was to replace BNMT as the lead body to commission the Options Appraisal and Feasibility Study. Through active discussion, it had been agreed that AVBC was not best placed to lead on the commissioning of the work but instead would be an active participant in the work to ensure economic and cultural opportunities were explored fully.

Derbyshire County Council would now commission the Options Appraisal and Feasibility Study on behalf of the DVMWHS Partnership. The DVMWHS Partnership Co-ordination Team, which was hosted by Derbyshire County Council, would lead on procurement and management of the delivery of the commission through the Great Place Scheme. The NLHF supported this approach to ensure that the grant for the Great Place Scheme facilitated a suitable future for a key heritage asset in the centre of the DVMWHS.

RESOLVED to (1) withdraw a grant up to a maximum of £40,000 to Amber Valley Borough Council;

(2) withdraw a grant up to a maximum of £75,000 to Belper North Mill Trust; and

(3) note that Derbyshire County Council, on behalf of the Derwent Valley Mills World Heritage Site Partnership, will commission and manage delivery of the Options Appraisal and Feasibility Study report for visitor attraction in Strutt's North and East Mills, Belper. This project formed part of the Derwent Valley Mills World Heritage Site Great Place Scheme for which Derbyshire County Council had accepted the National Lottery Heritage Fund Grant of £1,285,800.

10/20 **EXCLUSION OF THE PUBLIC** **RESOLVED** to exclude the public from the meeting during the consideration of the remaining items on the agenda to avoid the disclosure of exempt or confidential information

SUMMARY OF PROCEEDINGS CONDUCTED AFTER THE PUBLIC WERE EXCLUDED FROM THE MEETING

1. To confirm the exempt minutes of the meeting held on 23 January 2020 (contains exempt information)
2. To consider the exempt report of the Executive Director Commissioning, Communities and Policy on approval to procure a New Model of Local Government Collaboration for Derbyshire – Phase 2 Non-Structural

Reform from a Non-DCC Framework (contains information relating to the financial or business affairs of any particular person (including the Authority holding that information))

PUBLIC

MINUTES of a meeting of the **CABINET MEMBER FOR CORPORATE SERVICES** held on 13 February 2020 at County Hall, Matlock

PRESENT

Cabinet Member – Councillor A Foster

Also in attendance – Councillor P Murray

1/20 **MINUTES RESOLVED** that the minutes of the meeting held on 18 December 2019 be confirmed as a correct record and signed by the Cabinet Member.

2/20 **EXCLUSION OF THE PUBLIC RESOLVED** to exclude the public from the meeting during the consideration of the remaining items on the agenda to avoid the disclosure of exempt or confidential information

SUMMARY OF PROCEEDINGS CONDUCTED AFTER THE PUBLIC WERE EXCLUDED FROM THE MEETING

1. To confirm the exempt minutes of the meeting held on 18 December 2019.
2. To consider the exempt report of the Executive Director Commissioning, Communities and Policy on the contract award for the repair, maintenance and servicing of commercial refrigeration and freezers (contains information relating to the financial or business affairs of any particular person (including the Authority holding that information))

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PUBLIC

MINUTES of a meeting of the **CABINET MEMBER FOR HIGHWAYS, TRANSPORT AND INFRASTRUCTURE** held at County Hall, Matlock on 13 February 2020

PRESENT

Cabinet Member - Councillor S A Spencer

Also in attendance – Councillors T Ainsworth and G Hickton

In accordance with Standing Orders, Councillor J Atkin attended the meeting as local Member in respect of Minute No. 13/20.

11/20 **PETITIONS** **RESOLVED** (1) to receive the under-mentioned petition:-

Location/Subject	Signatures	Local Member
Warren Carr, Oldfield Lane – Request for 30mph Speed Limit	13	Councillor J Atkin
Whitwell, Duke Street – Request for Residents Parking	22	Councillor D McGregor

(2) that the Executive Director – Economy, Transport and Environment investigates and considers the matters raised in the petitions.

12/20 **MINUTES** **RESOLVED** that the Minutes of the meeting of the Cabinet Member for Highways, Transport and Infrastructure held on 23 January 2020 be confirmed as a correct record and signed by the Cabinet Member.

13/20 **ADDITION OF FUNDING CONTRIBUTION TO THE HIGHWAYS AND TRANSPORT CAPITAL PROGRAMME 2019-20 – DARLEY BRIDGE**

The issues of large vehicles being unable to pass each other due to the constrained road widths at Darley Bridge was well known to the County Council and would benefit from better management of traffic movements.

A proposal to address the issues with a system of vehicle activated signs (VAS) was explored in 2013-14 but not progressed and in 2018 South Darley Parish Council approached the County Council again requesting reconsideration of the issue. A public meeting was held on 21 November 2018, to ascertain public support to justify carrying out further work on a mitigation scheme. A vote was taken with 25 in favour and 1 against and this was taken as a mandate to commit Officer time and resources on designing a suitable VAS scheme and to explore funding streams. Work has

progressed and a scheme has now been drawn up and costs estimated based upon current manufacturers' pricing for the required equipment.

HJ Enthoven and Sons committed to covering the cost of the supply of the relevant equipment up to a maximum of £25,000 and have also committed to donating an area of land to enable the construction of a passing place for lorries on Oldfield Lane. The County Council would be responsible for the cost of all associated civil engineering works and the on-going maintenance of all additional assets. The County Council now needed to add this contribution to its capital works programme in order that the appropriate works could be programmed.

Monitoring of the scheme would be undertaken and a review would be carried out after the scheme has been operational for a year.

Councillor Spencer stated that specialist professional officers had worked on proposals for Darley Bridge and had taken into account all relevant conditions, physical and financial constraints.

The Cabinet Member allowed Peter Savidge, Richard Barton and Kevin Dean to address the meeting. Paul Morris, Chair of Stanton in Peak Parish Council and Philippa Lloyd were also allowed to put forward comments. The comments included a request for details of the scheme, the type of vehicle activation control to be explained to residents and local representatives; the risk to vehicles and pedestrians using Darley Bridge; the use of traffic control on the bridge; and the suggestion that a feasibility study be undertaken to evaluate a new bridge. Concerns were also expressed in relation to non-compliance with the VAS, increased volume of HGVs and the lack of detailed information for residents.

Councillor Jason Atkin, Local County Councillor covering Darley Bridge also addressed the meeting and felt that as the matter had been the subject of discussion for a number of year progression was required. He therefore supported the recommendations.

Councillor Spencer responded in detail to the comments and proposed that County Council officers draw up a detailed proposal, which would include technical documents, with a view to holding constructive discussions with South Darley Parish Council, the elected local body, on an agreed date and venue.

RESOLVED (1) to note the commitment of a financial contribution of £25,000 and land dedication from HJ Enthoven and Sons to facilitate highway improvement works needed to mitigate the effects of long standing vehicle conflict situations at Darley Bridge;

(2) to approve the inclusion of a scheme in the Highways and Transport Capital Programme 2019-20 for Darley Bridge; and

(3) that officers draw up a detailed proposal, including technical documents, to discuss at a meeting with South Darley Parish Council at a venue and date to be agreed.

14/20 PROPOSED EXTENSION OF THE FOOD BAG PROJECT IN THE HIGH PEAK

On 6 June 2019, the Cabinet Member approved the expansion of the Food Bag project across the Glossop and Buxton areas to issue compostable food bags that would encourage more householders to divert food waste for composting through their garden waste bins for the period of October 2019 to March 2020.

Surveys have found that the average composting rate across the Buxton area for 2018/19 was 0.45kg and for Glossop was 0.54kg. The project incurred additional costs to supply compostable bags to households and to promote the scheme. These costs could be absorbed by the landfill savings resulting from the project provided that households continued to divert more than 0.40kg per household per week.

The food waste collected was composted at the County Council's in-vessel composting plant at Waterswallows, Buxton. This facility was managed by Suez on the County Council's behalf and has confirmed it was satisfied with the inputs from the project and would continue to spread the resulting compost on agricultural land in the Buxton area.

The Government has consulted on its new Resource and Waste Strategy and one of its elements was to eliminate food waste from landfill by 2030. The Strategy included the proposal to collect an increased amount of food waste separately from garden waste on a weekly basis from 2023 and to treat it at Anaerobic Digestion facilities in future. In view of this it would be unwise to expand the current food diversion project in High Peak. However, the councils did not want to discourage the existing participants for composting their food waste and it was therefore deemed practical to continue the project in its current form until there was greater clarity on the Government's intentions.

Approval was now being sought for the continuation of the compostable food bag for householders in the Glossop and Buxton areas for 2020/21.

RESOLVED (1) to approve the continuation of the compostable food bag project in the Glossop and Buxton areas until March 2021, whereby the County Council finds the costs outlined in the report from disposal savings; and

(2) that a further report is submitted to the Cabinet Member in due course to update on progress with this food waste diversion project and the implications of the Government's Resources and Waste Strategy.

15/20 CHARGES FOR DEPOSITS OF LANDOWNER STATEMENTS AND DECLARATIONS

Section 31(6) of the Highways Act 1980 provides a mechanism by which landowners could protect their land from public rights of way coming into existence across it, as a result of any future or further physical public use of ways over the land. It required a map and statement to be deposited with the

County Council, and to continue this statutory protection, a declaration must be deposited with the County Council by the landowner within 20 years of the deposit of a map and statement. To maintain the statutory protection further declarations need to be deposited with the Council at ongoing intervals of less than 20 years.

Section 15A (1) of the Commons Act 2006 provides a way for landowners to bring to an end any period of recreational use of land “as of right” by depositing a landowner statement.

The Growth and Infrastructure Act 2013 enabled the introduction within the Commons (Registration of Town or Village Greens) and Dedicated Highways (Landowner Statements and Declarations)(England) Regulations 2013 of a provision by which the County Council might charge landowners depositing these items with the Council reasonable fees in respect of the associated work it has to carry out. In order to maintain a sustainable delivery of this service, it was considered that the County Council now needed to introduce charges.

It was considered that it would be reasonable to charge fees on each application for the deposit of a section 31(6) Highways Act 1980 statement with map; a section 15A (1) Commons Act 2006 statement; a combined section 31(6) Highways Act 1980 statement with map and a section 15A (1) Commons Act 2006 statement, or Highways Act 1980 declaration; with the following fee structure:

- (a) Areas of land up to 100 hectares - £309
- (b) Areas of land 100-500 hectares - £359
- (c) Areas of land 500-1000 hectares - £409
- (d) Areas of land in excess of 1000 hectares - £459,

always subject, where the land comprises more than one parcel of land or the land was segmented by highways, to additional fees of £50 for each additional parcel and/or segment.

RESOLVED to approve the introduction of charging of fees in accordance with the fee structure described in the report and minute, in respect of applications received by the Council for the deposit of statements with maps pursuant to section 31 (6) Highways Act 1980, statements pursuant to section 15A (1) of the Commons Act 2006, statements with maps pursuant to section 31 (6) of the Highways Act 1980 combined with statements pursuant to section 15A (1) of the Commons Act 2006, and declarations under section 31 (6).

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

**Report of the Strategic Director Commissioning,
Communities and Policy**

**COUNCIL PLAN REFRESH 2020/21
Strategic Leadership, Culture and Tourism**

1. Purpose of the Report

To recommend the authority's Council Plan refresh 2020/21 for approval by Full Council.

2. Information and Analysis

The Council Plan sets out the future direction of the Council, the outcomes that the authority is seeking to achieve and priorities to focus effort and resource. In May 2019 Council approved a substantially revised Council Plan for 2019-21, which set out a smaller number of focused priorities, supported by key deliverables. To ensure the Plan remains up to date and fit for purpose, a light touch refresh of the Council Plan has been undertaken for 2020/21, the refresh is attached at Appendix A. As part of the refresh, additions have been made to the Plan to ensure a continued focus on the Council's work with partners and communities to tackle climate change.

The Plan is supported by a more detailed delivery plan, which has been updated and is attached at Appendix B. This delivery plan sets out clear timescales and lead responsibility. The refreshed Plan and delivery plan are recommended for approval by Full Council. The Council will continue to assess progress through regular monitoring of the deliverables and performance against the key measures set out in the Plan.

3. Financial, Human Resources and Property considerations

Considerations around empowering staff to be creative and agile, improving employee wellbeing, spending money wisely and improving the management of our land and assets are included in the Plan.

4. Transport considerations

The Plan includes deliverables on investment in well maintained roads and highways infrastructure, the development of electric vehicle charge points and

maintaining high levels of customer satisfaction with highways and transport services.

5. Environmental and Prevention of crime and disorder and considerations

Considerations around the environment and the prevention of crime and disorder are reflected in the Council Plan outcomes of happy, safe and healthy people and a great place to live, work and visit. The Plan includes a priority for a “prosperous and green Derbyshire” and deliverables to support this key area of work.

6. Health, Social Value and Equality of Opportunity considerations

The Council’s commitment to enhancing the wellbeing of communities and individuals and to promoting equality and diversity have been embedded throughout the Council Plan.

7. Other Considerations

In preparing this report the relevance of the following factors has been considered: legal and human rights

8. Key Decision - No

9. Call-in

Is it required that call-in be waived in respect of the decisions proposed in the report? No

10. Background papers

Files and supporting papers held in the Organisational Development and Policy Division, in the Commissioning, Communities and Policy department.

11. Officer’s Recommendations

It is recommended that Cabinet recommend the authority’s refreshed Council Plan 2020/21 for approval by Full Council.

Working for Derbyshire (Appendix A)

Draft Council Plan 2019-2021 (Refresh 2020/21)

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Foreword

Derbyshire is a wonderful place to live and I feel very proud to be leading an organisation that supports work and services that contribute to our great county.

There are good schools for our children, relatively low crime rates across the county, beautiful countryside to visit and enjoy, a thriving local economy and most importantly, very strong communities showing great spirit and resilience.

The job of your County Council, working with our partners, is to protect and nurture what we love about living and working here, while constantly trying to make life even better.

That's why, on top of the work you know we already do, we're putting strong plans in place to tackle climate change and reduce our carbon footprint.

There's no doubt that our climate is changing and extreme weather events are becoming more frequent. We've experienced some examples of this here in Derbyshire, with heavy rain causing extensive flooding which has affected many households and businesses.

Clearly action is needed on an unprecedented scale. That's why by 2032 your Council intends to be carbon neutral in terms of the property we own, street-lighting and our vehicles.

The council's carbon footprint makes up just one per cent of Derbyshire's emissions however, so it's clear we all need to work together with district and boroughs, the City Council, businesses and communities to bring about radical change.

You'll see our commitment set out in this refreshed Council Plan under the heading 'A Prosperous and Green Derbyshire'.

As we know, actions speak louder than words, so our willingness to drive change is reflected in our budget for 2020-21 where the council has set aside more than £4m to kick start this development and ensure change.

Across the following pages you'll clearly see what your Council is working to achieve, on your behalf, over the next year and beyond.

At the heart of our plan is our continued aim to provide you with maximum value for money on your council tax by delivering the most efficient and effective public services possible.

It is well documented that there is a lot less money to spend than there used to be. We have had to reduce our spending by a third since 2010 and still have substantial savings to find. Be assured that this is not stopping us from being ambitious for the county, with success relying on

moving from taking a paternalistic approach to delivering services to one where we support individuals and communities to get on in life and make a difference to where they live.

Our refreshed plan makes clear our energy and resources continue to be focused on working with you to make that difference. This includes repairing and maintaining Derbyshire's roads to a high standard, supporting our schools to raise the achievement bar even higher and helping people who are more vulnerable to live and flourish in their own communities. We are also concentrating our efforts on encouraging investment and growth, to bring about greater prosperity which will benefit us all.

We will do this while making sure that you do not pay a penny more in council tax than you need to, keeping it as low as we can.

We are proud of the quality of our services and the fact that you pay less for them than most people in UK. Working with you, we will continue to deliver.

**Cllr Barry Lewis,
Leader of Derbyshire County Council**

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About Derbyshire



A county with a **rich**, diverse heritage with **spectacular** landscapes such as the Peak District National Park and other unique attractions



Population growth varies across the county ranging from just **2.6%** in Derbyshire Dales to **16.8%** in South Derbyshire

Derbyshire is a largely **rural** county with many sparsely populated areas alongside larger built-up urban conurbations



Derbyshire's economy is worth **£15.2 billion** and has grown significantly over recent years

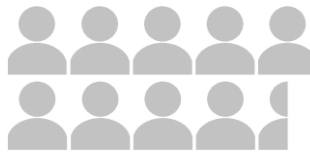


Derbyshire's population is expected to increase by **8%** by **2039**

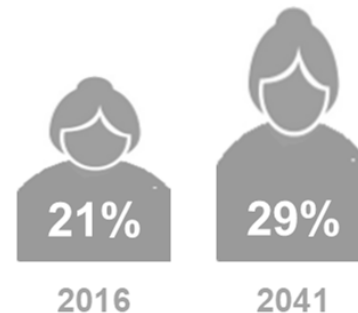
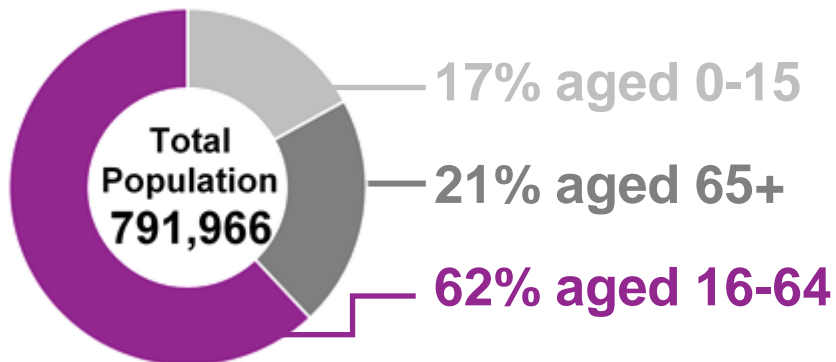


4.2% or **32,652** people living in the county are from Black and Minority Ethnic groups

Around **9.5 million** people live within easy reach of Derbyshire in the surrounding cities of Derby, Sheffield, Nottingham, Manchester and Leicester



28 market towns play a significant role in the local economy. Chesterfield is the area's largest town, with a population of **104,600**



People aged 65 and over

About the Council



Has **64** elected members who represent the residents of Derbyshire



Provides services to almost **17,000** older, vulnerable and disabled people and supports **21,000** carers and over **270** young carers across Derbyshire

Runs **45** branch libraries, **2** mobile libraries, **1** museum and **1** record office which together welcome over **2 million** visits each year



Runs **21** children's centres and supports **146** day nurseries, **112** pre-schools, **221** out of school clubs, **8** creches, **22** holiday schemes and over **480** childminders providing early years support



Maintains almost **3,335** miles of roads and **2,796** miles of footway each year



Looks after **1,182** bridges, **1,000** footbridges, **3,093** rights of ways and over **610** miles of retaining walls

Employs more than **13,000** people and has a budget of more than **£500 million**



Runs **nine** household waste recycling centres and disposes of more than **389,000** tonnes of waste each year



Working with **416** schools (including academies) with approx. **6000** teachers (full-time equivalents), teaching **107,000** children



Maintains **89,650** streetlights and **76,984** traffic signs

Ambition

We will strive to be:

An enterprising and value for money Council enabling people and communities to thrive.

Values

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The way we work – we will:

- **Be open, honest and accountable** ensuring the decisions that we make are fair and transparent
- **Spend money wisely** making the best use of the resources that we have
- **Work with partners and local communities** because we know that we cannot tackle complex problems on our own
- **Listen to local people** ensuring we are responsive and take account of the things that matter most to them

Outcomes

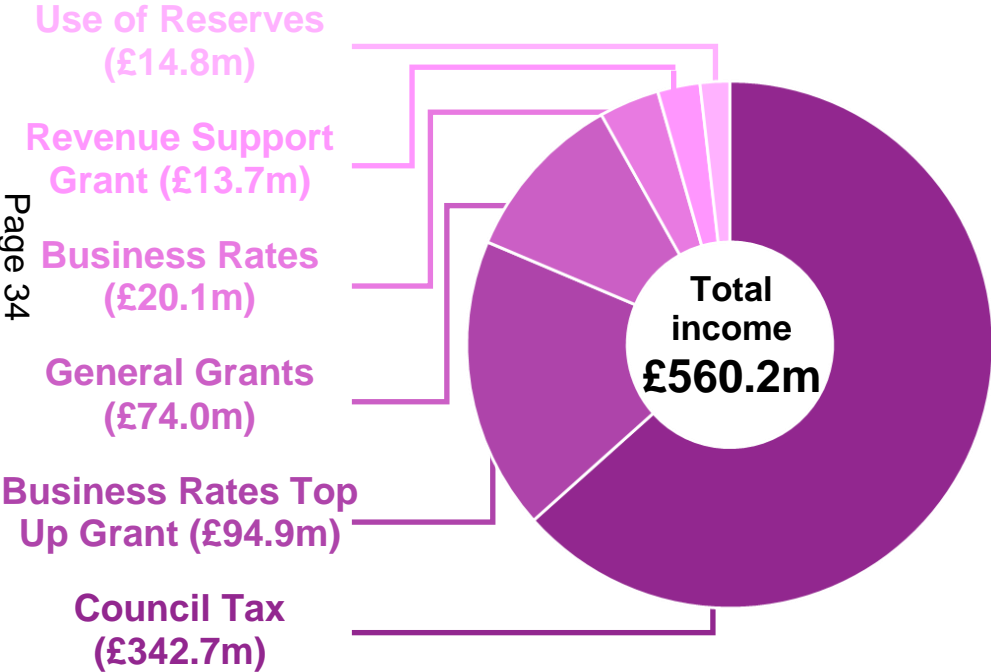
We want Derbyshire to have:

- **Resilient and thriving communities** which share responsibility for improving their areas and supporting each other
- **Happy, safe and healthy people**, with solid networks of support, who feel in control of their personal circumstances and aspirations
- **A strong, diverse and adaptable economy** which makes the most of Derbyshire's rich assets and provides meaningful opportunities for local people
- **Great places to live, work and visit** with vibrant schools, diverse cultural opportunities, transport connections that keep things moving and a healthy and sustainable environment for all
- **High quality public services** that work together and alongside communities to deliver services that meet people's needs

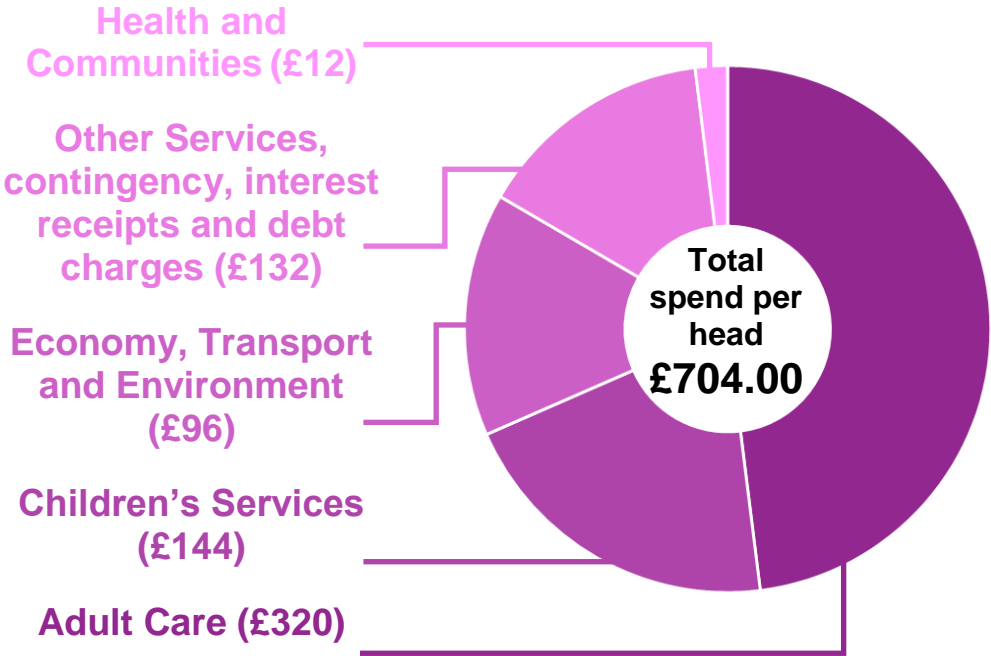
Budget

In 2020/21, the Council's budget of £560.2m will be used to deliver a broad range of services including its statutory responsibilities. This money comes from six main sources. The Council will spend £704 for every resident in Derbyshire to support the delivery of services.

Where the money will come from (£m)



How the money will be spent (£/head of population)

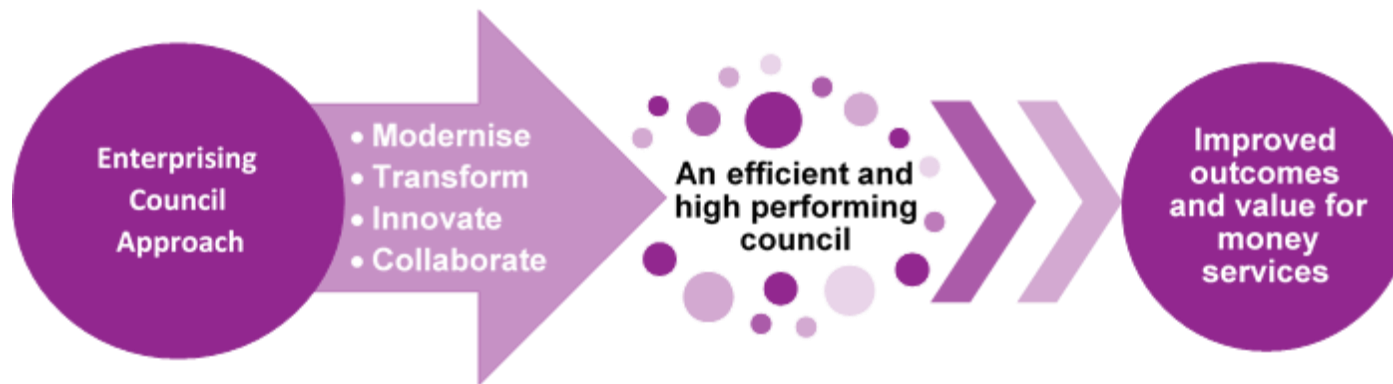


Enterprising Council

The role and shape of public services has changed dramatically over recent years. Reduced public sector funding and increasing demand for services driven by demographics and long standing social, health and economic pressures mean that the Council, like many other authorities across the country, continues to face significant challenges in providing the services that local people need and want with available resources.

The Council has made huge progress in recent years. However more needs to be done to drive forward the radical transformation needed to continue to improve performance and ensure the sustainability of the organisation in the short, medium and long term. Moving forward, the Council will need to be innovative, think differently about the way services are delivered and not be afraid to make the bold decisions that are ahead.

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The Council has committed to becoming an **Enterprising Council**, taking forward an ambitious programme of whole Council transformation and cultural change. Our One Council approach will ensure we have the necessary plans in place to modernise, innovate, transform and collaborate to meet our ambitions, making identified savings whilst continuing to deliver priorities and achieve better outcomes for local people.

Priorities

The Council provides a wide range of services to support residents and businesses in Derbyshire to thrive. The following five strategic priorities have been identified to direct improvement activity over the coming years.



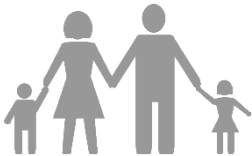
Value for money



A prosperous and green Derbyshire



Empowered and self-sufficient communities



A focus on prevention and early intervention



High performing council services

We're making good progress.....

Continued to spend money wisely, funding high quality, value for money services which people rely on. We are on track to achieve £11 million of savings to our budget in 2019/20, taking the total saved between 2010 and 2020 to £247 million



Made £100,000 available to help residents and businesses affected by flooding and took part in a multi-agency response at Toddbrook Reservoir preventing the dam breaching and ensuring the safety of thousands of local residents



Supported, since 2017, 394 new apprenticeships in a wide variety of occupations with Derbyshire County Council. These include surveying, horticulture, ICT, trading standards, road working, civil engineering, health and social care and catering

Awarded £632,000 in Action Grants to community groups to support 712 projects across Derbyshire, since the scheme launched in May 2018



Delivered faster broadband to over 106,000 premises, of which over 99,000 have access to superfast (in excess of 24Mbps) broadband



Helped fund a £2 million project 'Invest in Derbyshire' supporting businesses looking to move to Derbyshire

The project has helped more than 40 firms bring more than 100 new jobs to the county and will be extended for a further three years with the aim of supporting 80 more businesses relocate to or start-up in the county



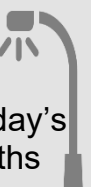
Approved the Council's draft Carbon Reduction Plan and adopted the aim to have net zero greenhouse gas emissions by 2032. Set aside more than £4 million to tackle climate change and continued to implement energy efficiency measures in our buildings, reducing emissions by 54% from the 2010 baseline

Set up a Value for Money Board with representatives from local businesses to ensure Council contracts deliver value for money



Supported students to achieve their potential, 65% of students achieved grade 4-9 in English and Maths GCSE and 43.6% achieved the higher benchmark of grade 5-9, both significantly better than national figures for the last 3 years

Progressed our LED street lighting project which has saved 4.6 million kWh of electricity, 2,000 tonnes of CO2 emissions and £690,000 at today's energy prices, over the last 12 months



Value for money



Deliverables

In the next year we will have:

- Kept Council Tax as low as possible
- Achieved budget savings of £46.8m
- Strengthened partnership working, for instance working with partners to agree the creation of a Strategic Alliance for the region to drive sustainable growth
- Lobbied Government to secure a better funding settlement
- Reviewed and transformed key services - highways, libraries and countryside services - to ensure a mix of in-house and commissioned provision
- Introduced digital platforms for service delivery to support more agile and flexible working
- Improved the management of Council land and buildings, reducing assets which are surplus to requirements
- Improved employee well-being through a new strategy that also increases productivity and reduces absence
- Ensured contract decisions deliver value for money through our Value for Money Board
- Begun to implement the new Procurement Strategy to help the Council to procure goods and services which achieve value for money

In four years we will have:

- Maintained the lowest possible Council Tax
- Achieved budget savings of £63.2m
- Reviewed every service to improve efficiency and effectiveness
- Delivered the Information and Communications Technology Strategy 2018-2023 to streamline service delivery and embed modern working practices
- Significantly reduced our land and building assets and improved the management of those that remain
- Achieved excellence in contract management
- Gained national recognition as an excellent Council

A prosperous and green Derbyshire



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Deliverables

In the next year we will have:

- Assisted small and medium sized enterprises to grow and be more productive
- Worked to maximise growth opportunities arising from HS2 and mitigated impact
- Delivered the new “Invest in Derbyshire” programme in line with agreed timescales
- Delivered the Employment and Skills Strategy action plan in line with programmed timescales, including improved co-ordination of Council activity
- Assisted in the successful implementation of a manufacturing zone in North Derbyshire
- Completed the clean-up of polluted land at the former Coalite works in Bolsover and further developed Markham Vale
- Supported growth in the visitor economy by improving access to a range of accommodation and quality attractions
- Increased fibre enabled broadband coverage across Derbyshire for homes and businesses
- Invested in well maintained roads and highways infrastructure
- Completed the development and started the implementation of a countywide Infrastructure Plan to support good growth
- Implemented the Carbon Reduction Plan to reduce emissions from Council owned buildings and operations
- Worked with partners and communities to deliver the Derbyshire Environment and Climate Change Framework

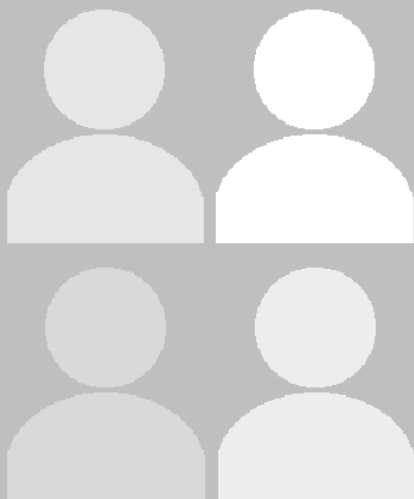
In four years we will have:

- Secured significant international links to enable greater investment and trade
- Supported the development of a network of electric vehicle charge points across the county
- Supported the creation of growth zones at Chesterfield and Toton
- Sustained investment in well maintained highways infrastructure
- Boosted economic growth in Derbyshire through the effective use of the Midlands Engine Strategic Programme Development Fund
- Assisted in the delivery of 5G mobile connectivity for Derbyshire
- Secured Derbyshire as a destination of choice for UK and overseas visitors
- Increased social mobility in Derbyshire with a focus on South Derbyshire and Amber Valley
- Created an innovation park on the former Coalite site in Bolsover
- Implemented renewable energy generation both large scale and microgeneration on our land, buildings and in our communities
- Supported low carbon businesses to establish and flourish in Derbyshire, creating new skilled jobs across the county

Deliverables

Empowered
&
self-
sufficient
communities

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In the next year we will have:

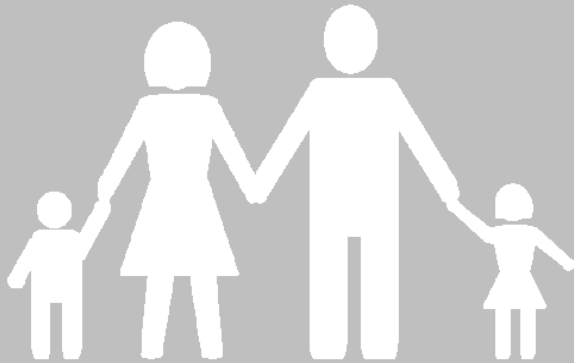
- Rolled out the Thriving Communities programme across 13 localities
- Reviewed grants and developed a new offer to voluntary and community groups to enable the sector to grow and thrive
- Co-designed our offer to people with learning disabilities, focusing on their strengths to help them achieve their personal goals
- Enabled residents to self-serve using an optimal combination of communication channels
- Implemented the transfer of a minimum of five libraries to community management
- Helped people furthest from the labour market into sustainable employment
- Supported communities to take action to tackle climate change within their local areas through our new green action grants programme

In four years we will have:

- Mainstreamed the thriving community approach to enable people to lead bigger and better lives
- A thriving voluntary sector that is less dependent on Council funding
- Become an excellent enabling Council, with communities taking responsibility for their areas, assets and environments
- Expanded the range of communication channels through which customers can access Council services
- Enabled more people with a learning disability in Derbyshire to work towards achieving their goals and aspirations with less reliance on statutory services
- Embedded a successful community managed library approach by implementing the Derbyshire Library Strategy

A focus on prevention & early intervention

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Deliverables

In the next year we will have:

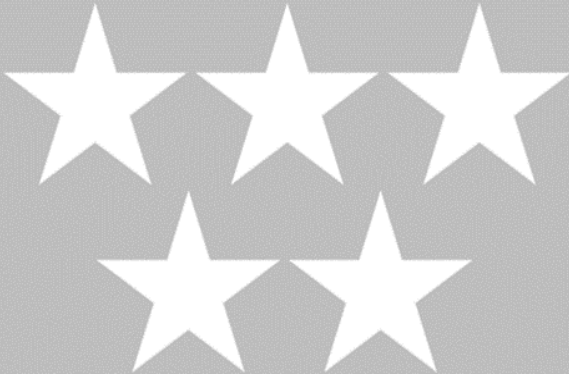
- Continued the implementation of the Older People's Housing, Accommodation and Support Strategy
- Reviewed our care and support offer for adults and children with special educational needs and disabilities to improve efficiency, value for money and customer outcomes
- Better supported people to live at home longer
- Commissioned a new approach to provide innovative technological solutions to support people with social care needs
- Increased the number of people taking part in smoking cessation and weight management programmes to improve outcomes
- Embedded our newly redesigned Early Help Offer for Children, Young People and Families
- Embedded our newly redesigned Universal and Targeted 0-5s Offer through our Health Visiting services and Children's Centres in partnership with the NHS
- Embedded the 'Pause Project', an innovative programme to address the needs of women who have had multiple children removed from their care and to prevent this cycle recurring

In four years we will have:

- Continued the implementation of the Older Peoples Housing, Accommodation and Support Strategy
- Ensured older and disabled people are able to live better lives with increased independence and connectedness to our thriving communities
- Embedded assistive technology across the adult care offer and continued to exploit the opportunities that new technology provides
- Supported more people to manage their own physical and mental health and wellbeing
- Embedded a culture of prevention and demand management across the Council

High performing council services

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Deliverables

In the next year we will have:

- Delivered priority actions from the Enterprising Council Strategy and embedded the approach with staff and partners
- Maximised the effectiveness of the Council's operating model and strengthened the One Council approach to enable high performing services
- Maintained our high performance in reducing delayed transfers of care from hospital
- Ensured all Council run adult care homes have Quality of Care graded as good or outstanding
- Continued to drive improvements in the delivery of children's social care services
- Strived to ensure that all Council run children's homes are good or outstanding
- Worked with Schools to ensure they increase the percentage of children in schools which are good or outstanding, so Derbyshire is in line with the national average
- Continued to maintain high levels of customer satisfaction in the Council's Highway and Transport Services
- Introduced a new Customer Care Charter to set out how we will meet people's needs
- Developed and embedded a more robust performance management framework
- Developed an integrated approach to reporting performance and cost information

In four years we will have:

- Ensured all Council run adult care homes are good or better
- Maintained effective children's social care services
- Strived to ensure all Council run children's homes are good or outstanding
- Continued to work with Schools to ensure they increase the percentage of children in good or outstanding schools to above the national average

Measuring Impact

We will monitor and report on the delivery of the Council Plan through progress on the deliverables described above and on the key performance measures which are set out below. These measures will be reviewed and updated on a regular basis to ensure they are the most appropriate measures and that timely data is available.



Value for money

- Percentage of identified annual budget savings achieved
- Amount of money raised from the disposal of land and buildings
- Average number of days per employee lost to sickness absence
- Percentage of residents agreeing the Council provides good value for money

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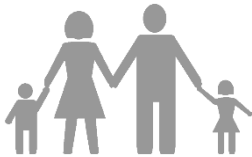
A prosperous and green Derbyshire

- Amount of investment into the county
- Number of businesses and start-ups supported by the Council
- Percentage of homes and businesses with fibre enabled broadband
- Percentage reduction in greenhouse gas emissions from Council land and operations from 2010 baseline
- Percentage of road defects repaired within target
- Percentage of 16-17 year olds who are in education, employment or training



Empowered and self-sufficient communities

- Number of services accessed via e-forms on the Council websites
- Percentage of residents agreeing that by working together people in the local area can influence decisions that affect the local area
- Percentage of residents who agree that they have enough people around them to avoid a crisis
- Percentage of residents who have given unpaid help to an individual, group or club in the last 12 months



A focus on prevention and early intervention

- Rate of permanent admissions to residential and nursing homes for adults aged 18-64 and for those aged 65 and over
- Percentage of people remaining at home 91 days after discharge from hospital and provided with rehabilitation services
- Increased the percentage of clients agreeing that care and support services improve quality of life
- Percentage of children at the early years foundation stage achieving a good level of development
- Percentage of participants in Council delivered weight management programmes who lose weight
- Percentage of participants in Council delivered Stop Smoking Programmes who stop smoking

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High performing council services

- Percentage of Council run adult care homes rated as 'Good' or 'Outstanding' for Quality of Care by the Care Quality Commission
- Percentage of Council run children's homes rated as 'Good' or 'Outstanding' by Ofsted
- Percentage of children in schools rated 'Good' or 'Outstanding' by Ofsted
- Percentage of residents satisfied with highways and transport services
- Rate of delayed transfer of care from hospital to social care
- Percentage of residents who are satisfied with the Council
- Percentage of residents agreeing that they feel informed about Council decisions

Have your say

We would very much welcome your views on our priorities and the Council Plan.

If you would like to discuss any part of it, are interested in getting involved, have any comments or require more information then please contact:

Policy and Research
Derbyshire County Council
County Hall
Matlock
Derbyshire DE4 3AG

Email: policy@derbyshire.gov.uk

Telephone: **Call Derbyshire: 01629 533190**

Council Plan Delivery Plan

2019-2021

Appendix B

Derbyshire County Council

Delivery Plan 2019-21

This Delivery Plan has been developed to provide more detail on the implementation of the Council Plan 2019-21. It will also help the Council monitor the progress of its work. Timescales are provided though these sometimes extend outside the period of this plan reflecting the long-term ambition and implementation periods required.

Key

- * These columns will be used for internal monitoring only
- ASC&H Adult Social Care and Health
- CCP Commissioning, Communities and Policy
- CS Children's Services
- ETE Economy, Transport and Environment

Priority: Value for money

Deliverable	Dept	Start/ Expected Start	Expected Completion	Stage
Kept Council Tax as low as possible	All depts	April 2019	March 2022	In progress
Achieved budget savings of £46.8m	All depts	March 2019	March 2022	In progress
Strengthened partnership working, for instance working with partners to agree the creation of a Strategic Alliance for the region to drive sustainable growth	All depts	May 2017	Ongoing	In progress
Lobbied government to secure a better funding settlement	CCP	Ongoing	Ongoing	In progress
Reviewed and transformed key services to ensure a mix of in-house and commissioned provision	All depts	-	-	-
- Highways review	ETE	April 2018	March 2021	In progress
- Corporate Property review	CCP	February 2019	April 2020	In progress
- Countryside Services review	ETE	October 2018	July 2020	In progress
- Library Service review	CCP	January 2019	2024	In progress
- Procurement review	CCP	2018	March 2021	In progress
- Communications review	CCP	July 2018	December 2019	Completed
Embedded a new constitution and scheme of delegation to speed up decision making	CCP	July 2018	May 2019	Completed
Introduced digital platforms for service delivery, to support more agile and flexible working	CCP	Ongoing	Ongoing	In progress

Deliverable	Dept	Start/ Expected Start	Expected Completion	Stage
Improved the management of Council land and buildings, reducing assets which are surplus to requirements	CCP	March 2019	March 2022	In progress
Improved employee well-being through a new strategy that also increases productivity and reduces absence	All	March 2019	Ongoing	In progress
Ensured Council contract decisions deliver value for money through the Council Value for Money Board	CCP	Ongoing	Ongoing	In progress
Implemented our new Procurement Strategy to help us to procure goods and services at reduced costs without compromising quality	CCP	February 2020	March 2021	In progress

Priority: A prosperous and green Derbyshire

Deliverable	Dept	Start / Expected Start	Expected Completion	Stage
Assisted small and medium sized enterprises to grow and be more productive	ETE	Ongoing	Ongoing	In progress
Worked to maximise growth opportunities arising from HS2 and to mitigate impact	ETE	May 2017	2033	In progress
Delivered the new “Invest in Derbyshire” programme in line with agreed timescales	ETE	June 2018	March 2021	In progress
Delivered the Employment and Skills Strategy action plan in line with programmed timescales, including improved co-ordination of Council activity	ETE	April 2019	March 2023	In progress
Assisted in the successful implementation of a new manufacturing zone in North Derbyshire	ETE	March 2019	March 2021	In progress
Completed the clean-up of polluted land at the former Coalite works in Bolsover further developed Markham Vale	ETE	Markham 2006	2023	In progress
		Coalite 2017	2030	
Supported growth in the visitor economy by improving access to a range of accommodation and quality attractions	ETE	Ongoing	Ongoing	In progress
Increased the fibre enabled broadband coverage across Derbyshire for homes and businesses	ETE	April 2014	December 2020	In progress
Invested in well maintained roads and highways infrastructure	ETE	Ongoing	Ongoing	In progress
Completed the development and started the implementation of a countywide Infrastructure Plan to support good growth	ETE	September 2019	Tbc	In progress

Deliverable	Dept	Start / Expected Start	Expected Completion	Stage
Implemented the Carbon Reduction Plan to reduce emissions from Council owned buildings and operations	All depts	October 2019	March 2021 and ongoing to deliverable deadline of 2032	In progress
Worked with partners and communities to deliver the Derbyshire Environment and Climate Change Framework	ETE/ CCP	October 2019	March 2021 and ongoing to deliverable deadline of 2050	In progress

Priority: Empowered and self-sufficient communities

Deliverable	Dept	Start / Expected Start	Expected Completion	Stage
Rolled out the Thriving Communities programme across 13 localities	CCP	July 2019	March 2021	In progress
Complete the review of grants to voluntary and community and develop a new offer specifically for infrastructure support to enable the sector to grow and thrive	CCP / ASC&H	October 2018	September 2020	In progress
Co-designed the Council's offer to people with learning disabilities, focusing on their strengths to help them achieve their personal goals	ASC&H	September 2019	March 2021	Not started
Enabled residents to self-serve using an optimal combination of communication channels	CCP	June 2019	June 2021	In progress
Implemented the transfer of a minimum of five libraries to community management	CCP	January 2019	March 2021	In progress
Helped people furthest from the labour market into sustainable employment	ETE	June 2019	March 2021	In progress
Supported communities to take action to tackle climate change within their local areas through our new green action grants programme	Tbc	Tbc	Tbc	Not started

Priority: A focus on prevention and early intervention

Deliverable	Dept	Start / Expected Start	Expected Completion	Stage
Continued the implementation of the Older People's Housing, Accommodation and Support Strategy	ASC&H	Ongoing	March 2021	In progress
Reviewed the Council's care and support offer for children with special educational needs and disabilities and adults to improve efficiency, value for money and customer outcomes	ASC&H / CS	May 2019	March 2021	In progress
Better supported people to live at home longer	ASC&H	Ongoing	Ongoing	In progress
Commissioned a new approach to provide innovative technological solutions to support people with social care needs	ASC&H	June 2019	March 2021	In progress
Increased the number of people taking part in smoking cessation and weight management programmes to improve outcomes	ASC&H	April 2019	Ongoing	In progress
Embedded our newly redesigned Early Help Offer for Children, Young People and Families	CS	Started	March 2021	In progress
Embedded our newly redesigned universal and targeted 0-5s offer through Health Visiting services and Children's Centres in partnership with the NHS	ASC&H / CS	Started	March 2021	In progress
Embedded the "Pause Project", an innovative programme to address the needs of women who have had multiple children removed from their care and to prevent this cycle recurring	ASC&H / CS	Started	September 2024	In progress

Priority: High performing council services

Deliverable	Dept	Start / Expected Start	Expected Completion	Stage
Deliver priority actions from the Enterprising Council Strategy and embedded the approach with staff and partners	All depts	January 2019	March 2021	In progress
Maximised the effectiveness of the Council's operating model and strengthened the One Council approach to enable high performing services	All depts	May 2017	December 2020	In progress
Maintained the Council's high performance in reducing delayed transfers of care from hospital	ASC&H	Ongoing	Ongoing	In progress
Ensured all Council run adult care homes have Quality of Care graded as 'Good' or 'Outstanding' by the Care Quality Commission	ASC&H	Ongoing	Ongoing	In progress
Continued to drive improvements in the delivery of children's social care services	CS	Started	March 2021	In progress
Strived to ensure that all Council run children's homes are 'Good' or 'Outstanding'	CS	Started	Ongoing	In progress
Worked with schools to ensure they increased the percentage of children in schools which are 'Good' or 'Outstanding', so that Derbyshire is in line with the national average	CS	Started	Ongoing	In progress
Continued to maintain high levels of customer satisfaction in the Council's Highway and Transport Services	ETE	April 2008	Ongoing	In progress
Introduced a new Customer Care Charter to set out how it will meet people's needs	All depts	March 2019	May 2020	In progress
Developed and embedded a more robust performance management framework	All depts	April 2019	March 2021	In progress
Developed an integrated approach to reporting performance and cost information aligned to corporate priorities	CCP	April 2019	March 2021	In progress

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Executive Director Commissioning, Communities and
PolicyDEPARTMENTAL SERVICE PLANS 2017-2021 (2020-21 Update)
(Strategic Leadership, Culture and Tourism)**1. Purpose of the Report**

To recommend the 2020-21 updates to Departmental Service Plans 2017-21 for approval by Full Council.

2. Information and Analysis

Service Plans set out how each department will contribute to the outcomes and priorities set out in the Council Plan refresh 2019-21. The Council Plan outcomes, which outline what the Council is working towards with partners and local people are as follows:

- **Resilient and thriving communities** which share responsibility for improving their areas and supporting each other
- **Happy, safe and healthy people**, with solid networks of support, who feel in control of their personal circumstances and aspirations
- **A strong, diverse and adaptable economy** which makes the most of Derbyshire's rich assets and provides meaningful opportunities for local people
- **Great places to live, work and visit** with vibrant schools, diverse cultural opportunities, transport connections that keep things moving and a healthy and sustainable environment for all
- **High quality public services** that work together and alongside communities to deliver services that meet people's needs

The five priorities outlined in the Council Plan, which provide a focus for effort and resource, are:

- Value for money
- A prosperous and green Derbyshire
- Empowered and self-sufficient communities
- A focus on prevention and early intervention

- High performing council services

The Service Plans describe how departments will work towards achieving the outcomes and priorities set out above. Performance measures are included in the Service Plans, however in some cases baseline and target information are still to be confirmed due to the need for data that is not fully available until later in the year.

3. Financial Considerations

The capital and revenue programmes included in Service Plans accord with the revenue and capital budgets approved by Council in February 2020.

4. Other Considerations

In preparing the report the relevance of the following factors has been considered: transport, legal, human resources, prevention of crime and disorder, equality and diversity, environmental, health and property.

5. Key Decision - No

6. Call-in

Is it required that call-in be waived in respect of the decisions proposed in the report? No

7. Background Papers - None

8. Officer's Recommendations

It is recommended that Cabinet:

1. Approve the 2019-20 update to Departmental Service Plans 2017-21
2. Approve the Service Plans to be submitted to Full Council for endorsement.

Emma Alexander
Strategic Director Commissioning, Communities and Policy

Commissioning, Communities and Policy

Service Plan 2017-2021 2020/21 Update

**Emma Alexander
Executive Director – Commissioning, Communities and Policy**

Update: 25 February 2020

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Council Ambition

We will strive to be:

An enterprising and value for money council, enabling people and communities to thrive.

Council Values

The way we work – we will:

- **Be open, honest and accountable** ensuring the decisions that we make are fair and transparent
- **Spend money wisely** making the best use of the resources that we have
- **Work with partners and local communities** because we know that we cannot tackle complex problems on our own
- **Listen to local people** ensuring we are responsive and take account of the things that matter most to them

Council Outcomes

We want Derbyshire to have:

- **Resilient and thriving communities** which take responsibility for improving their areas and supporting each other
- **Happy, safe and healthy people** with solid networks of support, who feel in control of their personal circumstances and aspirations
- **A strong, diverse and adaptable economy** which makes the most of Derbyshire's rich assets and provides meaningful employment opportunities for local people
- **Great places to live, work and visit**, with outstanding schools, diverse cultural opportunities, transport connections that keep things moving and a healthy environment for all
- **High quality public services** that work together and alongside communities to deliver services that meet people's needs.

Council Priorities for 2020/21

Our Council priorities are:

- Value for money
- A prosperous and green Derbyshire
- Empowered and self-sufficient communities
- A focus on prevention and early intervention
- High-performing council services.

Departmental Overview

The Commissioning, Communities and Policy Department provides a broad range of services for the Council, local people, communities and partner agencies. With **1,954 FTE staff** (at December 2019) and an annual **budget exceeding £59 million** (2020/21), the Department is organised into the following five Divisions:

- Community Services
- Finance and ICT
- Legal and Democratic Services
- Organisation Development and Policy
- Property Services.

This Service Plan sets out how the Department will support the Council to achieve its ambition of being an enterprising and value for money Council enabling people and communities to thrive and support delivery of the agreed Council Plan outcomes for Derbyshire.

Over the next twelve months the Department will direct effort and resource towards supporting the agreed Council Plan priorities.

The Department will continue to play a critical role in supporting the Council's commitment to become an Enterprising Council. Thinking and doing things differently, not shirking bold decisions and making the most of opportunities is at the heart of the approach. The Department is, therefore, required to drive forward a rapid pace of change and a hugely challenging and ambitious whole council programme of transformation.

Achievements

The Department has made good progress in supporting the Council to achieve its ambitions over **the last twelve months**. Specifically, the Department has:

- Prepared the Council's Statement of Accounts by the statutory deadlines, meeting the requirements of new accounting standards; and maintained unqualified auditor opinions on the accounts, Value for Money and financial standing
- Generated an additional £2.6 million to support the Council's Revenue Budget by investing £70 million in Strategic Pooled Funds
- Lobbied central government for a fairer funding deal for the Council
- Developed a new five-year Procurement Strategy (2019-24) focused on delivering Chartered Institute of Purchasing and Supply best practice and strategic projects
- Implemented and improved collaborative working tools. including four Microsoft Teams pilots and extended the WiFi network
- Secured approval to a new operating model for Corporate Property based on an approved Asset Management Framework; commenced the recruitment of a new senior management team and established a partnership with Public Sector PLC to rationalise the Council's property portfolio.
- Completed the new property operating model business case with phase 1 externalisation projected for April 2020
- Reviewed statutory compliance for council assets, revised the operating model and embedded the process.
- Undertook an extensive review of the Council's Constitution to support development of the enterprising council approach, ensuring the Council is fit for purpose in the modern world
- Made the Derbyshire Registration Office in Chesterfield fully operational and co-located the Coroners premises, improving services for local people
- Developed and started the roll out of a new leadership development programme for the Council
- Completed Phase 1 of the HR Review, including consolidating resources and restructuring the HR function and commenced implementation of activity to support Phases 2 and 3
- Developed the Council's Employee Wellbeing Strategy and commenced the implementation of a range of activities to support employee wellbeing
- Worked with partners to develop a new collaborative and innovative approach – Vision Derbyshire – to improve outcomes for people and communities in Derbyshire

- Developed a Carbon Reduction Plan and new Climate Change and Environment Framework for Derbyshire in collaboration with partners
- Undertaken a review of voluntary and community sector infrastructure provision and commenced work on the development of a new grants framework for the Council.
- Completed Phase 1 of the Enterprising Council Strategy, reviewing the approach and putting in place plans for Phase 2.
- Agreed a strategic roadmap for communications and customers and developed a new Internal Communications Strategy
- Developed a new Channel Shift Strategy and established the Channel Shift programme in liaison with council departments
- Supported over 1,300 victims of domestic abuse with an estimated 10,000 calls taken by the countywide domestic abuse support line; and recommissioned the Derbyshire Domestic Abuse Support Service
- Completed proactive inspections of 287 businesses, seized counterfeit/illicit tobacco with a retail value of over £600,000 and developed Primary Authority partnerships with 20 Derbyshire-based businesses
- Built a new library in Belper
- Delivered over 370 group visits to libraries; reading engagement, services and products to over 27,600 children; and computer help sessions to over 12,000 people

Priorities

Over the **next twelve months**, the Department will focus on the following **priorities**:

- Achieving its share of allocated budget savings, totalling £6.235 million for 2020/21
- Further develop and strengthen collaborative working across Derbyshire through and a new innovative partnership approach – Vision Derbyshire - with the county's district and borough councils
- Delivering commitments set out in the Council's Carbon Reduction Plan to ensure a reduction in the Council's emissions to zero by 2032.

- Working with partners in Derbyshire to deliver the Derbyshire Climate Change and Environment Framework to support the achievement of zero carbon emissions across the county by 2050
- Implementing Phase 2 of Enterprising Council Strategy focussing on three key priorities aimed at improving modern ways of working, demand management and workforce and leadership behaviour across the council
- Developing a new approach to programme and project management and establishing a new programme management office within the Council
- Maximising the effectiveness of the Council's operating model and strengthening the One Council approach
- Rolling out and mainstream the Thriving Communities approach across the Council to help drive the Council's transformation journey
- Continuing to transform key services – Property Services, Library Services, Procurement, HR, Legal and Communications - to deliver service improvements and ensure a mix of in house and commissioned delivery
- Implementing the Procurement Strategy 2019-24 and Delivery Plan 2020
- Continuing the delivery of the Council's ICT Strategy 2018-2023, including the roll out of service and technologies to support mobile and agile working
- Delivering the strategic roadmap for Communications and Customers, including greater integration of communications across the Council and greater emphasis on digital communications, public affairs and the customer experience
- Generating income from advertising on Council websites and key publications
- Completing the review of the Voluntary and Community Sector introducing a new VCS infrastructure offer and developing a new Grants Framework for the Council
- Continuing to act against rogue traders, support vulnerable consumers and victims of doorstep crime and scams and protect consumers from dangerous and harmful products
- Delivering key HR strategies, including leadership development, talent management, performance management, employee wellbeing and learning and development, to support Council transformation and employee engagement
- Developing a more robust corporate performance management framework and putting in place more integrated processes for monitoring and reporting performance, risk, cost information and major projects
- Reviewing the scrutiny function of the Council to ensure that it acts as a critical friend to the Council's Executive
- Considering models for greater centralisation of information governance in the Council
- Implementing the new Legal Services delivery model to improve transparency and accountability to all Council departments for legal work

- Completing the Corporate Property 2020 programme and establishing the new operating model to implement the Asset Management Framework (AMF)

Workforce priorities

The Department will need to ensure that its resources, whether financial, staffing and physical, are aligned to meet priorities in the short and medium term. To ensure the Department's workforce can respond to the challenges and opportunities that lie ahead, a number of key departmental workforce priorities have been identified, including:

- Reviewing and developing further the new leadership framework and competencies
- Improving employee communication and engagement
- Undertaking strategic workforce planning to address the following:
 - Putting in place measures which respond to the Department's ageing workforce and identified gender workforce imbalances;
 - Undertaking effective succession planning and ensuring the retention of vital knowledge across the Department;
 - Ensuring the Department has plans in place to retain key roles and experienced workers, address identified skills shortages and attract people into hard-to-fill roles
- Undertaking further actions to manage performance and promote culture change
- Improving collaborative and partnership skills and building commercial mind set skills across the department
- Improving customer focus skills and ensuring the workforce understands and responds to the needs of local communities
- Increasing flexible working opportunities and identifying opportunities for greater mobile working
- Improving wellbeing at work and mental health support for employees
- Improving manager skills to focus on attendance at work to address sickness absence rates.

Budget

The Department's budget for 2020/21 is **£59,625,879**, full details of which are set out in Appendix A. The Department will be managing the delivery of total proposed budget savings for 2020/21 of **£6.235 million** as follows:

- **Administration and employee savings – £2,081,000**

The number of staff in finance and ICT, communications, human resources, policy, trading standards and community safety will be reduced by not replacing some people when they leave and by restructuring services. Back office costs will also be regularly reviewed. There are also a number of new initiatives, such as channel shift, and procurement exercises being carried out to reduce costs.

- **Insurance reductions – £350,000**

This money will be saved by reducing the contribution to the insurance fund, which means the Council accepting a higher level of risk against the fund.

- **Interest receipts – £250,000**

By managing the Council's cash balances in a more pro-active manner, it is anticipated that this would increase interest receipts. One way that this could be achieved is by looking to invest in longer term, pooled funds which would generate a higher return.

- **ICT – £275,000**

Existing IT contracts and systems will be reviewed and the Council will seek to rationalise the number of systems in use across the authority.

- **Property Services – £1,893,000**

The Council will reduce running costs by rationalising its land and property and releasing the resulting surplus assets. Fees will also be generated from capital schemes.

- **Legal services – £375,000**
A new delivery model will be introduced to manage the demand for Legal Services across the Council.
- **Additional income – £278,000**
The Council will look to raise additional income, e.g. by charging for advertising, increasing income from the Registration Service and the Derbyshire Business Centre and by introducing a charge for the free training currently provided by Community Safety.
- **Trade Union (TU) Facilities Time – £50,000**
The Council is looking to reduce its expenditure on TU Facilities to bring the Council in line with similar county councils which have the lowest percentage of TU Facility Time as a proportion of their pay bill.
- **Libraries – £320,000**
The multi-year programme to transfer 20 libraries to community management, together with regularly reviewing staffing levels and opening hours, will continue, as well as the review of the Mobile Library Service.
- **Arts – £208,000**
The Council will look at alternative ways to deliver the arts service and also review the current arrangements for awarding grants to organisations.
- **Buxton Museum – £70,000**
In line with the proposals to transfer libraries to community management the Council will investigate using volunteers to help to deliver services at Buxton Museum.
- **Derbyshire Record Office – £60,000**
Opening hours and staffing levels will be reviewed.
- **Trading Standards – £25,000**
Further efficiencies will be found from the trading standards budget.

Key Departmental Risks

The Department will be undertaking actions to manage effectively and mitigate risks affecting services that would impact on delivery of the Council’s priorities. Key risks are as follows:

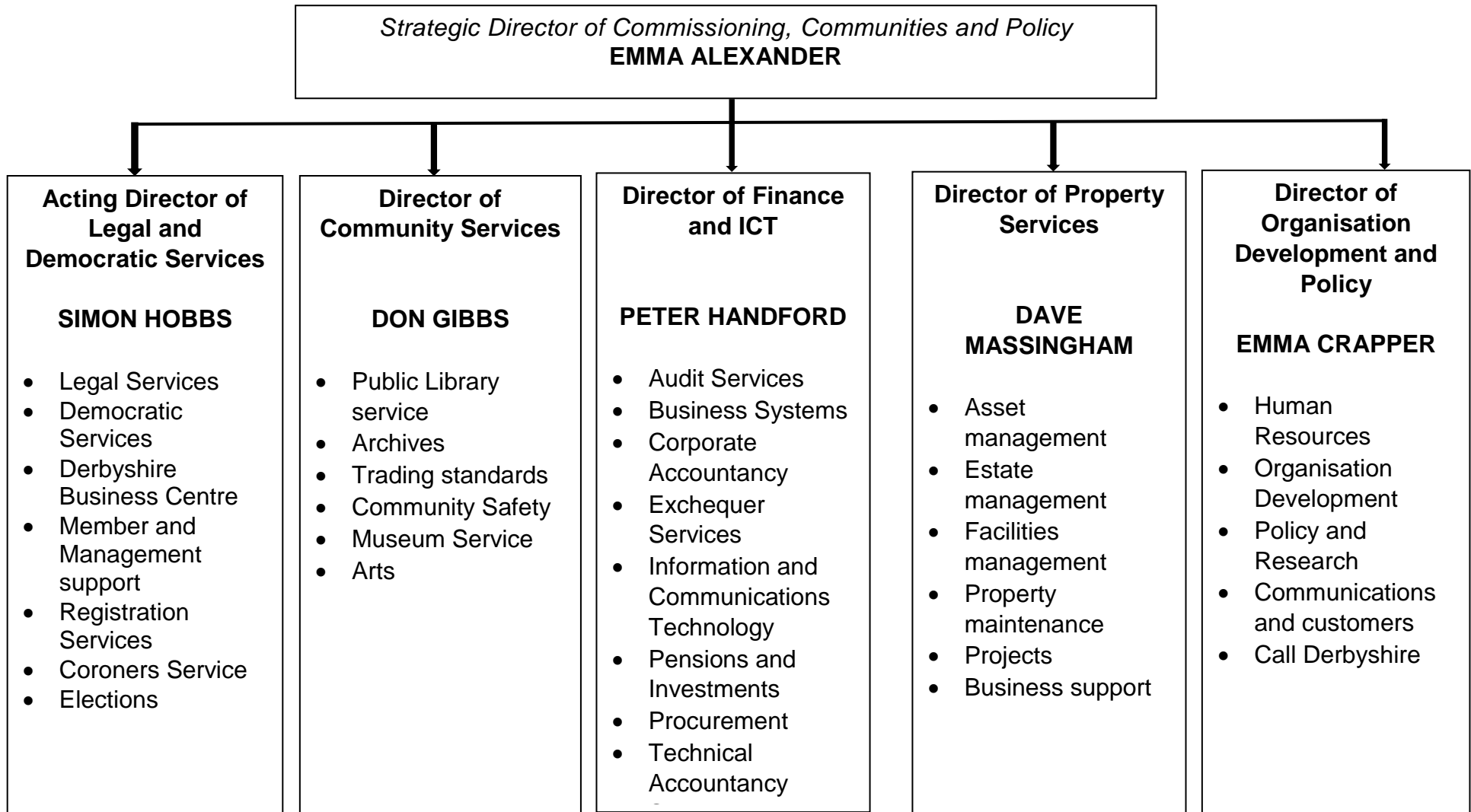
Council Priority	Key Risks	Mitigations
Value for money	Services to schools - The expansion of the academies programme, alongside other devolved school funding schemes, will continue to affect the funding available to provide services to non-academy schools, in particular the pressure on funding creates risk to the performance of statutory and legal duties regarding the upkeep of school buildings. More widely there continues to be a significant effect on demand for Council services with related workforce and financing impacts due to reducing economies of scale.	Key mitigations include an annual review of services provided to schools and the development of a Council Trading Policy.
Prosperous and green Derbyshire	None	

Empowered and self-sufficient communities	Library strategy - Achievement of major change to the library service within the required timescale faces risks due to potential resistance to change, potentially low levels of engagement by and with community organisations and long lead in times to achieve changes in staffing structures. This could lead to delays in meeting required savings targets.	Key mitigations include extensive consultation and engagement with communities, and work to build capacity.
A focus on prevention and early intervention	None	
High performing and council services	Prolonged recovery and funding gap The Council continues to face reductions in funding and income which is exacerbated by rising demand for its services. This context could lead to an increase in financial instability.	Key mitigations include the five-year financial plan, departmental budget reduction programme, and budget monitoring processes and procedures.
	Organisational change - The Department is undergoing significant organisational change which will create workforce issues relating to having the right skills, productivity and capacity. These issues may adversely affect service delivery if not effectively managed.	Key mitigations include effective workforce development planning; developing management capacity and capability through a leadership development programme; maintaining and improving levels of employee engagement and reviewing and aligning services.

Information governance, GDPR, cyber and social media - The Council manages a significant amount of personal data and information in relation to service users and employees in the delivery of services. This is susceptible to loss, misuse and privacy risks, potentially causing the Council financial penalties and reputational damage.

Key mitigations include maintaining ISO 27001 accreditation, an ongoing programme of training and communication, and independent health checks and testing.

Departmental Structure and Leadership Team



Section One – Council Priorities Delivery Plan

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
1. Achieve budget savings of £6.235m for 2020/21	Emma Alexander	April 2020	March 2021	<ul style="list-style-type: none"> All budget savings for the year 2020/21 have been identified and delivered 	✓	Value for money
2. Achieve budget savings of £2.586m for 2021/22	Emma Alexander	April 2020	March 2022	<ul style="list-style-type: none"> All budget savings for the year 2021/22 have been identified and delivered 	✓	Value for money
3. Lobby government to secure a better funding settlement	Peter Handford	April 2019	March 2021	<ul style="list-style-type: none"> The Council's case has been conveyed to ministers as part of representations by members and officers 	✓	Value for money
4. Strengthen partnership working – review and refine partnership working across whole Council and whole place	Emma Alexander	April 2019	March 2021	<ul style="list-style-type: none"> New over-arching Derbyshire partnership arrangements in place. 	✓	Value for money

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
5. Develop the Council and partner agencies approach to non-structural reform	Emma Alexander	April 2019	June 2020 (Phase 2)	<ul style="list-style-type: none"> Overarching framework for progression of non-structural reform in place 	✗	Value for money/High-performing council services
6. Review and transform key services to ensure a mix of in house and commissioned provision						
- Corporate Property 2020 programme	Dave Massingham	February 2019	December 2020	<ul style="list-style-type: none"> Partnership with PSP completed by February 2020 New operating model in place and Phase1 externalisation by April 2020 	✓	Value for money

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
- Library Services – implementation of the <i>Libraries for Derbyshire</i> Public Library Service Strategy	Don Gibbs	January 2019	March 2024	<ul style="list-style-type: none"> • Transferred five libraries to community management by 2021 • Transferred 20 libraries and two mobile libraries to community management by 2024 	✓	Value for money/ Empowered and self-sufficient communities
- Procurement – implementation of the Procurement Strategy 2018-21	Peter Handford	2018	March 2021	<ul style="list-style-type: none"> • Implementation of the Procurement Strategy 2018-21 supported by a Procurement Improvement Plan which sets out the actions to be delivered 	✓	Value for money
7. Deliver the ICT Strategy 2018-23	Peter Handford	2018	March 2023	<ul style="list-style-type: none"> • ICT Strategy delivered • Reduced spend on systems and contracts 	✗	Value for money

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
8. Improve employee well-being through a new strategy that also increases productivity and reduces absence	All departments/ Emma Crapper	March 2019	Ongoing	<ul style="list-style-type: none"> Reduced the average number of days lost to sickness absence Reduced average number of sickness absences due to mental ill health 	✓	Value for money
9. Review the Derbyshire Package provisions	Emma Crapper	April 2019	October 2020	<ul style="list-style-type: none"> Outcome of the review implemented 	✗	Value for money
10. Facilitate the pay award for 2020/21	Emma Crapper	Start and completion dates are dependent upon national negotiations		<ul style="list-style-type: none"> Pay scales implemented and pay records amended to reflect the NJC pay agreement 	✗	Value for money
11. Ensure Council contract decisions deliver value for money through the Council's Value for Money Board	Peter Handford	April 2019	March 2021	<ul style="list-style-type: none"> Value for Money Board meets regularly and is engaged and making recommendations to improve Council procurement and contract management 	✓	Value for money

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
12. Embed robust delivery of property valuations and the accounts	Peter Handford	April 2019	March 2021	<ul style="list-style-type: none"> Positive feedback from External Auditor in Annual Audit Letter 	✗	Value for money
13. Embed a new constitution and scheme of delegation to speed up decision making	Simon Hobbs	April 2019	May 2020	<ul style="list-style-type: none"> New constitution and scheme of delegation operational by May 2019 Positive feedback from External Auditor in Annual Audit Letter 	✓	Value for money
14. Implement modern.gov system	Simon Hobbs	April 2019	May 2020	<ul style="list-style-type: none"> Online committee management system launched in May 2019 Reduction in volume of printing of (paper) agendas Improved public engagement and access to democracy 	✗	Value for money
15. Improve management of our land and building assets and reduce the number of assets which	Dave Massingham	March 2019	March 2022	<ul style="list-style-type: none"> Partnership established with PSP 	✓	Value for money

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
are surplus to requirements				<ul style="list-style-type: none"> • Maintenance backlog and outstanding repairs reduced • Capital receipts for disposal of land and buildings • Reduction in the percentage of land and buildings identified as surplus 		
16. Embed the One Public Estate (OPE) Programme into the Asset Management Framework, including the creation and appointment of an Assets Management Team	Dave Massingham	April 2019	May 2020	<ul style="list-style-type: none"> • Engagement with OPE programme • Clear governance arrangements • Derbyshire projects integrated with broad stakeholder groups 	✗	Value for money
17. Work with partners and communities in Derbyshire to deliver the Derbyshire Environment and Climate Change Framework, working towards net zero carbon	Emma Alexander	October 2019	March 2021	<ul style="list-style-type: none"> • Reduction in tonnes of CO2 emissions in Derbyshire • Implementation plans are in place, costed and resourced. 	✗	A prosperous and green Derbyshire

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
emissions in Derbyshire by 2050				<ul style="list-style-type: none"> The Energy Strategy, Good Growth Strategy and Natural Capital Strategy have been approved by March 2021 Key projects to reduce emissions are being progressed 		
18. Support the Council in developing its strategy to improve social mobility across the county	Emma Alexander	April 2019	March 2021	<ul style="list-style-type: none"> Embedded work on social mobility with the Thriving Communities approach Secured an improvement in the position of Derbyshire districts on the social mobility index 	✗	A prosperous and green Derbyshire/ Empowered and self-sufficient communities
19. Work to deliver a target of net zero greenhouse gas emissions from Council owned buildings and	Emma Alexander	October 2019	March 2021	<ul style="list-style-type: none"> Percentage reduction in greenhouse gas emissions from Council land and 	✓	A prosperous and green Derbyshire

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
operations by 2032 through the implementation of activities set out in our Carbon Reduction Plan				<p>operations from 2010 baseline</p> <ul style="list-style-type: none"> • Implementation plans are in place, costed and resourced. • Key projects to reduce emissions are being progressed 		
20. Develop communication plans to maximise tourism and cultural opportunities and ensure Derbyshire is a first-class visitor destination, including support to the Festival of Derbyshire	Emma Crapper	April 2019	November 2020	<ul style="list-style-type: none"> • Major attractions promoted, working with partners (Visit Derbyshire) • Promotional plan around major milestones, such as the launch of Buxton Crescent, developed with partners • Communication and marketing plan aimed at local, regional and national audiences 	✕	A prosperous and green Derbyshire

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
				developed and delivered		
21. Support the delivery of the Employment and Skills Strategy						
- Support apprenticeships within CCP and the Council	Emma Crapper	April 2019	March 2021	<ul style="list-style-type: none"> Number of apprenticeships and percentage of employees that are apprentices 	✗	A prosperous and green Derbyshire
22. Develop the civic offer	Simon Hobbs	May 2019	May 2021	<ul style="list-style-type: none"> Positive links developed with communities and stakeholders Positive promotion of Derbyshire County Council from a non-political/ ambassadorial perspective 	✗	A prosperous and green Derbyshire/ High-performing council services
23. Support the development and opening of The Crescent, Buxton	Dave Massingham	April 2019	May 2020	<ul style="list-style-type: none"> Opened on schedule Improved profile of the County Council, Buxton and High Peak through an 	✗	A prosperous and green Derbyshire

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
				increase in visitor numbers to Buxton, the High Peak and the County of Derbyshire <ul style="list-style-type: none"> • High positive public feedback • Quality promotional materials • Improved visitor ratings 		
24. Introduce property development opportunities in partnership with PSP	Dave Massingham	April 2021	March 2022	<ul style="list-style-type: none"> • Improve management of our land to maximise revenue generation from underutilised assets 	✗	A prosperous and green Derbyshire
25. Mainstream the Thriving Communities approach ensuring it drives the Council's transformative approach	Sarah Eaton	Nov 2018	March 2022	<ul style="list-style-type: none"> • Approach embedded across, and driving, the Council's transformative approach • Strategic partnership arrangements in place to ensure approach is 	✗	Empowered and self-sufficient communities

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
				embedded across wider public services <ul style="list-style-type: none"> • Approach reflected in workforce planning and leadership development frameworks 		
26. Roll out the thriving communities programme across 13 localities	Sarah Eaton	July 2019	March 2021	<ul style="list-style-type: none"> • Increased the number of local support services co-designed and run collaboratively by staff and local people • Increased the number of community members and/or groups utilising publicly-owned spaces • Increased the percentage of residents who agree that they have enough people 	✓	Empowered and self-sufficient communities

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
				around them to avoid a crisis <ul style="list-style-type: none"> Increased the percentage of residents who have given unpaid help to an individual, group or club in the last 12 months 		
27. Support community activity by enhancing the use of council-owned community buildings and outdoor spaces	Sarah Eaton	April 2020	March 2021	<ul style="list-style-type: none"> Sustainable approach in place at a Council level 	✗	Empowered and self-sufficient communities
28. Complete the review of grants to the voluntary and community sector and develop a new offer specifically for infrastructure support to enable the sector to grow and thrive	Sarah Eaton / Julie Vollar (ASC&H)	October 2018	September 2020	<ul style="list-style-type: none"> New council wide grants system/ arrangements in place New council wide VCS infrastructure model and contract in place 	✓	Empowered and self-sufficient communities

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
29. Invest in new technology and develop self-serve options in local libraries	Don Gibbs	April 2020	March 2021	<ul style="list-style-type: none"> Replace self-service machines in 25 DCC libraries 	✗	Empowered and self-sufficient communities/ Value for money
30. Build the capacity of, and support local communities in the transfer of designated libraries to community management	Don Gibbs	January 2019	March 2021	<ul style="list-style-type: none"> Transferred five libraries to community management by 2021 	✓	Empowered and self-sufficient communities/ Value for money
31. Develop a joined-up council-wide strategy and approach (on early intervention and prevention) which supports planning and investment now, for the future	Emma Alexander	May 2019	March 2021	<ul style="list-style-type: none"> Approach developed and linked to a wider future vision for Derbyshire Investment plans, to support future vision, in place 	✗	A focus on prevention and early intervention
32. Develop a corporate approach to demand management across the council	Emma Alexander	May 2019	March 2021	<ul style="list-style-type: none"> Corporate approach and strategy developed 	✗	A focus on prevention and early intervention

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
33. Deliver priority actions from the Enterprising Council Strategy and embed the approach with staff and partners	Emma Alexander	January 2019	March 2021	<ul style="list-style-type: none"> Received positive feedback from the Corporate Peer Challenge follow-up visit in 2020 regarding staff and partners' understanding of the Enterprising Council approach 	✓	High-performing council services
34. Maximise the effectiveness of the Council's operating model and strengthen the One Council approach to enable high-performing services	Emma Alexander	March 2017	December 2020	<ul style="list-style-type: none"> Received positive feedback from the Corporate Peer Challenge follow-up visit in 2020 regarding clarity if the operating model and implementation of the One Council approach 	✓	High-performing council services
35. Review communications activity (structures and processes) and implement resulting actions	Emma Crapper	July 2019	July 2022	<ul style="list-style-type: none"> Increased engagement through communication channels 	✗	High-performing council services/Value for money

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
36. Support the development of a new Customer Care Charter	Emma Crapper	March 2019	May 2020	<ul style="list-style-type: none"> Increased customer satisfaction Increased the number of compliments about Council services Monitored customer complaints 	✓	High-performing council services
37. Deliver the new Channel Shift strategy	Emma Crapper	July 2019	March 2021	<ul style="list-style-type: none"> Reduced incoming call volumes into Call Derbyshire Increased number of services accessed via Council websites and other digital channels 	✓	High-performing council services
38. Develop and embed a new consultation, engagement and involvement strategy for the Council	Sarah Eaton	January 2019	September 2020	<ul style="list-style-type: none"> New strategy and action plan developed and in place More effective consultation and engagement with local communities taking place 	✗	High-performing council services

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
39. Centralise the HR function to be more efficient and effective	Emma Crapper	April 2019	March 2021	<ul style="list-style-type: none"> • Clear objectives for future HR/OD delivery model • New structure implemented that delivers within a budget that achieves the necessary savings 	✗	High-performing council services/ Value for money
40. Further develop the Council's leadership development approach, rolling out the programme across the organisation	Emma Crapper	April 2019	Ongoing	<ul style="list-style-type: none"> • Leaders are equipped to deliver Enterprising Council outcomes 	✗	High-performing council services
41. Develop and embed the Council's approach to strategic workforce planning	Emma Crapper	April 2019	Ongoing	<ul style="list-style-type: none"> • People Strategy developed and implemented 	✗	High-performing council services
42. Review the Council's employment terms and conditions as part of the People Strategy	Emma Crapper	April 2019	March 2021	<ul style="list-style-type: none"> • Terms of employment complement the ways of working for employees in becoming an Enterprising Council 	✗	High-performing council services

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
				and are aligned to the Council's budget strategy		
43. Improve employee communications and engagement across the Council	Emma Crapper	April 2019	April 2020	<ul style="list-style-type: none"> • Communications Strategy 2019/2020 approved • Develop, approve and embed an Employee, Engagement and Communications Strategy 	✗	High-performing council services
44. Put in place a robust, integrated performance, finance, risk and major projects reporting and challenge system	Peter Handford	April 2019	March 2021	<ul style="list-style-type: none"> • Corporate business case approach embedded across the Council 	✗	High-performing council services
45. Develop and embed a more robust performance management framework	Sarah Eaton	April 2019	March 2021	<ul style="list-style-type: none"> • Developed a framework by August 2019 • Produced reports in accordance with framework timescales 	✓	High-performing council services

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan	Council Priority
				<ul style="list-style-type: none"> Received positive feedback from Corporate Peer Challenge follow up visit in 2020 		
46. Develop an integrated approach to reporting performance and cost information aligned to corporate priorities	Peter Handford/ Sarah Eaton	April 2019	March 2021	<ul style="list-style-type: none"> Production of an annual report and interim monitoring information throughout the year 	✓	High-performing council services
47. Secure greater public access to scrutiny and strengthen democratic accountability	Simon Hobbs	May 2019	May 2020	<ul style="list-style-type: none"> Refreshed delivery of improvement and scrutiny Increased public engagement in the democratic processes and contributions to scrutiny reviews Consideration of public meetings being held at venues across the county 	✗	High-performing council services

Key Performance Measures

Description	Actual	Actual	Latest	Target	Responsible
	2017-18	2018-19	2019-20	2020-21	
Percentage of land and buildings identified as surplus	N/Av	1.36	7.5	2.5	Dave Massingham
Capital receipts for disposal of land and buildings	£1.784m	£5.893m	£6.046m (Feb 2020)	£33m	Dave Massingham
Property maintenance backlog	£70.496m	£72.561m	£73.538m (Feb 2020)	£50m	Dave Massingham
Average number of days lost per appointment to sickness - CCP	8.0	8.4	8.9 (Dec 2019)	8.5	Emma Crapper
Average number of days lost per appointment to sickness – Council (excluding schools)	9.96	9.87	10.28 (Dec 2019)	9.8	Emma Crapper
Spend on agency staff - CCP	£386,502	£908,081	£1.5m (End year projection at Jan 2020)	£1.3m	Emma Crapper
Spend on agency staff - Council	£4.372m	£6.002m	£9m (End year projection at Jan 2020)	£8m	Emma Crapper
Number of new apprenticeship starts – CCP	54	33	66 (Dec 2019)	20	Emma Crapper
Number of new apprenticeship starts – Council	131	126	137 (Dec 2019)	117	Emma Crapper
New apprenticeships as a percentage of total appointments – CCP	1.7%	1.0%	2.0% (Dec 2019)	0.6%	Emma Crapper

Description	Actual	Actual	Latest	Target	Responsible
	2017-18	2018-19	2019-20	2020-21	
New apprenticeships as a percentage of total appointments – Council	1.0%	0.9%	1.1% (Dec 2019)	0.9%	Emma Crapper
Number of libraries and mobile libraries transferred to community management	-	-	0	5	Don Gibbs
The percentage of residents who believe the Council provides value for money	N/Av	N/Av	34.9% (Dec 2019)	TBC	Peter Handford
The percentage of residents who trust the Council	N/Av	N/Av	30.8% (Dec 2019)	TBC	Emma Alexander
Percentage of residents who are satisfied with the Council	N/Av	N/Av	47.0% (Dec 2019)	TBC	Emma Alexander
Percentage of residents agreeing that they feel informed about Council decisions.	N/Av	N/Av	41.0% (Dec 2019)	TBC	Simon Hobbs
The number of local support services co-designed and run collaboratively by staff and local people in Thriving Communities areas	N/Av	N/Av	N/Av	Establish baseline in 20/21	Sarah Eaton
The number of community members and/or groups utilising local spaces in Thriving Communities areas	N/Av	N/Av	N/Av	Establish baseline in 20/21	Sarah Eaton
Percentage of residents agreeing that by working together people in the local area can influence decisions that affect the local area – Thriving Communities areas	N/Av	57.0%	56.7% (Dec 2019)	58.0%	Sarah Eaton
Percentage of residents agreeing that by working together people in the local area can influence decisions that affect the local area - County	N/Av	57.5%	55.0% (Dec 2019)	58.0%	Sarah Eaton

Description	Actual	Actual	Latest	Target	Responsible
	2017-18	2018-19	2019-20	2020-21	
The percentage of residents who agree that they have enough people around them to support them to avoid a crisis - Thriving Communities areas	N/Av	77.8%	64.2% (Dec 2019)	70.0%	Sarah Eaton
The percentage of residents who agree that they have enough people around them to support them to avoid a crisis - County	N/Av	85.3%	69.9% (Dec 2019)	74.0%	Sarah Eaton
The percentage of residents who have given unpaid help to an individual, group or club in the last 12 months – Thriving Communities areas	N/Av	28.2%	29.7% (Dec 2019)	32.0%	Sarah Eaton
The percentage of residents who have given unpaid help to an individual, group or club in the last 12 months - County	N/Av	55.4%	54% (Dec 2019)	56.0%	Sarah Eaton
Incoming call volumes into Call Derbyshire	338,740	354,183	275,996 (Jan 2020)	311,680	Emma Crapper
The number of services accessed via e-forms on the Council website	N/Av	N/Av	AD	TBC	Emma Crapper
Number of complaints - CCP	75	105	25 (Sep 2019)	Monitor	Sarah Eaton
Number of complaints - Council	778	1,001	AD	Monitor	Sarah Eaton
Percentage of complaints responded to within target - CCP	63.8	76.4	AD	Monitor	Sarah Eaton
Percentage of complaints responded to within target - Council	67.7	63.9	AD	Monitor	Sarah Eaton
Number of compliments - CCP	335	229	104 (Dec 2019)	Monitor	Sarah Eaton
Number of compliments - Council	2,084	2,014	AD	Monitor	Sarah Eaton

Description	Actual	Actual	Latest	Target	Responsible
	2017-18	2018-19	2019-20	2020-21	
Number of complaints upheld by the Local Government Ombudsman	8	12	AD	Below national average for county councils	Sarah Eaton
Percentage of budget savings achieved - CCP	N/Av	94%	96.2% (End year projection at Oct 2019)	100%	Emma Alexander
Percentage reduction in CO2e emissions from 2009-10 baseline - CCP	25.1%	42.6%	AD	TBC	Sarah Eaton
Percentage reduction in CO2e emissions from 2009-10 baseline – Council (excluding schools)	33.9%	48.1%	AD	52.9%	Sarah Eaton
CO2e Emissions (tonnes) from Grey Fleet mileage - CCP	357	383	AD	TBC	Sarah Eaton
CO2e Emissions (tonnes) from Grey Fleet mileage - Council	2,953	2,924	AD	2,706	Sarah Eaton

Key: AD – Awaiting Data; N/Av – Not available; TBC – To be confirmed

Section Two – Departmental Priorities

Actions	Lead	Start	Complete	Success Measures	Priority
Work with partners to better understand and respond to new and emerging community safety threats	Don Gibbs		Ongoing	<ul style="list-style-type: none"> Partnership structures in place to identify, understand and respond to new and emerging threats 	Protecting local people
Work with partners to deliver joint approaches to tackling terrorism	Don Gibbs		Ongoing	<ul style="list-style-type: none"> Contribute to Counter Terrorism Local Profile Update and deliver PREVENT Action Plan Emergency Response Plans in place 	Protecting local people

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Key Performance Measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
Number of people accessing training on counter terrorism	1,118 delegates	890 delegates*	900 (Dec 2019)	900

**This figure is approximate. Due to the changes in the Learning and Development System some data was lost.*

Approved Controllable Budget 2020/21

Division	Employees	Premises	Transport	Supplies and Services	Agency and Contracted Services	Transfer payments	Unallocated budget	Controllable Recharges	Gross Budget	Income	Grants	Net Budget
	£	£	£	£	£	£	£	£	£	£	£	£
Corporate Finance and ICT	14,597,983	2,202,773	377,930	9,087,456	609,599	0	(365,386)	(4,590,228)	21,920,128	(2,009,804)	0	19,910,324
Legal and Democratic Services	6,813,668	121,876	58,129	1,987,183	0	0	(499,672)	(865,691)	7,615,493	(2,239,142)	(35,550)	5,340,801
Organisation, Development and Policy	13,289,753	100,094	149,260	1,130,637	236	0	(400,871)	(2,270,810)	11,998,299	(659,860)	0	11,338,439
Property	4,125,386	1,784,813	136,940	711,765	21,150	0	(1,041,132)	8,086,303	13,825,225	(2,579,756)	0	11,245,469
Communities	8,658,703	881,076	124,531	2,108,176	0	0	(1,607,630)	(42,377)	10,122,479	(1,210,528)	0	8,911,951
Strategic Management	843,048	0	6,080	13,641	10,099	0	(938,067)	0	(65,199)	0	0	(65,199)
Members	82,098	1,000	56,500	1,364,174	8,948	0	0	25,100	1,537,820	0	0	1,537,820
Miscellaneous	1,025,255	16,578	0	378,562	0	0	10,349	0	1,430,744	(24,470)	0	1,406,274
TOTAL	49,435,894	5,108,210	909,370	16,781,595	650,032	0	(4,842,408)	342,297	68,384,990	(8,723,560)	(35,550)	59,625,880

Forward Plan of Procurement Projects – up to 31 March 2021

In line with the Council's Financial Regulations, the forward plan of procurement projects for the department, set out below, details procurement projects above £25,000 which are planned to commence over the next 24-month period. The table shows the estimate procurement start date. The projects identified will be the subject of a procurement process as per the procedures set out in the Council's financial regulations.

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
CCP Joint Corporate Projects		
Supply of Janitorial Supplies	£1,500,000.00	01/01/2020
Supply of Gas	£12,250,000.00	01/02/2020
Electricity to Street Lighting	£9,100,000.00	01/02/2020
Electricity to Half Hourly Sites	£7,700,000.00	01/02/2020
Electricity to Non-Half Hourly Sites	£1,575,000.00	01/02/2020
Supply & Delivery of Gloves	£545,084.00	01/02/2020
Electricity to Un Metered Supplies	£390,650.00	01/02/2020
Stationery and Desktop Delivery of Paper	£1,250,000.00	01/04/2020
External Venue Hire	£800,000.00	01/06/2020
Supply of Commercial Fridges & Freezers	£405,000.00	01/07/2020
Supply of Locks and Keys	£455,000.00	01/09/2020
Provision of Removal Services (CCP)	£45,000.00	01/09/2020

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
Supply of Work Wear	£1,400,000.00	06/01/2021
Pensions		
US Equity Discretionary Portfolio Manager	£4,000,000.00	01/04/2020
Tax Advisory Service	£80,000.00	01/04/2020
Fixed Income Research	£50,000.00	01/04/2020
Macro-Economic Research	£25,000.00	01/04/2020
Sustainable Global Equities Portfolio Managers	£1,200,000.00	01/05/2020
Actuarial Services	£460,000.00	01/06/2020
Property Valuation	£35,000.00	01/12/2020
Finance		
Cash Collection	£450,000.00	17/01/2020
Supplier Early Payment Discount Provider	£500,000.00	01/02/2020
Treasury Management Advisor	£80,000.00	01/02/2020
Redesign & Hosting of Source East Midlands	£50,000.00	01/03/2020
Loss Adjuster Tender (Finance)	£40,000.00	01/04/2020
Provision of Rail Travel	£480,000.00	01/09/2020
E-payments hosted PCI Software & hardware Supplier	£99,000.00	01/12/2020
BACS hosted system & software Supplier (Finance)	£45,000.00	01/12/2020
SAP upgrade - Epi-use, data archive management software (Finance)	£60,000.00	01/01/2021
Broker Tender	£100,000.00	01/04/2022
East Midlands eProcurement Shared Portal	£100,000.00	28/02/2023

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
Banking Services	£250,000.00	01/01/2024
ICT		
Supply of Microsoft Desktop Licensing and Extension of the Intermediary Contract for Licence Solutions Provider	£5,000,000.00	01/03/2020
Supply of Support and Maintenance for Document Management System	£154,574.00	31/03/2020
Supply of Mobile Phone Voice and Data Services	£2,000,000.00	01/04/2020
Supply and Maintenance of GIS Solution and Associated Services	£280,000.00	01/04/2020
Replace ICT network cabinets and cabling where necessary at sites across the county to enable the replacement of end of life equipment	£84,000	01/04/2020
Supply of Data Centre Converged Infrastructure	£1,500,000.00	31/05/2020
Supply of Data Centre free Air-Cooling System	£200,000.00	31/05/2020
Supply of Services to Support of Review of the Council's ICT Software Licences	£50,000.00	01/06/2020
Supply of User Hardware (PCs, Laptops etc)	£5,000,000.00	01/10/2020
Supply of Hardware for SAP Upgrade project	£2,000,000.00	01/10/2020
SAP Upgrade - Systems Implementers (Consultant support)	£1,000,000.00	01/10/2020
Supply of Service to Support Network Security Services	£80,000.00	01/10/2020
Supply of Microsoft Advanced Support Service	£140,000.00	01/12/2020
Supply of Data Storage Analysis and Reporting Solution and Associated Services (ICT)	£45,000.00	01/12/2020
Supply of SAP - PSLE Application support and maintenance	£532,000.00	01/01/2021
SAP - Preferred Care Support Pack	£80,000.00	01/01/2021

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
Supply of Microsoft Server Licensing and Procurement of Licence Solutions Provider Server Cloud Enrolment	£1,000,000.00	01/03/2021
Supply of Telephony Solution (Calls and Hardware)	£500,000.00	30/03/2021
Supply of Internet Connectivity and Associated Services	£1,300,000.00	01/01/2022
Legal Services		
Print Services Framework	£2,200,000.00	01/02/2020
Provision of Mortuary Services	£2,500,000.00	01/09/2020
Provision of Funeral Directors for Coroners	£290,000.00	01/09/2020
Multifunctional Devices and Print Room Equipment for the Council and Derbyshire Schools	£2,208,000.00	04/09/2020
Supply of printer consumables	£120,000.00	14/10/2021
Provision of Toxicology Services	£360,000.00	31/09/2020
System for the live streaming of Council meetings	£35,000.00	31/01/2021
Organisation, Development & Policy		
(a) Policy		
Thriving Communities	£150,000	01/07/2020
Vision Derbyshire	£200,000	01/07/2020
(b) Communication Services		
Channel Shift Programme x3	£1,000,000.00	01/07/2020
Distribution of The Derbyshire Residents Publication	£352,000.00	01/09/2020
(c) Human Resources		
Supply of ID Badges (3 year contract + 1 +1)	£75,000.00	01/06/2020

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
Supply And Maintenance of an E-booking System And Associated Services	£90,000.00	01/12/2019
Provision of First Aid Training	£600,000.00	01/02/2020
Dyslexia Assessments, Training & Tuition	£120,000.00	01/02/2020
Apprenticeship Providers (Dynamic Purchasing System) – 5-year contract	£7,500,000.00	01/03/2020
ad-hoc Apprenticeship Providers – 1-year contract	£1,000,000.00	01/03/2020
Higher & Degree Level Apprenticeship Provider (Via Nottingham DAAP) - 3-year contract	£1,410,000.00	01/04/2020
Provision of Interpretation, Translation & Transcript Services	£230,000.00	01/09/2020
Occupational Physiotherapy Contract	£120,000.00	01/09/2020
Physician Contract	£150,000.00	30/09/2021
E Payslips phase 2 (3-year contract + 1 +1)	£250,000.00	01/07/2020
Implementation partner and tax advisor in relation to the implementation of Shared Cost AVC (3 year contract + 1 +1)	£230,000.00	01/07/2020
HR case management system for Advice and Support team (3-year contract)	£150,000.00	01/07/2020
Community Services		
Made in Derbyshire and Arts Derbyshire Website (Community Services)	£46,000.00	01/06/2019
Library Self-Service Kiosks	£450,000.00	30/09/2019
Supply of a Library RFID Tags and Detection Equipment Solution and Associated Services	£130,000.00	03/10/2019
Provision of Furniture for Domestic Properties in Derbyshire & Home Preparation Service	£150,000.00	31/03/2020
Derbyshire Records Office Database	£65,000.00	01/04/2020

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
Provision of Integration and Support Service for VPR scheme for Derbyshire	£600,000.00	01/11/2020
Provision of Offsite Document Storage	£270,000.00	02/01/2021
Security at Chesterfield Library	£160,000.00	01/04/2021
Independent Domestic Violence Advisors Service	£1,375,000.00	01/04/2022
Renewal/replacement of Trading Standards CIVICA database (Community Services)	£42,000.00	01/06/2022
Provision of school programme relating Prevent (Counter Terrorism)	£150,000.00	01/06/2020
Miscellaneous		
Email Alert and Newsletter Solution	£150,000.00	04/09/2019
Property Services (Above OJEU)		
Boulton Moor - New build 2FE	£6,000,000.00	20/04/2019
Ormiston Enterprise Academy & Bennerley Avenue School - New Build	£26,000,000.00	01/06/2019
Risley Lower Grammar Primary School - Renew timber windows	£220,000.00	17/06/2019
Killamarsh Infant School - Replacement of defective trusses, purlins and roof finishes	£450,000.00	24/06/2019
Grassmoor Primary School - Electrical rewire and upgrade	£190,000.00	05/07/2019
Ladywood Primary School - One additional modular classroom	£425,000.00	09/07/2019
Bramley Vale Primary School - Windows and Doors replacement	£250,000.00	05/08/2019
Fairfield Community Centre - Replacement Windows and Cladding	£320,000.00	19/08/2019
Supply of Signage	£640,000.00	01/09/2019
Breadsall Primary School - New Build School	£4,000,000.00	13/09/2019
Buxton Community - Phase 1 of windows roof replacement & assoc. work	£500,000.00	30/09/2019
County Hall - Replace Pitched Roofing to West Wing of South Block	£450,000.00	30/09/2019

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
Willington Primary School - To extend both the GT (General Teaching) area and the library area	£191,000.00	30/09/2019
St Andrews CE Junior, Hadfield - Structural repairs to floors	£250,000.00	26/11/2019
Bramley Vale Primary School - Renewal of flat & pitched felt roof coverings	£250,000.00	18/02/2020
The Brigg Infant School - Renewal of flat roof coverings	£250,000.00	18/02/2020
Contract for the Supply of Electrical Materials	£3,800,000.00	31/03/2020
Design, Installation & Commissioning of Kitchen Ventilation Systems	£3,600,000.00	31/03/2020
Washroom Services – including schools	£1,300,000.00	31/03/2020
Contract for the Provision of Legionella Control Services	£900,000.00	31/08/2020
Service & Repair of Automatic Doors	£400,000.00	31/08/2020
Autodesk Subscriptions (Autocad) (ICT)	£190,000.00	19/03/2021
Modular Building Framework	£10,000,000.00	31/03/2021
Contract for the Supply of Building and Plumbing Materials	£2,200,000.00	31/03/2021
Contract for Repair and Maintenance of Heating Equipment - Lot 1 & 2 North/South Derbyshire	£2,000,000.00	31/03/2021
Demolition Framework	£1,000,000.00	31/03/2021
Contract for Servicing and Maintenance of Air Conditioning Equipment	£400,000.00	31/03/2021
Framework for Landscape Machinery	£1,000,000.00	03/04/2021
Contract for the Servicing of Gas and Electric Catering Appliances - Lot 2 South Derbyshire	£800,000.00	06/04/2021
Portable Appliance Testing (PAT) Framework	£280,000.00	31/05/2021
Servicing and Testing of Gas Pipeline and Equipment	£600,000.00	30/06/2021

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
Contract for Fixed Wire Testing	£340,000.00	31/08/2021
Contract for the Servicing and Maintenance of Passenger and Disability Lifts	£200,000.00	30/09/2021
Contract for the Supply of Softwood, Hardwood and Sheet Timber Materials	£500,000.00	31/12/2021
Contract for the Supply of Power Tools and Repairs	£200,000.00	31/12/2021
Contract for Servicing and Maintenance of Industrial Doors, Gates, Barriers and Roller Shutter Doors	£200,000.00	17/02/2022
Construction and Alterations Framework / DPS - to deliver capital schemes on behalf of Property Services Lot/Category 1 - works/alterations £50K - £2M Lot/Category 2 - £2M - £12M	TBA	TBA
Asbestos Analytical and Bulk Sampling Services	TBC	TBC
Gas Training, Technical Advice and Audit Service	TBC	TBC
Provision of Labour Services (Plumbing, Electrical, Landscape, Construction, Painters, Plasterers, Joiners)	TBC	TBC
Tibshelf Primary School - New primary school	£7,000,000.00	TBC
Spire Lodge - Capital Bid approval (Includes £1.9m from 2016/2017)	£4,125,000.00	TBC
Supply, Erecting and Dismantling of scaffolding for DCC and Police sites	£2,300,000.00	TBC
Winter Gardens Refurbishment - Winter Gardens Refurbishment	£1,700,000.00	TBC
Dunston Primary School - Contribution towards expansion of the school to at least a 1.5 form entry.	£482,000.00	TBC
Etwall Primary School - 2 classrooms and toilets	£422,000.00	TBC
Tibshelf Community - Additional SEN Accommodation	£326,000.00	TBC
Chinley Primary School – Replacement of temporary 2 classroom block	£317,818.00	TBC
Draycott Primary School – Phase 1: Renew defective slate	£300,000.00	TBC

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
County Hall (South Complex) - Veranda Refurbishment	£250,000.00	TBC
Servicing and maintenance of Stair lifts	£250,000.00	TBC
High Peak Junction Visitors Centre - Slate pitched roof renewal to visitors centre	£225,000.00	TBC
Supply and Servicing of Fire Alarms, Emergency Lighting and Fire Extinguishers	£220,000.00	TBC
Christ Church C of E Primary School - Classroom	£202,000.00	TBC
Whitemoor Centre - Roof repairs	£200,000.00	TBC
Contract to provide call out capability regarding heating controls.	£200,000.00	TBC
Hartington Primary School – Rosemary-tiled roof recover	£200,000.00	TBC
Ripley Junior School – Boiler room and roof structural repairs	£200,000.00	TBC
Heanor Langley (Laceyfield Academy) - Remodel	£196,000.00	TBC
Parkside Community School - Replacement concrete floor	£190,000.00	TBC
Property Services (£50K - < OJEU)		
Kilburn Infant School -Timber glazed windows decorations poor condition, repairs required to frames, glazing beads missing & numerous casements defective.	£80,000.00	05/03/2019
Highfield Hall Primary School - Replace concrete floor	£110,000.00	15/04/2019
William Levick Primary School - Electrical rewire and upgrade	£110,000.00	03/05/2019
Pilsley Primary School - Remove underground boiler house and all associated structures	£150,000.00	13/05/2019
High Peak and Derbyshire Dales Area Education Office - repairs to Car Park and Footpaths	£55,000.00	13/05/2019
Killamarsh Infant School - Roof recover	£80,000.00	16/05/2019
Deer Park Primary School - Upgrade wiring & lighting	£100,000.00	17/05/2019

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
Linton Primary - Replacement of timber-framed windows	£70,000.00	03/06/2019
Linton Primary - Replacement of Flat Roofing Coverings	£55,000.00	03/06/2019
Hasland Infant School - Electrical rewire and upgrade	£165,000.00	21/06/2019
Community House, Long Eaton - Repairs to Boundary Retaining Wall	£90,000.00	24/06/2019
Offices at School Lane Chesterfield - Replacement Windows	£150,000.00	08/07/2019
Contract for the Supply of Herbicides	£80,000.00	30/11/2019
Long Eaton Library - Replace Flat Roofing	£132,000.00	23/12/2019
Victoria Street Brimington - Replace Flat Roof	£98,000.00	03/03/2020
Anthony Gell - Repairs/replacement of flat roof and associated works	£150,000.00	13/04/2020
Contract for the Supply of Arboriculture Equipment	£100,000.00	30/06/2020
Contract for the Supply of Paint & Painting Sundries	£170,000.00	31/08/2020
Contract for the Supply of Glass and Glazing Sundries	£180,000.00	31/03/2021
Servicing and Maintenance of Mixing Valves	£120,000.00	31/03/2021
Property Market Information Solution (ICT19007)	£96,000.00	01/04/2021
New Hilton Primary - Contribution to Developer for furniture & equipment	£171,000.00	TBC
Hayfield Primary - Electrical rewire and upgrade	£155,000.00	TBC
Alfreton Park - Renew Deer Shed roof	£150,000.00	TBC
Stenson Fields Primary – Patent glazing roof lights & Teleflex	£150,000.00	TBC
Bolsover / Clowne reorganisation - Reorganisation & Rationalisation	£137,600.00	TBC
Crich CE Infant School – Renew pitched roof	£135,000.00	TBC
Rosliston Primary School - Small extension to create new toilets and refurb existing	£130,000.00	TBC

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
St Andrews Junior - Structural repairs to boiler room	£120,000.00	TBC
Highfield Upper School – Replacement of obsolete system throughout	£120,000.00	TBC
Highfield School – Kitchen equipment	£110,000.00	TBC
East Clune HOP - Replace life expired rooflights to first floor roof with suitable alternative	£100,000.00	TBC
Lady Manners - Window replacements	£100,000.00	TBC
Newhall Junior School - Upgrade existing heating system	£100,000.00	TBC
Hayfield Primary – Phase 2 wiring scheme	£100,000.00	TBC
Geoffrey Allen Centre - Replacement Windows and Doors to Front Elevation	£90,000.00	TBC
Chatsworth Hall - Replacement Lift	£88,000.00	TBC
Pilsley Primary School – Phase 2 wiring scheme	£85,000.00	TBC
Repton Primary School – Strip and replace aged timber framed windows	£85,000.00	TBC
Long Row Primary School – Fire alarm, emergency lighting, to include distribution	£80,000.00	TBC
Newhall Day Centre - Update kitchen ventilation system	£77,660.00	TBC
Lea Primary School – Renew pitched roof	£75,000.00	TBC
Ridgeway Primary School – Phase 1: Renew defective slate	£75,000.00	TBC
Highfields School - Fencing	£72,000.00	TBC
Darley Dale Primary School - Kitchen Ventilation	£71,500.00	TBC
Glebe Junior - Update kitchen ventilation system	£71,000.00	TBC
Whitfield St James Primary School – Replace & relocate boilers	£70,000.00	TBC
The Curzon Primary School - Funding towards multi-use game area and fitness trail	£68,000.00	TBC
Overseal Primary School - Secure Lobby and new Toilet	£65,000.00	TBC

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
Anthony Gell Sports Hall - Sports Hall	£62,000.00	TBC
Newhall Junior School – Phase 2 heating work	£62,000.00	TBC
Aldercar Infant School - Kitchen Ventilation	£60,500.00	TBC
Holmlea HOP - Fire Alarm	£60,500.00	TBC
Brockwell Junior School – Kitchen roof recover including replacement of roof	£60,000.00	TBC
Fairview Childrens Home - Pitched roof recover	£60,000.00	TBC
Ironville & Codnor Park Primary – Remodel	£60,000.00	TBC
Newton Primary School - Kitchen Ventilation	£56,650.00	TBC
Poolsbrook Primary School - Kitchen Ventilation	£56,100.00	TBC
Christ The King Primary School - Kitchen Ventilation	£55,000.00	TBC
Community House, Long Eaton - Replacement Windows and Cladding to Youth Centre	£55,000.00	TBC
Harpur Hill Primary School - Kitchen Ventilation	£55,000.00	TBC
Long Row Primary School - Kitchen Ventilation	£55,000.00	TBC
Solomon House -Bathroom / Toilets Refurbishment	£55,000.00	TBC
Town End Junior School - Damp remedial works	£55,000.00	TBC
Ripley Junior School -Security Work	£50,516.40	TBC
Ashbourne Hilltop Primary - school expansion	£50,000.00	TBC
Bamford Primary School – Renew defective single-glazed timber windows	£50,000.00	TBC
Cotmanhay Junior School - Refurbishment of toilets and staffroom	£50,000.00	TBC
County Hall (South Complex) - Refurbish fuel storage tank to Library generator	£50,000.00	TBC
Harpur Hill Primary School - should expansion - design	£50,000.00	TBC

Contract Title	Estimated Amount/Value (£)	Estimated Procurement Project Start Date
Hazelwood HOP - Upgrade kitchen ventilation to current standards.	£50,000.00	TBC
Heathfields Primary School – Renew defective single-glazed timber windows	£50,000.00	TBC
Newhall Junior School - To begin design work for a replacement school	£50,000.00	TBC
White Hall Centre -Timber Windows & Doors - RPtP & Replacements	£50,000.00	TBC
Ilkeston Adult Education Centre - Repair	£50,000.00	TBC
Shipleigh Country Park - Pond House underpinning and associated works	£50,000.00	TBC
St Johns, Belper – Internal remodelling	£50,000.00	TBC

Please note: The above includes for the replacement of existing contracts and also an early indication of new projects which require procurements to commence within 2019-21.

** Property projects will be subject to funding availability/release and the procurement values shown are based on estimated costs. This means costs may be higher or lower when projects are tendered.*

Economy, Transport and Environment

Service Plan 2017-2021 2020/21 Update

Mike Ashworth
Executive Director – Economy, Transport and Environment
V1.0

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Council Ambition

We will strive to be:

An enterprising and value for money council, enabling people and communities to thrive

Council Values

The way we work – we will:

- **Be open, honest and accountable** ensuring the decisions that we make are fair and transparent
- **Spend money wisely** making the best use of the resources that we have
- **Work with partners and local communities** because we know that we cannot tackle complex problems on our own
- **Listen to local people** ensuring we are responsive and take account of the things that matter most to them

Council Outcomes

We want Derbyshire to have:

- **Resilient and thriving communities** which take responsibility for improving their areas and supporting each other
- **Happy, safe and healthy people** with solid networks of support, who feel in control of their personal circumstances and aspirations
- **A strong, diverse and adaptable economy** which makes the most of Derbyshire's rich assets and provides meaningful employment opportunities for local people
- **Great places to live, work and visit**, with outstanding schools, diverse cultural opportunities, transport connections that keep things moving and a healthy environment for all
- **High quality public services** that work together and alongside communities to deliver services that meet people's needs

Council Priorities for 2020-21

Our Council priorities are:

- Value for money
- A prosperous and green Derbyshire
- Empowered and self-sufficient communities
- A focus on prevention and early intervention
- High performing council services

Departmental Overview

Employing over 730 staff and with an annual revenue budget exceeding £76.4 million, the Department provides a wide range of services within the community which have a direct impact on the lives of Derbyshire people, as well as on those people who visit or work within the County.

The Department's focus is to build a strong local economy that creates jobs, provides a skilled and confident workforce and promotes an environment where businesses can grow, whilst ensuring that the public are kept safe and the environment is protected for future generations.

The Department will be instrumental in taking forward the economic development and regeneration agenda and will play a vital role in developing services and infrastructure that encourages and delivers against the Council Plan priority of **a prosperous and green Derbyshire**. The Department will ensure its resources are focussed on those areas that support and help sustain growth and create jobs.

The Council has been working with local authorities across Derbyshire and Nottinghamshire to develop stronger regional arrangements through joint working with the Derby, Derbyshire, Nottingham, Nottinghamshire (D2N2) Local Enterprise Partnership (LEP); it will continue to work with partners to agree the creation of a Strategic Alliance for the region to drive sustainable growth.

Delivering 'good growth' in the local economy of Derbyshire is an important consideration in all aspects of the Department's work, whether through providing a sustainable and efficient transport system – including public transport, a well maintained highway network, encouraging low carbon industries or supporting sustainable mineral extraction through planning decisions. The Department will always look to balance economic growth whilst protecting what makes Derbyshire special, such as its heritage and landscape, which themselves are major economic assets.

These priorities will be delivered through a mix of local authority, LEP or private sector funding.

Strategic Leadership and Management

As the Department meets the challenges of reducing resources, changing national policies and new systems and technologies, effective workforce planning is essential to ensure that there are the right number of employees, with the right knowledge and skills, in the right place, at the right time. The Department will, therefore, need to ensure that its resources, whether financial, staffing or physical, are properly aligned to meet service priorities in the short and long term.

Leadership and direction will be provided to ensure effective management of staff and provision of support to the Departmental Management Team in order to assist in the Council's wider drive for effectiveness and efficiency and contribute to required savings targets, as necessary.

Workforce planning will ensure the Department is able to identify and effectively plan for issues and challenges, including any reducing areas of work, any new or growth areas, changes in Government and Council policies and the impact of other internal and external drivers. The workforce planning process will also enable the Department to address any skills and competency needs, for example, where there may be changes to jobs

or services, skills shortages or new requirements/working practices and processes to meet our business needs, ensuring relevant and appropriate training and development is provided.

Details of the Department's approved controllable budget, forward plan of procurement, Vehicle Replacement Programme, Waste Management Capital Programme, and Derelict Land Reclamation and Regeneration Capital Programme are contained in the Appendices to the Service Plan.

Delivery of the Department's services and operations will be guided by the principles of sustainability embedded in the revised Corporate Environment Policy, Strategy and Action Plan, in order to promote a better quality of life for our communities, encourage economic regeneration and protect and enhance the environment.

The Department will provide the leadership and framework to achieve its performance targets through its Quality Management Systems (QMS) and Environmental Management System (EMS), in accordance with the requirements of the International Standards Organisation ISO9001 and ISO1400 respectively.

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**Economy, Transport and Environment
Executive Director**
MIKE ASHWORTH

Service Director Economy and Regeneration JOE BATTYE	Service Director Highways GEOFF PICKFORD	Assistant Director (Interim) Environment CLAIRE BRAILSFORD	Assistant Director Resources & Improvement ANGELA GLITHERO
<ul style="list-style-type: none"> • Economic Development • Transport Infrastructure and Programme Management • Highways Development Control • Transport and Accessibility – public transport • Sustainable Transport – walking and cycling • Planning • Conservation, Heritage and Design • Markham Vale Enterprise Zone 	<ul style="list-style-type: none"> • Highway Strategy • Network Planning • Highways Design • Highways Construction • Derby and Derbyshire Road Safety Partnership and Road Safety • Emergency Planning Service 	<ul style="list-style-type: none"> • Waste • Flood Risk Management • Countryside Service 	<ul style="list-style-type: none"> • Finance and accountancy • Performance and quality management • Customer service and engagement • Business services • Fleet services • ICT, HR, Procurement client • Change and improvement

Budget savings

The Department will contribute to the Council's priority of providing **Value for Money** during 2020-21 and will deliver savings of **£1.576m** as follows:

Waste	The cost of disposing of waste will be reduced through restricting use of household waste recycling centres by businesses and people who live outside of Derbyshire	£230,000
Public Transport	Following the additional investment in 2017, the amount the Council spends on subsidised bus services will reduce. This will be achieved by retendering services to get a better price and by reviewing some services to make sure they are still used	£450,000
Countryside Service	The Council is looking for a combination of alternative sources of funding to generate income through commercial activity or to reduce the cost of this service	£400,000
Staffing	Staff budgets will be reduced by identifying other sources of income to pay for staff costs	£258,000
b_line	The Council will no longer provide a public transport discount card for young people, although some operators will continue to provide discounted rates on their trains and buses	£88,000
Digital Derbyshire	The team responsible for ensuring superfast broadband is available across the County will be funded from the Council's reserves instead of a revenue budget	£150,000

Key Departmental Risks

Priority	Key Risks	Mitigations
Value for money	None identified	
Prosperous and green Derbyshire	<p>Failure to maintain assets including roads, pavements, bridges, retaining walls, street lighting columns, safety fencing, gullies, countryside assets, canals, reservoirs</p> <p>Management of DCC water bodies - Serious injury to the public or employees and/or severe damage to land or infrastructure as a result of failure of asset</p> <p>Ash dieback - Serious injury to the public or employees on Council owned land, Highway Network, Public Rights of Way (PRoW) Network , Countryside Sites and premises</p>	<p>A risk based approach to asset management is in place in accordance with the Code of Practice - "Well Managed Highway Infrastructure". Approach to managing network resilience being developed during 2019-20.</p> <p>The County Council owns and operates water bodies of varying types (canals, reservoirs, lakes) condition and ages. Many of these assets are managed by the Countryside Service on behalf of the Corporate Landlord. Management of the assets by Countryside Service Staff includes arranging inspections; maintenance works; vegetation management; waterbody structural checks; specialist flood studies; investigations to identify engineering solutions, including engagement of specialist consultants, and securing funding.</p> <p>The Countryside Service is initiating a programme to quantify the scale of the problem; plan an inspection regime for roadside trees; provide training to all site based staff and establish escalation procedures; undertake a desk-based assessment of the location of ash trees utilising detailed site knowledge; use latest research to assess individual trees and make management decisions; establish a corporate working group to oversee ash dieback management and progress the development of a Corporate Ash Dieback Action Plan with appropriate funding options.</p>

Priority	Key Risks	Mitigations
<i>Empowered and self-sufficient communities</i>	None identified	
<i>A focus on prevention and early intervention</i>	Failure to safeguard children and vulnerable adults using Economy, Transport and Environment services	DBS checks are undertaken on all relevant employees, drivers and passenger assistants. Any necessary health and safety checks for visits and activities comply with DCC requirements.
<i>High performing and council services</i>	Failure to meet waste management targets increasing environmental and financial costs and reputational impacts.	Working closely with key partners and stakeholders increase waste minimisation, reuse and recycling of waste. Deliver a range of educational work and campaigns to educate and raise awareness and understanding of the need to reduce, reuse and recycle waste. Deliver long term waste management solutions. Manage and monitor waste contracts to maximise diversion of waste from landfill and ensure appropriate management of waste. Ensure accurate and regular budget monitoring and performance reviews. Monitor and take account of broader waste management issues, government and European influences.

Achievements during 2019-20

A summary of the key achievements for the Department during **2019-20** are detailed below:

- **Flooding events and Toddbrook Reservoir** – during 2019-20, there have been a number of major flooding events which have affected properties and infrastructure Countywide. The Toddbrook Reservoir was one of the major incidents involving a multi-agency response which working together prevented the dam breaching and ensuring the safety of thousands of local residents
- **Pot Hole Fund** - Completed the £8.4m pot hole fund investment programme
- **New Code of Practice** - introduced new Code of Practice for the maintenance of the highway network
- **Waste Watchers Programme** – delivered the waste education theatre project ‘Waste Watchers’ during the spring term 2019, including 31 performance days to secondary schools which incorporated 97 workshops with approximately 5,766 year 7 or 8 students participated in the programme
- **Association of Community Rail Partnership Award (ACORP)** – the Derwent Valley Community Rail Partnership received an award from ACORP for its work with the Derbyshire Wildlife Trust on rejuvenating the Whistlestop Centre at Matlock Bath Station
- **Planning Services** - received the East Midlands Royal Town Planning Institute Local Planning Team of the Year (2019)
- **Gold Modeshift Stars accreditation achieved by 3 Derbyshire schools** - Alfreton Nursery School, Riddings Infant and Nursery School both claimed awards at the Midlands and North West Modeshift Sustainable Travel Accreditation and Recognition for Schools (STARS) ceremony held in Birmingham
- **1000th Cycle to Work certificate issued during 2019**
- **Low Emission Vehicle Infrastructure Strategy (LEVI) and Action Plan** - approved by Cabinet with 38 fast and 11 rapid charge units confirmed for installation across the County in all district and borough council areas. An application has also been successful for £200k funding from the Office for Low Emission Vehicles(OLEV) to provide 20 dual Electric Vehicle charge points in Ashbourne, Bakewell, Matlock, Buxton and Glossop
- **New Mills - Natural Flood Risk Management Scheme** – successfully completed a scheme on Ollersett Moor which was designed to slow and store the flow on an existing watercourse, thereby reducing the flood risk to properties further down the valley in New Mills. This is the first scheme of its kind that the Council has undertaken and delivered in partnership with the Environment Agency, the Mersey Forest and the Landowner. A volunteer day was held which attracted over 50 local people planting trees as part of the scheme
- **Derbyshire Environmental Studies Service** - awarded ‘Highly Commended’ in the Community Development Award Category in the national Outdoor Learning Awards 2019 from the Council for Learning Outside the Classroom (CLOtC) for the engagement work as part of the New Bolsover Model Village Heritage Project

- **Electric Vehicle Pool Fleet** – the Council has introduced eight electric pool cars and three electric bikes in an attempt to reduce the Council's carbon emissions
- **Digital Derbyshire** – since its launch in 2014, Digital Derbyshire has made better, faster broadband available to more than 102,000 Derbyshire homes and businesses. Of these, more than 97,000 can now get download speeds in excess of 24Mbps - which UK Government classifies as 'superfast'
- **Streetlighting** – over the last 12 months the LED Invest to Save project has saved 4.6million kWh of electricity and 2,000 tonnes of CO2 emissions. This equates to £690,000 at today's energy prices. Since the project started, we have reduced the energy consumption by 13.3million kWh and 6,000 tonnes of CO2 emissions which equates to a £2 million saving

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Section One: Council Priorities

The Department will support all five of the Council Plan Outcomes through the delivery of services to the residents, businesses and visitors to Derbyshire, and will contribute principally to the following Council Plan Priorities:

Value for money

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
Achieved budget savings of £46.8m	Angela Glithero	March 2019	March 2022	<ul style="list-style-type: none"> Deliver £1.576m savings target by March 2021 	✓
Strengthened partnership working, for instance, working with Partners to agree the creation of a Strategic Alliance for the region to drive sustainable growth	All Divisions	May 2017	Ongoing	<ul style="list-style-type: none"> Strategic Alliance established 	✓
Reviewed and transformed key services to ensure a mix of in-house and commissioned provision	All Divisions				
- Highways review	Geoff Pickford	April 2018	March 2021	<ul style="list-style-type: none"> Delivered demonstrable efficiencies, increased levels of income, together with increased customer satisfaction 	✓
- Countryside services review	Claire Brailsford	October 2018	July 2020	<ul style="list-style-type: none"> Alternative, suitable service delivery mechanisms for the Service have been assessed and are being implemented to ensure the future sustainable provision 	✓
- County Transport	Angela Glithero	April 2019	March 2021	<ul style="list-style-type: none"> Delivered demonstrable efficiencies and increased customer satisfaction 	

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
Introduced app based technology to ensure more agile and flexible working	Angela Glithero		March 2021	<ul style="list-style-type: none"> Proportion of transactional activities being delivered through apps is growing by at least 5% per annum 	✓
Improved employee well-being through a new strategy that also increases productivity and reduces absence	All Divisions	March 2019	April 2020	<ul style="list-style-type: none"> Reduced the average number of days lost to sickness absence 	✓
Actively pursue a programme of income generation in relevant services.	All Divisions	Ongoing	Ongoing	<ul style="list-style-type: none"> Increase income year on year 	

Key performance measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
Achieved Departmental budget savings in 2019-20 and 2020-21	£4.457m	£2.085m	£737,000	£1.576m
The average number of days lost to sickness absence	10.79 days	11.02 days	9.09 days	Monitor
Spend on Agency Staff	£73,002	£147,772	£57,329	Monitor

A Prosperous and green Derbyshire

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
Develop and deliver a Derbyshire Good Growth Strategy to ensure sustainable economic prosperity and reduction in harmful emissions	Joe Battye	May 2019	Ongoing	<ul style="list-style-type: none"> • LEVI strategy approved and implemented • Other plans identified to mitigate against threats to the environment • Improved Public Transport offer • Key Cycle Network implemented 	
Assisted small and medium sized enterprises (SMEs) to grow and be more productive	Head of Economic Development	Ongoing	Ongoing	<ul style="list-style-type: none"> • New businesses started and existing business supported 	✓
Support low carbon businesses to establish and encourage green energy entrepreneurs to develop renewable or zero carbon energy production	Joe Battye		Ongoing	<ul style="list-style-type: none"> • New businesses started that support low carbon or are developing renewable energy production • Business support grant implemented 	
Worked to maximise growth opportunities arising from HS2 and to mitigate impact	Joe Battye	May 2017	2037	<ul style="list-style-type: none"> • The economic benefits from the development of HS2 are maximised and the negative impacts on Derbyshire are mitigated 	✓
Delivered the new “Invest in Derbyshire” programme in line with agreed timescales	Joe Battye/ Head of Economic Development	June 2018	March 2021	<ul style="list-style-type: none"> • Derbyshire is promoted as a prosperous County for business investment 	✓

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
Increased the fibre enabled broadband coverage across Derbyshire for homes and businesses	Joe Battye	April 2014	December 2021	<ul style="list-style-type: none"> Derbyshire businesses and residents have ready access to fibre enabled broadband across most of the County 	✓
Delivered the Employment and Skills Strategy Action Plan in line with programmed timescales including improved co-ordination of Council activity	Joe Battye / Andrew Marsh	April 2019	March 2023	<ul style="list-style-type: none"> More co-ordinated and comprehensive approach to effectively tackle the labour market, local employer and training provider issues 	✓
Assisted in the successful implementation of a new manufacturing zone in North Derbyshire	Joe Battye	March 2019	March 2021	<ul style="list-style-type: none"> New manufacturing zone 	✓
Completed the clean-up of polluted land at the former Coalite works in Bolsover and further developed Markham Vale	Joe Battye	Markham 2006 Coalite 2017	2023 2030	<ul style="list-style-type: none"> Business opportunities for growth in Derbyshire are maximised 	✓
Continue to refine and implement a comprehensive regeneration programme including Trent Valley development and the Market Town Strategy	Joe Battye	Trent Valley Market Town	Ongoing Ongoing	<ul style="list-style-type: none"> Business opportunities for growth in Derbyshire are maximised 	
Supported growth in the visitor economy by improving access to a range of accommodation and quality attractions	Head of Economic Development	Ongoing	Ongoing	<ul style="list-style-type: none"> An increase in the range of visitor accommodation available 	✓
Develop and implement a programme to support the Festival of Derbyshire	Joe Battye	April 2019	September 2021	<ul style="list-style-type: none"> Festival programme implemented 	

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
				attracting more national and international visitors	
Adopt a new management plan for the Derwent Valley Mills World Heritage Site	Joe Battye	Ongoing	April 2020	<ul style="list-style-type: none"> New Management Plan agreed and implemented 	
Support regional partnership working to secure economic growth through national and international development, e.g. with D2N2 LEP, Midlands Engine, Midlands Connect and renewable energy with the Midlands Energy Hub	Joe Battye		Ongoing	<ul style="list-style-type: none"> Funds secured from external infrastructure funding sources Overseas opportunities for trade and investment identified 	
Fundamentally assess all public and specialist transport provision in the County to ensure communities and individuals needs are met	Joe Battye	September 2019	December 2020	<ul style="list-style-type: none"> Bus Strategy developed 	
Completed the development and started the implementation of a countywide Infrastructure Plan to support good growth	Joe Battye	September 2019	June 2020	<ul style="list-style-type: none"> Infrastructure and regeneration priorities agreed countywide to attract external funding 	✓
Complete the reviews and finalisation of the Waste Local Plan and Minerals Local Plan	Joe Battye	April 2017	December 2021	<ul style="list-style-type: none"> Local Plans adopted 	
Invested in well maintained roads and highway infrastructure	Geoff Pickford	Ongoing	Ongoing	<ul style="list-style-type: none"> The Highways infrastructure provides a safe and reliable network with increased customer satisfaction 	✓
Deliver the implementation of the Future Highways Model, including the introduction of the new commissioning framework, developing	Geoff Pickford	January 2019	March 2021	<ul style="list-style-type: none"> Improvements in the delivery of Highway related services 	

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
improvement plans for priority service areas and identifying commercialisation opportunities					
Maintain and manage the road network, including more than 5,500km of roads and pavements, 1,800 bridges and estimated 930km of roadside retaining walls, making best use of resources and aiming to reduce burden on revenue budgets	Geoff Pickford	Ongoing	Ongoing	<ul style="list-style-type: none"> Highways infrastructure provides a safe and reliable network with defects repaired in a timely manner 	
Deliver, promote and support an asset management/lifecycle planning approach to maintenance of the highway infrastructure	Geoff Pickford	Ongoing	Ongoing	<ul style="list-style-type: none"> Programme of future highways schemes developed on asset management principles 	
Identify appropriate schemes, projects and programmes of work, and develop and submit bids to appropriate funding opportunities	Geoff Pickford	Ongoing	Ongoing	<ul style="list-style-type: none"> Opportunities to maximise funding for highways schemes are realised 	
Reduce the number of people killed or seriously injured on Derbyshire roads	Geoff Pickford	Ongoing	Ongoing	<ul style="list-style-type: none"> Reduction in the number of people that have been killed or seriously injured on Derbyshire's Highway Network 	
Worked to deliver our target of net zero greenhouse gas emissions from Council owned buildings and operations by 2032 through the implementation of activities set out in our Carbon reduction Plan	Claire Brailsford	November 2019	March 2021 and ongoing to deliverable deadline of 2032	<ul style="list-style-type: none"> Percentage reduction in greenhouse gas emissions from Council land and operations from 2010 baseline Implementation plans are in place, costed and resourced by March 2021 	✓

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
				<ul style="list-style-type: none"> Key projects to reduce emissions are being progressed 	
Worked with partners and communities in Derbyshire to deliver the Derbyshire Environment and Climate Change Framework, working towards net zero emissions in Derbyshire by 2050	Claire Brailsford	November 2019	March 2021 and ongoing to deliverable deadline of 2050	<ul style="list-style-type: none"> Reduction in tonnes of CO2 emissions in Derbyshire Implementation plans are in place, costed and resourced The Energy Strategy, Good Growth Strategy and Natural Capital Strategy have been approved by March 2021 Key projects to reduce emissions are being progressed 	✓

Key performance measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
• No. of businesses supported to export	n/a	n/a	20	30
• No. of Inward Investment enquiries serviced	53	27	40	60
• Number of start-up businesses supported	n/a	n/a	35	Monitor
• Number of enterprises receiving Information, Diagnostic and Brokerage (IDB)	14	12	24	Monitor
• Amount of external funding secured in last 12 months	£80m	£52.6m	£9,601,992	Monitor
• Number of apprenticeships offered by department	13	15	30	Monitor

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
• Number of apprenticeships recruited to by department	10	12	23	Monitor
• Number of apprenticeships completed by department	0	1	6	Monitor
• No of jobs created at Markham Vale	1,628	2,236	2,900	3,400
• Percentage of total 200 acres development land occupied at Markham Vale	57.8%	62.8%	77.9%	82.0%
• External funding secured Derwent Valley Mills	544,944	371,035	53,060	55,000
• Number of visitors to Derwent Valley Mill Sites	571,440	621,273	514,574 as at Sep 2019	545,000
• Secondary spend (economic impact) of World Heritage Site based on visitor numbers	£14,039,708	£15,264,076	£12,642,565 as at Sept 2019	£13,390,105
• Total number of fibre enabled premises (Phase 2)	11,578	15,940	18,064 as at Sept 2019	tbc
• Total number of Superfast (above 24Mbps) enabled premises (Phase 2)	11,100	15,391	17,465	tbc
• Total take up of fibre broadband (Phase 2)	3,023	5,947	7,339	tbc
• Percentage take-up of fibre broadband (Phase 2)	17%	29%	32%	
• Percentage of road defects repaired within target	66%	71.5%	89.2% as at Dec 2019	90%
• Percentage of principal roads where maintenance should be considered (*revised methodology introduced 2019-20)	2%	2%	13%*	Monitor
• Percentage of non-principal roads where maintenance should be considered (*revised methodology introduced 2019-20)	4%	4%	23%*	Monitor
• Number of people killed and seriously injured on Derbyshire's roads	298	330	172 as at June 2019	Monitor
• Number of low carbon vehicle charging points	n/a	n/a	44	tbc
• Percentage of Strategy and Growth Panel active projects on track	71.4% as at Dec 17	92.3% as at Dec 18	94.4% as at Sept 2019	90%

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
<ul style="list-style-type: none"> Percentage infrastructure delivery active projects on track where DCC is promoter 	88.9% as at Dec 17	85.7% as at Dec 18	90.9% as at Sept 2019	100%
<ul style="list-style-type: none"> Percentage reduction in greenhouse gas emissions from Council owned land and operations from 2010 baseline 	33.9%	48.1%	50% target	52%

Empowered and self-sufficient communities

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
Helped people furthest from the labour market into sustainable employment	Andy Marsh	To be confirmed	To be confirmed	More vulnerable people in meaningful employment	✓

High performing council services

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
Continued to maintain high levels of customer satisfaction in the Council's Highway and Transport Services	Geoff Pickford	April 2008	Ongoing	<ul style="list-style-type: none"> Maintained and improved customer satisfaction with Highways related services 	✓
		January 2020	Ongoing	<ul style="list-style-type: none"> Pioneered new methods of obtaining 	

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
				customer feedback	

Key performance measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
• Increased customer satisfaction with Highways and Transportation Services	57%	55%	55%	Monitor
• Increased the number of compliments about Council services	330	209	124	Monitor
• Monitored customer complaints	124	116	50	Monitor

Section Two: Departmental Priorities

In addition to the Council Plan priorities, the following Departmental priority has been identified:

Maintaining a safe and sustainable environment

Actions	Lead	Start	Complete	Success Measures
<ul style="list-style-type: none"> Continue to work in partnership with Derby City Council on the multi-million pound, long term joint waste project to manage Derby and Derbyshire's Local Authority Collected Municipal Waste in a more sustainable way, reducing the amount of waste sent to landfill and the amount of CO2 generated 	Claire Brailsford		Ongoing	Reduction in the amount of waste sent to landfill Increase in the amount of waste recycled and composted. Increased customer satisfaction
<ul style="list-style-type: none"> Complete the provision of the waste treatment centre to divert waste from landfill, mitigate the Council's exposure to the costs of escalating landfill tax and to help reduce environmental impacts 	Claire Brailsford		Ongoing	Fully commissioned Waste Treatment Centre at Sinfin
<ul style="list-style-type: none"> Develop through our close partnerships with district and borough councils solutions that minimise waste, particularly food waste and single-use plastics, and increase recycling 	Claire Brailsford		Ongoing	Increase in the amount of waste recycled and composted
<ul style="list-style-type: none"> Continue to develop and increase our understanding of flood risk to Derbyshire, the impacts of climate change and to work collaboratively with all agencies and councils to ensure a co-ordinated response to flood risk 	Claire Brailsford		Ongoing	Opportunities for joint working with flooding agencies are identified and developed. Increased customer satisfaction with flood related services
<ul style="list-style-type: none"> Continue to investigate reports and occurrences of internal flooding to businesses and residential properties 	Claire Brailsford		Ongoing	Increased customer satisfaction with flooding services responses
<ul style="list-style-type: none"> Consent to works on ordinary watercourses, minor rivers, streams, brooks, ditches and culverted/piped watercourse/land drainage 	Claire Brailsford		Ongoing	Consents responses successfully completed

Actions	Lead	Start	Complete	Success Measures
network across Derbyshire				
<ul style="list-style-type: none"> Continue to implement the objectives in the Derbyshire Local Flood Risk Management Strategy, including a full review of the Strategy in 2020 	Claire Brailsford		Ongoing	Strategy objectives continue to be delivered
<ul style="list-style-type: none"> Work with partners, including both Local Access Forums, towards an integrated, well managed and inclusive Rights of Way and access network, through the implementation of the Rights of Way Improvement Plan 	Geoff Pickford/Joe Battye		Ongoing	Opportunities for joint working continue to be explored to develop and maintain more sustainable travel routes
<ul style="list-style-type: none"> Implement the recommendations of the Countryside Service Review 	Claire Brailsford		December 2020	An alternative suitable service delivery model has been implemented
<ul style="list-style-type: none"> Work with borough and district councils, utilities and property developers to champion eco-homes fit for the future and to help communities and businesses become less dependent on energy 	Joe Battye		Ongoing	Increase in the number of eco-homes built Local Plans include policies that require the development of eco-homes
<ul style="list-style-type: none"> Seek Government support to ensure the level of investment and national planning regulations support the Council's ambition to reduce greenhouse gas emissions in Derbyshire 	Joe Battye		Ongoing	Reduction in the CO2 emissions for Derbyshire
<ul style="list-style-type: none"> Work with partners to plan and prepare to ensure the Council and Local Resilience Forum's ability to respond to any potential changes as a result of the UK leaving the EU 	Geoff Pickford	August 2018	Ongoing	Suitable arrangements are in place to be able to respond to the consequences of the UK leaving the EU
<ul style="list-style-type: none"> Support and promote the development of low carbon travel for employee business travel through the use of technology and electric vehicle fleet 	Angela Glithero	June 2019	Ongoing	Reduction in grey fleet miles and carbon emissions
<ul style="list-style-type: none"> Introduce electric vehicles into the Council fleet and explore the opportunities for low carbon fuel for HGVs 	Angela Glithero	April 2020	Ongoing	Reduction in CO2 emissions from Council fleet vehicles

Actions	Lead	Start	Complete	Success Measures
<ul style="list-style-type: none"> Deliver the Elvaston Master Plan to ensure a sustainable future for the estate (Phase 1) 	Angela Glithero	December 2018	December 2020	In principle agreement to Master Plan Delivery Programme by Cabinet

Key performance measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
Percentage of household waste sent for reuse, recycling and composting	48.2%	48%	49%	50%
Percentage landfilled of total Municipal Waste collected	16%	17%	17%	17%
Percentage of flood enquiry responses provided within allocated timescales	73%	78%	78%	70%
Percentage of land drainage consents applications responded to within 8 weeks	100%	88%	71%	85%
Percentage of planning applications responded to by Flood Team within 21 days	78%	87%	42%	75%

Approved Controllable Budget

Service Area	Employee Related £'000	Premises Related £'000	Transport Related £'000	Supplies & Services £'000	Agency & Contracted Services £'000	Unallocated budgets £'000	Controllable Recharges £'000	Gross Budget £'000	Income £'000	Net Budget £'000
Departmental Management Team	584	0	8	5	0	0	2	599	0	599
Economy and Regeneration:										
Planning Services	1,238	0	10	54	0	0	6	1,308	(244)	1,064
Economic Regeneration	509	4	8	610	0	(591)	2	542	0	542
Markham Employment Growth Zone	(40)	173	4	133	37	0	39	346	(336)	10
Development Control	693	0	18	0	0	0	2	713	(738)	(25)
Strategic Transport	113	0	2	19	0	0	1	135	0	135
Derwent Valley Mills World Heritage Site	118	0	5	13	0	0	1	137	(27)	110
Conservation	471	1	10	14	0	(11)	(5)	480	(124)	356
Public Transport	944	12	50	247	20,758	(128)	(127)	21,756	(7,106)	14,650
Environment:										
Waste Management	431	157	20	652	45,167	0	12	46,439	(2,397)	44,042
Countryside Services	2,043	236	54	332	141	0	426	3,232	(933)	2,299
Flood Risk Management	271	1	3	112	0	59	1	447	0	447
Highways:										
Highway Network Planning	4,917	820	661	4,549	5,680	0	2,043	18,670	(2,311)	16,359
Highway Construction	(395)	(304)	(995)	83	4	0	1,364	(243)	0	(243)
Highways Strategy	350	2	(8)	66	8	0	33	451	(100)	351

Service Area	Employee Related £'000	Premises Related £'000	Transport Related £'000	Supplies & Services £'000	Agency & Contracted Services £'000	Unallocated budgets £'000	Controllable Recharges £'000	Gross Budget £'000	Income £'000	Net Budget £'000
Highway Design and Land Reclamation	(468)	0	33	87	0	0	11	(337)	(25)	(362)
Highway Road Safety	408	0	14	9	33	0	4	468	(377)	91
Emergency Planning	540	1	17	26	0	(57)	10	537	(268)	269
Resources and Improvement:										
Finance	406	0	1	2	0	17	1	427	0	427
Information Systems	175	0	0	0	0	0	0	175	0	175
Performance and Engagement	999	0	2	80	0	0	6	1,087	(580)	507
Business Services	1,701	13	10	218	8	(75)	(62)	1,813	(281)	1,532
Fleet Services	2,021	250	1,010	306	600	0	(3,616)	571	(1,447)	(876)
Unallocated Savings	0	0	0	11	0	(6,185)	0	(6,174)	0	(6,174)
TOTAL	18,029	1,366	937	7,628	72,436	(6,971)	154	93,579	(17,294)	76,285

Forward Plan of Procurement Projects – up to 31 March 2022

In line with the Council's Financial Regulations, the forward plan of procurement projects for the Department, set out below, details procurement projects above £25,000 which are planned to commence over the next 24 month period. Please note the table shows the estimated contract award date following completion of a procurement process. The projects identified will be the subject of a procurement process as per the procedures set out in the Council's financial regulations

Forward Plan of Procurements (above £25K less than £50K) due to commence prior to April 2022

Contract Title	Estimated Value £	Estimated Contract Start Date
Dam Brook, Breadsall Flood Alleviation Scheme (Design and Construction)	£30,000	01/08/2020
Agricultural and Management work on Countryside sites (3 year contract)	£50,000	31/03/2021
Chesterfield Canal weed cutting (3 year contract)	£30,000	31/03/2021
Chalara/Ash Dieback - short and medium term felling contracts	£50,000	01/10/2020
Provision of Specialist Hydraulic Platform Maintenance	£25,000	01/09/2020
Provision of Vehicle Chassis Pressure Washing/Cleaning	£25,000	01/09/2020
Provision of LOLER Tests and Maintenance Services	£25,000	01/09/2020
Provision of Vehicle Chassis Waxing/Preservative	£25,000	01/09/2020
Provision of Vehicle 240V Systems Testing & Repairs	£25,000	01/09/2020
Supply and Replacement of Hydraulic Hoses and Equipment	£50,000	01/09/2020
Provision of Specialist Waste Product Collection and Disposal Services	£35,000	01/10/2020
Provision of Specialist Vehicle Hydraulic Crane Maintenance Services	£50,000	01/06/2020
Professional Management Services System	£30,000	30/06/2020
Bio clean-up services	£50,000	01/05/2020
Ground Radar Surveys	£40,000	01/05/2020
Desilting Operation (Culverts)	£50,000	01/08/2020

Contract Title	Estimated Value £	Estimated Contract Start Date
Replacement Highways Structure Management System	£30,000	01/12/2020
Electronic Warning Signs Maintenance	£25,000	01/03/2020
Sheffield Road Bridge	£50,000	01/07/2020
Gorse	£50,000	01/05/2020
Supply of LED Belisha Beacons	£40,000	01/09/2020
Quality Management System ISO9001 2015	£50,000	01/10/2020
DEF Software Limited highway modules (ADDITION)	£50,000	01/06/2020
Fuel Access Control and Monitoring Sysrtem	£35,000	01/04/2020
Keysoft Solutions (TS09088)	£36,000	01/04/2020
County Transport Vehicle Diagnostic Equipment (TS15032)	£40,000	01/07/2020
Highways Structure Management System (AMX) ES7099	£29,200	01/01/2021
Department Translation Services (Q3221)	£25,000	01/05/2021
Supply and Printing of Bus Stop and Associated Signage (ETE7645)	£50,000	06/10/2022
Internet Hosting and Public transport Route Map Production	£50,000	31/01/2021
Bus Shelter Cleaning	£50,000	12/09/2021
Walking Together Mining Memorial	£35,000	01/03/2020
Replacement ICT in Emergency Centre	£25,000	01/10/2020
Provision of Workshop Equipment and Hand Tools Maintenance Services including Testing & Calibration	£40,000	12/11/2021
Servicing of Industrial Doors, Roller Shutters, Gates and Barriers	£50,000	31/12/2021
Buxton Town Travel Plan	£40,000	TBC
LEVI Strategy	£30,000	01/08/2020
Coring Rig	£45,000	01/07/2020
Matlock Town centre Flood Study	£30,000	01/06/2020
Eyam/Stoney Middleton Flood Investigation Study	£30,000	01/08/2020

Contract Title	Estimated Value £	Estimated Contract Start Date
Rolleston Flood Alleviation Scheme (NFM)	£35,000	01/09/2020
Delivery of Interactive & Informative Theatre Performances to Derbyshire Secondary Schools	£40,000	01/12/2020

Forward Plan of Procurements (above £50K less than OJEU threshold) due to commence prior to April 2022

Contract Title	Estimated Value £	Estimated Contract Start Date
Lower Hartshay Flood Alleviation Scheme (Design & Construction)	£108,000	01/05/2020
Skegby Trail re-surfacing	£60,000	01/09/2020
Skegby Trail Batley Lane crossing improvements	£70,000	01/09/2020
S10 Reservoir compliance work at Mapperley Reservoir	£80,000	31/03/2021
Scropton Flood Alleviation Scheme (Design and Construction)	£183,000	01/05/2021
Festival of Derbyshire Commission	£100,000	unknown
Markham Vale Greenways	£150,000	01/08/2020
Transport Delivery Management System	£100,000	31/03/2021
Carriage Shelter Repair Works	£150,000	01/10/2020
Disposal of Home Farm Site	£100,000	01/06/2020
Supply of Vehicle Electrical Components and Consumables	£60,000	01/08/2020
Supply of Hand Tools and Equipment	£150,000	01/10/2020
Supply of Vehicle Body Repair Consumables	£108,000	01/08/2020
Traffic Regulation Order Management & Consultation System	£90,000	01/09/2020
Depot Security	£75,000	01/10/2020
Road Ironworks installation systems	£100,000	01/05/2020
Geotechnical Works	£150,000	01/08/2020
Construction and/or Repairs of/to Masonry Walls	£150,000	01/08/2020

Contract Title	Estimated Value £	Estimated Contract Start Date
Agnes Meadow	£70,000	01/04/2020
Nottingham Road	£150,000	01/08/2020
Loscoe Culvert	£150,000	01/09/2020
Purchase, installation and back office software for Pay and Display Machines	£180,000	01/09/2020
Autodesk Subscriptions (incl. Autocad) TS10021.	£170,000	01/04/2020
Ticketing Analysis Software (TS11007)	£168,400	01/04/2020
Supply of illuminated traffic safety equipment for Street lighting (ETE7646)	£160,000	01/06/2020
Commercial Data Feed (TS16020)	£52,000	01/08/2020
Parkmap (TS09087)	£85,000	01/09/2020
Cast Iron Goods (CETE031)	£160,000	01/04/2021
Supply of Ice Cream (ETC7600)	£140,000	01/04/2021
Provision of Lubricants, Oils and Greases (CETE047)	£140,000	01/09/2021
Waste Education Theatre and Workshops Programme (ETE7651)	£120,000	18/10/2021
Supply of temporary road signs (ETE7633)	£70,000	01/03/2022
Supply and Fit of Vehicle Livery and Vinyls (Q3213)	£150,000	22/03/2022
Supply of a Hosted Video Traffic Data Collection Processing and Reporting Solution, Mobile Equipment and Associated Services (TS16042)	£70,000	09/06/2022
Large Scale Printers (ICT17043)	£100,000	05/07/2022
Collision Analysis System (ACCSMAP) (TS09207)	£59,982	01/09/2022
Provision of Vehicle Glass Replacement and Repair (Q3230)	£150,000	01/10/2022
Bus Stop and Bus Shelter Associated Works (ETE7643)	£100,000	26/10/2022
Laboratory Information Management System	£150,000	TBA
Roadside Information and Infrastructure Maintenance	£100,000	01/04/2021
Supply and Printing of Bus Stop and Associated Signage	£64,000	06/11/2021
The Story Mine Heritage Project	£55,000	01/07/2020

Contract Title	Estimated Value £	Estimated Contract Start Date
Supply of Vehicle Livery and Vinyls	£150,000	21/03/2022
Hire of Specialist Workwear to include Laundering and Repairs	£100,000	24/06/2022
Supply of Workshop Consumables	£160,000	31/07/2022
Supply of Vehicle Replacement Parts - Volkswagon Group (VW, AUDI, SKODA, SEAT)	£150,000	31/08/2022
Supply and Fitment of Vehicle Safety Glass and Repair Services	£150,000	30/09/2022
Key Cycle Network Preparatory Works - ADDITION	£100,000	01/08/2020
Laboratory IT Software solution	£80,000	01/08/2020
Replacement balances for lab	£55,000	01/10/2020

Forward Plan of Procurements (above OJEU threshold) due to commence prior to April 2022

Contract Title	Estimated Value £	Estimated Contract Start Date
Renishaw Flood Alleviation Scheme Detailed (Design & Construction)	£306,000	01/05/2021
Derwent Grove Flood Alleviation Scheme (Design & Construction)	£222,000	01/05/2021
Waste Management System	£200,000	01/10/2020
HS2 Consultancy Support/Studies	£250,000	Unknown
Supply of Local Bus Transport	£28,000,000	01/01/2021
A61 Growth Corridor - Avenue Southern Access and Link Road Construction	£4,600,000	01/08/2020
Mill Lane A61 Roundabout	£4,000,000	01/08/2020
Ashbourne Airfield - Construction & Utility Works	£6,500,000	30/04/2020
Markham Vale Infrastructure - various	£300,000	01/09/2020
Hogshaw/Fairfield Roundabout, Buxton - Golf club earthworks contract	£250,000	01/06/2020
Markham Vale Plot Development - various	£600,000	01/05/2020
MVEC Refurbishment Phases	£200,000	01/10/2020

Contract Title	Estimated Value £	Estimated Contract Start Date
A61 Growth Corridor - Chesterfield Station Masterplan Hollis Lane Link Road Construction	£4,500,000	01/04/2020
A61 Growth Corridor - Chesterfield Station Masterplan Lordsmill Roundabout Construction	£1,000,000	01/09/2020
Supply of Local Bus Transport	£28,000,000	01/04/2021
Markham Vale Landscape Phase 4	£300,000	01/09/2020
Buxton Fairfield Roundabout	£5,000,000	01/07/2020
Woodville to Swadlincote Regeneration Route - Construction	£10,500,000	01/05/2020
Supply of Fleet Vehicles, Trailers and Plant	£17,000,000	2019 - 2022
Supply of Vehicle Replacement Parts - including Landrover, Toyota, Motorcycle Parts, DAF, VW Commercials, Vauxhall.	£900,000	01/07/2020
Provision of Vehicle Accident Specialist Body Repairs	£750,000	01/12/2020
Provision of Vehicle Specialist Repairs	£750,000	01/12/2020
Frame Yard Redevelopment as Secure Staff Compound (includes £10k design fees)	£350,000	01/10/2020
Bolsover Footbridge	£275,000	01/08/2020
Supply, Installation and Maintenance of Permanent Traffic Signals and Associated Equipment	£2,000,000	01/01/2020
Drainage Surveys	£1,000,000	01/05/2020
Micro Surfacing	£4,000,000	01/05/2020
Insitu – Recycling	£4,000,000	01/05/2020
Retexturing	£400,000	01/05/2020
Supply of Street Lighting Columns & Ancillaries	£880,000	01/05/2020
P08074 Swallow House Lane Bearing Replacements	£600,000	01/09/2020
Safer Roads Fund A5004 (Speed Management Review/Potential Average Speed Camera System)	£1,150,000	01/06/2021
Safer Roads Fund A5012 (Speed Management Review/Potential Average Speed Camera System)	£1,250,000	01/06/2021
Automatic Traffic Counting	£200,000	01/03/2020
Civil Parking Enforcement Contract	£6,000,000	Unknown
Supply of Traffic Sign Plates (ETE7561)	£260,000	01/03/2020

Contract Title	Estimated Value £	Estimated Contract Start Date
Wharf Lane Footbridge	£200,000	01/06/2020
C43017 Harrington Bridge Refurbishment	£700,000	01/11/2020
CTP 727 Installation of LED	£10,000,000	01/08/2020
CTP 759 Supply of LED Luminaires	£4,400,000	01/04/2021
Installation of LED Luminaires (CTP727)	£24,000,000	01/06/2020
Hire of employer operated plant and vehicles (ETC7578)	£2,000,000	01/01/2021
Hire of owner operated plant and vehicles (ETC7579)	£3,000,000	01/01/2021
Hire of front end shovel loaders with operators (ETC7580)-	£4,000,000	01/01/2021
Asset Management Solution for Environmental Services (TS11025)	£1,329,774	01/01/2021
Vehicle Hire	£400,000	18/01/2021
Personal Protective Equipment	£540,000	05/03/2021
Provision of Surface Dressing Binder (CETE015)	£2,400,000	01/04/2021
Surfacing & ancillary works for Highways (ETC7583)	£1,500,000	01/04/2021
Highways drainage cleansing (ETC7630)	£1,400,000	01/04/2021
Supply of ready mixed concrete (ETC7594)	£3,000,000	01/04/2021
Supply of Specialist Plant for Surface Dressing (CETE0014)	£1,322,157	01/05/2021
Fuel cards	£4,000,000	01/07/2021
Provision of Services for the Collection and Disposal of Landfill Leachate (ETC7595)	£800,000	18/09/2021
Supply of cables, cut-outs and sundries for Street Lighting works (ETC7611)	£340,000	01/11/2021
Supply of photo-electric control units for Street Lighting (ETC7615)	£360,000	01/12/2021
Supply of Rapid Set Mortars (ETC7616)	£210,000	01/12/2021
Supply of Concrete Kerbs and Flags (ETC7617)	£200,000	01/12/2021
Road marking and studding works (ETE7637)	£4,500,000	01/12/2021
Supply of dry road stone materials (ETC7612)	£3,000,000	01/01/2022
Supply of coated road stone materials (ETC7613)	£2,000,000	01/01/2022

Contract Title	Estimated Value £	Estimated Contract Start Date
Supply of lamps for Street Lighting (ETC7620)	£1,000,000	01/01/2022
Safety fencing maintenance and repair works (ETC7624)	£400,000	01/01/2022
Supply of Chippings for Surface Dressing (CETE016)	£2,100,000	01/05/2022
Provision of Traffic Management (CETE009)	£2,400,000	01/03/2023
Supply of Smart Travel Cards (CETE007)	£600,000	01/03/2023
Transport Services DPS (Local Bus, School Bus, SEND & Adult Care)	£100,000,000	01/04/2021
Supply of Local Bus Transport	£28,000,000	01/06/2021
Provision of Bus Shelter lighting and electrical works	£200,000	01/05/2020
Provision for the Supply and Installation of Bus Shelters	£220,000	01/06/2022
Provision of Bus Stop and Associated Works	£244,000	27/10/2021
Recycling Plant and Equipment to include Screens, Crushers, Weighbridge Services	£2,000,000	01/04/2020
Highways Drainage Cleaning Services (Gullies)	£1,800,000	01/10/2021
Ashbourne Bypass Preliminary design and Environmental Statement	£250,000	01/07/2020
Chesterfield-Staveley Regeneration Route Preliminary Design and Environmental Statement	£250,000	15/04/2020
South Derby Growth Zone Detail Design	£250,000	01/05/2020
Local Transport Plan technical support	£250,000	01/05/2020
Town Deal and Future High Streets scheme design	£250,000	01/05/2020
Supply & Fitment of Vehicle and Motorcycle Tyres	£240,000	10/10/2020
Supply of Vehicle Replacement Parts - Ford Lots 1, 2, 3	£385,000	31/01/2022
Supply of Vehicle Replacement Parts - Peugeot	£400,000	31/01/2022
Supply of Vehicle Replacement Parts - BMW	£400,000	11/02/2022
Supply of Vehicle Replacement Parts - Mercedes OEM	£400,000	30/02/2023
Leachate contract	£220,000	19/08/2021
Replacement flare programme and closed landfill infrastructure replacement works	£250,000	01/08/2021
Professional services contract	£3,000,000	01/08/2020

Contract Title	Estimated Value £	Estimated Contract Start Date
Advance works for Hollis Lane scheme- relocation of business	£1,500,000	01/07/2020
Transport Services DPS (Local Bus, School Bus, SEND & Adult Care)	£100,000,000	01/04/2021
Additional Derbyshire Connect Shopping Bus and Access to Health Transport retender	£480,000	01/04/2021
Elvaston Castle Manned Security	£400,000	01/07/2020
Elvaston Master Plan Delivery Programme	£15,000,000	01/10/2021
Elvaston Castle Defective Structure Repairs	£500,000	01/01/2021
Elvaston Castle Capital Enabling Works including Updated Conservation Plan	£270,000	01/07/2020
DHART Project – UTMC and Control Room Upgrade	£3,450,000	01/10/2020
DHART Project – Traffic Signals		01/11/2020
DHART Project – Variable Message Signs and Parking Guidance		01/12/2020
DHART Project – CCTV		01/12/2020

Vehicle Replacement Programme 2020-2021

User	Quantity to Replace	Average Age Profile of Existing Vehicles (Years)	Replacement Vehicle Type	New Vehicle Optimum Life (Years)	Estimated Capital Cost per Vehicle (£)	Estimated Capital Cost x No. of Vehicles (£)	Estimated Charge per Year per Vehicle (£)	Estimated Annual Budget Cost = Charge x Number of Units (£)
Commissioning, Communities and Policy	6	10	Van - 2.0t	6	17,000	102,000	4,250	25,500
Commissioning, Communities and Policy	6	12	4x4 Utility	7	35,000	210,000	6,000	36,000
Commissioning, Communities and Policy	4	10	3.5t Tipper	6	32,000	128,000	8,250	33,000
Commissioning, Communities and Policy	1	10	HGV 7.5t	7	80,000	80,000	18,400	18,400
Commissioning, Communities and Policy	4	10	Van 3.4t	6	24,000	96,000	4,700	18,800
Commissioning, Communities and Policy	1	8	Luton Van 3.5t	6	28,000	28,000	5,000	5,000
Commissioning, Communities and Policy	1	10	HGV 7.0t	7	70,000	70,000	17,500	17,500
Economy, Transport and Environment	9	12	Van - 2.0t	6	18,000	162,000	4,250	38,250
Economy, Transport and Environment	2	10	3.5t Van	6	30,000	60,000	8,250	16,500
Economy, Transport and Environment	2	10	3.0t Van	6	22,000	44,000	4,500	9,000
Economy, Transport and Environment	4	12	HGV 18t Crane/Tipper	10	116,000	464,000	21,500	86,000

User	Quantity to Replace	Average Age Profile of Existing Vehicles (Years)	Replacement Vehicle Type	New Vehicle Optimum Life (Years)	Estimated Capital Cost per Vehicle (£)	Estimated Capital Cost x No. of Vehicles (£)	Estimated Charge per Year per Vehicle (£)	Estimated Annual Budget Cost = Charge x Number of Units (£)
Economy, Transport and Environment	2	13	HGV 18t Tipper	10	82,000	164,000	18,400	36,800
Economy, Transport and Environment	7	10	HGV 18t Gritter and Snow Plough	10	110,000	770,000	23,500	164,500
Economy, Transport and Environment	6	10	Trailer	7	4,000	24,000	2,000	12,000
Economy, Transport and Environment	1	12	4x4 Utility	7	40,000	40,000	6,250	6,250
Economy, Transport and Environment	2	10	4x4 Utility	7	35,000	70,000	6,000	12,000
Total	58				Total	2,512,000		535,500

Waste Management Service Capital Programme 2020-2021

Capital Scheme	Description	Estimated Total Cost of Project (£)
Closed Landfill Flare Replacement Programme	£180,000 to deliver a new flare replacement programme. The strategy will replace all flares over a 3 year programme (£60,000 per annum) commencing with the older flares first. Year 2 of the 3 year programme	£60,000

Derelict Land Reclamation and Regeneration Capital Programme 2020-2021

Scheme Location	Description	Total Scheme Cost (£)	2020/21 Works Estimate £	Design Fees	Total	Funded from Rec Cap 325K	Funding
North Area							
Markham Vale		41,350,000					
	See MEGZ capital programme						Cap receipts & other grants
	Markham Link Bridge demolition		35,000	0	35,000	35,000	Rec Capital
Chesterfield Canal	Additional Side Weir	50,000	45,000	5,000	50,000	50,000	Rec Capital
Grassmoor Aftercare	Fencing to treatment lagoon	25,000	25,000	0	25,000	25,000	Rec Capital
Others							
Mineshaft Capping		26,549	20,549	6,000	26,549	25,000	HPBC and DDDC (1,549k) and Rec Capital (25k)
SUB TOTAL			125,549	11,000	136,549	135,000	
	Others / Private				116,549		HLF, Landfill or similar grants (100k), Sponsorship (15k)
	DCC Capital Receipt				2,385,000		Land sales
	TOTAL NET				2,501,549		

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Adult Social Care and Health

Service Plan 2017-2021

2020/21 update

Helen Jones
Executive Director – Adult Social Care and Health
FINAL.

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Council Ambition

We will strive to be:

An enterprising and value for money council, enabling people and communities to thrive.

Values

The way we work – we will:

- **Be open, honest and accountable** ensuring the decisions that we make are fair and transparent
- **Spend money wisely** making the best use of the resources that we have
- **Work with partners and local communities** because we know that we cannot tackle complex problems on our own
- **Listen to local people** ensuring we are responsive and take account of the things that matter most to them.

Council Outcomes

We want Derbyshire to have:

- **Resilient and thriving communities** which take responsibility for improving their areas and supporting each other
- **Happy, safe and healthy people** with solid networks of support, who feel in control of their personal circumstances and aspirations
- **A strong, diverse and adaptable economy** which makes the most of Derbyshire's rich assets and provides meaningful employment opportunities for local people
- **Great places to live, work and visit**, with outstanding schools, diverse cultural opportunities, transport connections that keep things moving and a healthy environment for all
- **High quality public services** that work together and alongside communities to deliver services that meet people's needs.

Council Priorities for 2020/21

Our Council priorities are:

- Value for money
- A prosperous Derbyshire
- Empowered and self-sufficient communities
- A focus on prevention and early intervention
- High performing council services

Departmental Overview

Departmental Structure

The **Adult Social Care and Health** department has two key components:

- **Adult Social Care consisting of:**
 - **Commissioning and Performance** is responsible for commissioning care services across all client groups, contracting and compliance, housing related support services, performance and efficiency, stakeholder engagement and complaints.
 - **Direct Care and Prevention and Personalisation** delivers in-house care and support services, including reablement, homecare, residential care and day opportunities, prevention and community social work responsibilities and safeguarding.
- **Public Health** works strategically using the latest available evidence to identify and evaluate the health needs of the Derbyshire population, monitor the health impact of projects, policies or initiatives; invests in preventative approaches, influences decisions to maximise population health benefits and commissions services to improve population health and wellbeing.

Departmental priorities

Adult Social Care and Health have the following areas of focus that deliver against Council Plan objectives:

- Review our care and support offer for adults to improve people's outcomes efficiency and value for money and people's outcomes;
- Better support people to live at home longer and maintain our performance in reducing delayed transfers of care;
- Commission a new approach to provide innovative technological solutions to support people with social care needs;
- Improve health outcomes through increasing the number of people taking part in smoking cessation and weight management programmes.

Additionally, during 2020-21 the department will begin to implement the 'Better Lives' transformation programme, which will deliver on our ambition to provide both improved outcomes for people and make more effective use of resources within the current framework in which the department operates. Specific attention is being given to improving greater consistency in decision making, mobilising and developing people's strengths and stream-lining processes and removing perceived barriers that can prevent ideal outcomes for clients being achieved.

Further to the above, the following workforce development priorities have been identified:

- Ongoing marketing and events activity to raise the profile of careers within Direct Care and the wider care sector;
- Commencement of recruitment campaign to increase the number of Occupational Therapists working across the department in Derbyshire;
- Developing staff through the apprenticeship scheme who would like to become a social worker;
- Increasing the number of people with a disability into meaningful paid employment through the delivery of the Derbyshire Disability Employment Strategy and continue to engage with clients and carers regarding this issue;
- Developing a range of apprenticeship and work experience opportunities within social care to support the Employment and Skills Strategy;
- Continuing refocusing Direct Care activity to provide short-term capacity and flexibility;
- Maintaining workforce capacity within our social work offer utilising the Better Care Fund (iBCF);
- Continued support for the recruitment, retention and development of staff in the private and independent sector;
- Strengthening leadership development across Adult Social Care and Health;

- Implement the Workplace Wellbeing Strategy to ensure all Adult Social Care and Health staff are well supported.

Achievements

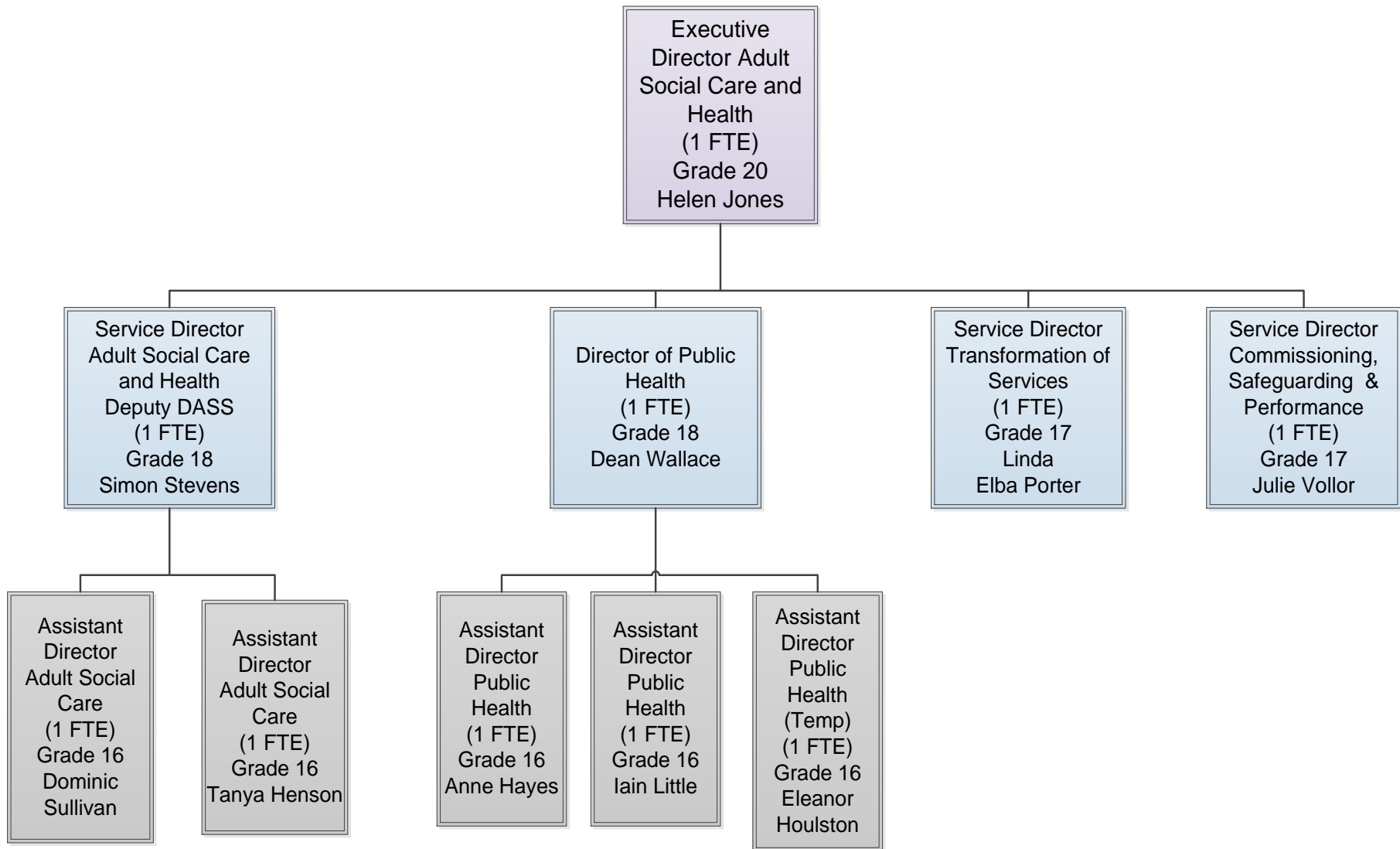
During 2019-20 the ASC & H Directorate achieved the following that supported the delivery of both the Council Plan and Department Service Plan priorities:

- Adult Social Care (ASC) has procured an external specialist partner to accelerate progress made to date on asset based/ enablement/ reablement approach – the programme is currently in the design phase, and will start in earnest, no later than April 2020. There are two pathways under development: Older People and All Age Disability that is being worked on together with colleagues in the Children’s and Families Department.
- In June 2019, following a period of consultation, Cabinet agreed to implement a transformation programme to improve life opportunities for people with learning disabilities. This includes a range of initiatives to promote greater participation in local community life, improve employment prospects, and refocus building based day services to ensure they are better able to support the needs of those with the most profound and multiple disabilities. Work to implement these changes has now commenced in High Peak and Amber Valley and will be rolled out across the County over the 6 months from February 2020.
- Our Welfare Rights Service supported residents to gain £20.8 million in benefits to which they were entitled.
- Time Swap, our community skill share scheme where people swap their time and talents to help each other in their communities, expanded across Derbyshire and now has 603 members, 95 member organisations, and has completed a total of 5,863 swaps/exchanges amounting to 15,048 hours of time.
- The Disability Employment Service helped 284 people with a variety of personal challenges to achieve their work goals.
- Our Safe Places Scheme for people with Learning Disabilities has continued to expand and now has 241 safe places registered and its associated ‘Keep Safe Card’ has been issued to 1,601 people.
- Over 2019, the Derbyshire 50+ Forum Network continued to help older people to help themselves to share information, take action on issues important to them, to connect and socialise. We supported 56 Open Forum events, attended by over 2,000 people.

- Adult Social Care has procured a new activity recording tool, to provide real-time information on domiciliary care activity, and to streamline the payment of invoices to the independent sector; the roll out is due to be completed in 2020.
- The Adult Care Assessment and Triage Team, who are the first point of contact for referrals into Adult Social Care from people who may have care needs, managed 11,541 referrals over the 2019 calendar year (40% up on 2018), and 61% were resolved at this first point of contact.
- Older People's Housing and Accommodation Strategy 2019 -2035 developed, approved and published. The strategy is now being implemented.
- Reviewed, procured and implemented an Independent Living Service for Older People and also one for People with Mental Ill Health.
- Reviewed and re-procured the external day services framework, including market development to encourage new providers.
- Specialist Accommodation and Support Strategy 2019-2024 developed, approved and published. The strategy is now being implemented.
- Joint Dementia Strategy 2020-2025 developed, published and being implemented.
- Development of new service specification and procurement of a Derbyshire Autism Advice and Information Service.
- Extension of the 'Living Well with Autism Service' to be available to those aged 16 years and upwards (previously 18 years and upwards).
- Agreement to purchase 'Brain in Hand' (Assistive Technology) app licences and to carry out a pilot with 30 adults and young people in transition.
- Successful launch, implementation and system wide take up of the Home from Hospital Service.
- Re-procurement of care provision for Waltham House Extra Care with a community focus.
- Implementation of the new eligibility criteria for the Derbyshire Community Alarm and Telecare Service, which came into effect on 1 November 2019.
- We have built a new Residential and Community Care Centre in Belper, which will replace Ada Bellfield House and is due to open in spring/summer 2020.
- We are building a new residential resource in Cotmanhay, Erewash to replace Hazelwood Home for Older People.

- Redesigned our training delivery service to ensure both in-house and contracted voluntary and independent staff have access to appropriate resources to enable safer and more productive care delivery whilst enhancing the wellbeing of the clients, family and friends.
- Redesigned our Delayed Transfer of Care from Hospital to Home, to enable staff to more effectively relocate patients from acute settings to reduce pressure on health partners, whilst aiming to increase the comfort, care and support of people with the highest need.
- 44,056 people attended the Sexual Health Service, the Sexual Health Promotion Team engaged with 9,822 individuals, the Your Sexual Health Matters website had 296,323 unique page views and 9,208 sexually transmitted infection tests were carried out.
- 35,657 people were offered an NHS Health Check, 20,139 Health Checks were completed and 1,347 people were identified as being at increased risk of heart and circulatory problems and received appropriate support, treatment and advice.
- There were 6,610 new birth reviews, 5,417 mothers received an antenatal appointment and 7,526 toddlers had a 2-2.5 year review provided by the Public Health Nursing Service.
- Public Health staff operated 116 School Crossing Patrol Sites.
- The Adult Substance Misuse Treatment Service supported 3,631 clients, 535,219 syringes were issued by the pharmacy needle and syringe programme and 872 Hepatitis C tests were carried out.
- 27 champion midwives at Chesterfield Royal Hospital were trained to talk about contraception choices, focusing on women with vulnerabilities - aiming to prevent unplanned pregnancies and/or repeat terminations.
- Derbyshire Sexual Health digital offer: sexually transmitted disease testing online (chlamydia, gonorrhoea, syphilis, HIV), a growth of 77% in completed tests compared to 2018. A total of 8,209 tests were completed and returned.
- 4,902 people have used the Live Life Better Derbyshire MOT Tool to identify how they can improve their health and wellbeing, 695 people have been helped to stop smoking and 718 people have been supported to increase their levels of physical activity.
- Joint breastfeeding policy and training package developed for Derbyshire Community Health Services NHS – Foundation Trust and Derbyshire County Council Children’s Centres and we increased the number of local businesses achieving the ‘Breastfeeding Welcome Here Award’ across the county.
- The successful transfer of staff into the Public Health Department to deliver the National Child Measurement Programme (NCMP) across primary schools in Derbyshire.

Fig. 1 Adult Social Care and Health Directorate Senior Management Team Structure



Directorate Policy Context

Adult Social Care and Health supports the delivery of a wide range of national policies, statutory functions and legislative requirements that promote population health and wellbeing, but also works with some of the most vulnerable adults within Derbyshire. The ASC department commissions a range of services which are outcome focused, including accommodation and support for older people and people with learning disabilities, information and support for carers, people with mental ill health, who are autistic or live with autism, sensory impairment, dementia or physical disabilities. Public Health has responsibility for commissioning statutory services in relation to NHS Health Checks, sexual health and the National Child Measurement Programme. Within this programme of work the Directorate is seeking to develop strategic commissioning approaches which are aligned with Health activity wherever possible and also to utilise new or innovative models of delivery.

Adult Social Care and Health is also committed to ensuring parity of esteem between physical and mental health services, with a clear focus on ensuring positive outcomes for people with mental ill health.

Adult Social Care provides social work, personal care, safeguarding and support services to adults who are vulnerable or at risk due to age, illness, poverty or being disabled. It also provides information, advice and guidance to family carers. The department works within the legal framework of the Care Act 2014. Social care staff work in close partnership with other colleagues in health, district and borough councils and the voluntary and independent sector, to provide personalised services to promote people's wellbeing, independence and dignity, and to enable them to have greater control over their lives.

Public Health acts as the system leader for health and wellbeing, discharging the local authority's duties in regard to health improvement and reducing health inequalities as outlined in the Health and Social Care Act 2012. Public Health works to improve population health outcomes across the county working in partnership with the NHS, district and borough councils and the voluntary sector. Public Health currently receives funding from central government via a ring-fenced grant and this will remain in place for a further year at least, however the value of grant funding is reducing.

Public Health leads on the authority's statutory responsibility to develop a Joint Strategic Needs Assessment (JSNA). This assessment considers the current and future health and care needs of local population. The assessment informs

and guides planning and commissioning and the current JSNA for Derbyshire can be accessed via the Derbyshire Observatory.

Joined Up Care Derbyshire NHS England has asked that local authority areas work in partnership with local NHS organisations to develop a Sustainability and Transformation Plan, in Derbyshire this plan is known as Joined Up Care Derbyshire. Adult Social care and Health, through continued partnership working with the NHS, will align activity with the agreed system wide priorities in accordance with overarching plans signed off by the Health and Wellbeing Board.

Risk Overview

Adult Social Care and Health have identified the following key risks and mitigations, to the successful implementation of the Council and Departmental Priorities detailed in this plan.

Key risks – risks scoring 15 or more in the departmental registers. If there are no key risks against a priority 'none' is denoted.

Adult Care

Priority	Key Risks	Mitigations
Value for money	Continuing Health Care (CHC): cost pressures on Adult Care	Social care staff trained and supported to contribute to assessment meetings in which eligibility for CHC services is determined. Work taking place with the CCG and Derby City to develop opportunities for joint funding and a new dispute resolution process.
Prosperous Derbyshire	Workforce: recruitment and retention to meet needs	A range of initiatives including: marketing and events to raise the profile of careers in the social care sector; use of apprenticeships and work experience opportunities; participation in East Midlands' pilots funded by the LGA and Health Education England; use of the ASC Workforce Data Set.

Priority	Key Risks	Mitigations
Empowered and self-sufficient communities	Provider resilience and market failure of domiciliary and care homes	Close working with the CQC; maintain market intelligence; monitor provider business continuity plans; pro-active market management.
A focus on prevention and early intervention	Building the Right Support (previously Transforming Care): implementing the national plan to reduce over reliance on hospital based care for people with the highest needs	A Specialist Accommodation and Support Strategy has been produced to underpin the development of an enhanced service jointly with the CCG. A Dynamic Purchasing System is being developed to allow greater flexibility and closer scrutiny of the market.
High performing Council services	None	None

Public Health

Priority	Key Risks	Mitigations
Value for money	None	None
Prosperous Derbyshire	None	None
Empowered and self-sufficient communities	None	None
A focus on prevention and early intervention	None	None
High performing Council services	None	None

Section One – Council Priorities

Actions	Lead	Start	Complete	Success Measures	Council Plan Priority
1. Achieved budget savings of £46.8m (£20m departmental)	Helen Jones	April 2019	31 March 2021	1) Achieved departmental budget savings in 2019-20 and 2020-21	Value for money
2. Strengthened partnership working, for instance working with partners to agree the creation of a Strategic Alliance for the region to drive sustainable growth	Helen Jones	May 2017	Ongoing	2a) Raise the profile of Health and Social Care Integration 2b) Strengthen strategic partnership working	Value for money
3. Improved employee well-being through a new strategy that also increases productivity and reduces absence	Simon Stevens	March 2019	April 2021	3a) Reduced the average number of days lost to sickness absence 3b) Reduced the average number of sickness absence due to mental health issues 3c) Reduced spend on agency staff	Value for money

Actions	Lead	Start	Complete	Success Measures	Council Plan Priority
4. Delivered the Employment and Skills Strategy action plan in line with programmed timescales including improved co-ordination of Council activity	Julie Vollor	April 2019	March 2023	4a) Number of apprenticeships offered by Adult Social Care and Public Health 4b) Number of apprenticeships recruited to by Adult Social Care and Public Health 4c) Number of apprenticeships in Adult Social Care and Health successfully completed	A prosperous Derbyshire
5. Reviewed grants and developed a new offer to voluntary and community groups to enable the sector to grow and thrive	Julie Vollor	October 2018	October 2020	5) Review completed and new approach in place by September 2020	Empowered and self-sufficient communities

Actions	Lead	Start	Complete	Success Measures	Council Plan Priority
6. Co-designed the Council's offer to people with learning disabilities, focusing on their strengths to help them achieve their personal goals	Simon Stevens	September 2019	March 2021	6a) Increased the proportion of adults with a learning disability in paid employment 6b) Increased the proportion of adults with a learning disability who live in their own home or with their family 6c) Increased the number of people with a Learning Disability accessing Shared Lives Schemes	Empowered and self-sufficient communities
7. Continue to work in partnership with key stakeholders to implement the Older People's Housing, Accommodation and Support Strategy 2019-2035	Julie Vollor	Ongoing	March 2021	7) Engage with a range of local and national stakeholders, to identify and take forward opportunities that support the ongoing implementation of the strategy throughout 2020/2021.	A focus on prevention and early intervention

Actions	Lead	Start	Complete	Success Measures	Council Plan Priority
8. Reviewed the Council's care and support offer for children with special educational needs and disabilities and adults to improve efficiency, value for money and customer outcomes	Simon Stevens	May 2019	To be confirmed	8) Increased the percentage of clients agreeing that care and support services improve quality of life	A focus on prevention and early intervention
9. Better supported people to live at home longer	Simon Stevens	Ongoing	Ongoing	9a) Reduced the rate of admissions to residential and nursing care (younger adults) 9b) Reduced the rate of admissions to residential and nursing care (older adults) 9c) Increased the percentage of people remaining at home 91 days after reablement	A focus on prevention and early intervention
10. Commissioned a new approach to provide innovative technological solutions to support people with social care needs	Julie Vollar	June 2019	March 2021	10) Commissioned a new approach to provide innovative technological solutions to support people with social care needs	A focus on prevention and early intervention

Actions	Lead	Start	Complete	Success Measures	Council Plan Priority
11. Increased the number of people taking part in smoking cessation and weight management programmes to improve outcomes	Dean Wallace	April 2019	Ongoing	11a) Percentage of participants in Council delivered weight management programmes who lose weight 11b) Number of 4 week quits (smoking) 11c) Overall 4 week quite rate (%) (smoking)	A focus on prevention and early intervention

Actions	Lead	Start	Complete	Success Measures	Council Plan Priority
12. Redesigned the Council's universal and targeted 0-5s offer through Health Visiting services and Children's Centres in partnership with the NHS	Dean Wallace	Started	October 2019	12a) Established partnership approach by April 2019 12b) Put in place formal partnership agreement by October 2019 12c) Health Visitor core contact data (five mandated checks) 12d) Percentage of children achieving a good level of development 12e) Percentage of centres audited as compliant with UNICEF Baby Friendly Standards 12f) Number of groups targeted to families in need of support to promote child development, facilitated by Foundation Years Practitioners	A focus on prevention and early intervention
13. Maintained the Council's high performance in reducing delayed transfers of care from hospital	Simon Stevens	Ongoing	Ongoing	13) Reduced delayed transfers of care from hospital	High-performing council services

Actions	Lead	Start	Complete	Success Measures	Council Plan Priority
14. Ensured all Council run adult care homes have Quality of Care graded as 'Good' or 'Outstanding' by the Care Quality Commission	Simon Stevens	Ongoing	Ongoing	14) Increased the percentage of Council run adult care homes have Quality of Care graded as 'Good' or 'Outstanding' by the Care Quality Commission	High-performing council services

Key performance measures

Please note:

- Adult Social Care Outcomes Framework (ASCOF) indicators are reported retrospectively – as such, the 2019/20 figures are not available until they are released by NHS Digital.
- Public Health Outcomes Framework (PHOF) indicators are reported annually and can either be one or two years behind the current reporting year.
- Where an action relates to the development of plan, or strategy, the success measure will reflect the progress in its development by means of a Red, Amber, Green (RAG) rating. Once a plan, or strategy, has begun implementation the relevant success measures will be amended to reflect appropriate outcomes.
- Where a target has not been set, because the indicator relates to levels of activity or it is not appropriate to set targets, then “Monitor” has been used instead.

Description	Actual 2017-18	Latest 2018-19	Target 2019-20	Target 2020-21
1) Achieved departmental budget savings in 2019-20 and 2020-21	£12.249m	£4.973m	£5.732m	£14.305m
2a) Raise the profile of Health and Social Care Integration	N/A	Monitor	Monitor	Monitor
2b) Strengthen strategic partnership working	N/A	Monitor	Monitor	Monitor
3a) The average number of days lost to sickness absence	153.63	126.14	Monitor	Monitor
3b) The average number of sickness absences due to mental health issues	N/A	N/A	Monitor	Monitor
3c) Total amount spent on agency staff	£1.532m	£3.070m	Monitor	Monitor
4a) Number of apprenticeships offered by Adult Social Care and Public Health	80	74	Monitor	Monitor
4b) Number of apprenticeships recruited to by Adult Social Care and Public Health	36	63	Monitor	Monitor

Description	Actual 2017-18	Latest 2018-19	Target 2019-20	Target 2020-21
4c) Number of apprenticeships in Adult Social Care and Health successfully completed	27	TBC	Monitor	Monitor
5) Review completed and new approach in place from April 2020	N/A	Green	Monitor	Monitor
6a) The proportion (%) of adults with learning disabilities known to the council with eligible needs in paid employment (ASCOF 1E)	3.1%	1.0%	Monitor	Monitor
6b) The proportion (%) of adults with a learning disability who live in their own home or with their family (ASCOF 1G)	79.1%	77.8%	Monitor	Monitor
6c) The number of Learning Disability Clients accessing Shared Lives Schemes	79	98	Monitor	Monitor
7) Progress in developing, agreeing and implementing the Older People's Housing, Accommodation and Support Strategy (RAG Rating)	N/A	Green	Monitor	Monitor
8) Social care-related quality of life (ASCOF 1A)	19	19.3	Monitor	Monitor
9a) Long-term support needs of younger adults (aged 18-64) met by admission to residential and nursing care, per 100,000 population (ASCOF 2A (1))	22.5	28.9	Monitor	Monitor
9b) Long-term support needs of older adults (aged 65+) met by admission to residential and nursing care, per 100,000 population (ASCOF 2A (2))	707.3	696.6	TBC	TBC
9c) Proportion of 65+ people who were still at home 91 days after discharge from hospital into reablement (%) (ASCOF 2B (1))	76.9%	81.0%	TBC	TBC
10) Progress against Assistive Technology Programme Board Plan (RAG Rating)	N/A	Green	Green	Green

Description	Actual 2017-18	Latest 2018-19	Target 2019-20	Target 2020-21
11ai) Number of weight management completers (attended min of 8/12 sessions and achieved overall weight loss)	N/A	625	937	1218
11aii) Number and proportion of completers achieving 5% weight loss	N/A	183 (29%)	281 (30%)	402 (33%)
11b) Number of 4 week quits (smoking)	879	854	1050	1200
11c) Overall 4 week quit rate (%) (smoking)	58%	61%	60%	60%
12a) Established partnership approach by April 2019	N/A	Complete	Monitor	Monitor
12b) Progress in developing formal partnership agreement by October 2019 (RAG Rating)	N/A	Green	N/A	N/A
12c) The proportion (%) of families in Derbyshire are offered 5 universal reviews and uptake is maximised:				
12ci) 98% of identified pregnant women receiving an antenatal contact.	95%	95%	98%	98%
12cii) 98% of infants receiving a new baby review between 10- 14days.	96%	97%	98%	98%
12ciii) 100% receive a new baby review within 3 months of birth.	100%	100%	100%	100%
12civ) 98% of infants receiving a 6-8-week review within the timescales.	97%	98%	98%	98%
12cv) 98% of 12 months reviews are completed within the timescales.	97%	98%	98%	98%
12cvi) 93% of 2.5-year reviews are completed within the timescale.	96%	97%	93%	93%
12d) The proportion (%) of families in Derbyshire that are offered mandated reviews, universal plus or universal partnership plus if target support is required.	100%	100%	100%	100%

Description	Actual 2017-18	Latest 2018-19	Target 2019-20	Target 2020-21
12e) Total number of centres audited as complaint across the County with UNICEF Baby Friendly Standards.	100%	100%	100%	100%
12f) Number of groups targeted to families in need of support to promote child development, facilitated by Foundation Years Practitioners	N/A	N/A	TBC	TBC
13a) The total number of days lost to delayed transfers of care	15,610	13,020	12,727	TBC
13b) The daily average of days lost to delayed transfers of care per 100,000 population (aged 18+)	6.7	5.6	5.6	TBC
14) Percentage of Council run adult care homes that are rated 'Outstanding' and/or 'Good' by the Care Quality Commission	N/A	63.63%	Monitor	Monitor
15a) Total Number of compliments received by Adult Social Care and Health	331	402	Monitor	Monitor
15b) Total number of complaints received by Adult Social Care and Health	195	227	Monitor	Monitor

Section Two – Departmental Priorities

Actions	Lead	Start	Complete	Success Measures	Departmental Priority
1. Ensure carers in Derbyshire have access to the support, advice and information to best meet their needs	Julie Vollar	Ongoing	Ongoing	1a) Overall satisfaction of people with adult social care services: Carers 1b) The proportion (%) of carers who report they have been included or consulted in discussions about the person they care for 1c) The proportion (%) of social care (user and) carers who find it easy to find information and advice about services	Healthy Population
2. Work with partners to implement the Joint Dementia Strategy	Julie Vollar	Ongoing	Ongoing	2) Progress in implementing the Joint Dementia Strategy	Healthy Population
3. Encourage more active lifestyles, developing more opportunities for walking, cycling and public transport	Dean Wallace	Ongoing	Ongoing	3) The proportion (%) of physically inactive adults	Healthy Population

Actions	Lead	Start	Complete	Success Measures	Departmental Priority
4. Provide tailored support to live healthier lifestyles we through Live Life Better Derbyshire and specialist services that promote, positive sexual health and enable people to recover from drug and alcohol addiction	Dean Wallace	Ongoing	Ongoing	4a) Sexual health – Chlamydia detection rate/100,000 people aged 15-24 4b) Sexual health – HIV late diagnosis (%) 4c) Substance misuse - Percentage of successful completions as a proportion of all in treatment 4d) Substance Misuse - Percentage of representations within six months	Healthy Population
5. We will continue to have a clear focus on protecting vulnerable people as part of a strong multi-agency approach to safeguarding	Simon Stevens	Ongoing	Ongoing	5) The proportion of people who report that they are satisfied that they achieved the Outcomes they wanted at the end of the Safeguarding	Keeping Adults Safe
6. Work in partnership with local communities to co-design and secure better services for local people	Julie Vollar	Ongoing	Ongoing	6) We will have worked in partnership with local communities when designing services for local people	Keeping Adults Safe

Actions	Lead	Start	Complete	Success Measures	Departmental Priority
7. Work with partners to deliver the Substance Misuse Strategic Plan	Dean Wallace	Ongoing	Ongoing	7) Progress in delivering the substance misuses strategic plan	Keeping Adults Safe
8. Support businesses so they have an active, healthy and productive workforce	Dean Wallace	Ongoing	Ongoing	8) Number of Workplace Health Champions participating in the Healthy Workplace programme	Healthy Environments
9. Work with partners and local people to reduce the health impact of air pollution in the County.	Dean Wallace	April 2019	Ongoing	9) Establish a Working Group to develop an Action Plan in support of the implementation the Derbyshire County Air Quality Strategy.	Healthy Environments

Key performance measures

Description	Actual	Latest	Target	Target
	2017-18	2018-19	2019-20	2020-21
1a) Overall satisfaction of carers with social services (%) (ASCOF 3B)	37.3% (2016-17)	42.6%	Monitor	Monitor
1b) The proportion (%) of carers who report they have been included or consulted in discussions about the person they care for (ASCOF 3C)	67.3% (2016-17)	74.1%	Monitor	Monitor
1c) The proportion (%) of social care (user and) carers who find it easy to find information and advice about services (ASCOF 3D1)	75.5%	71%	Monitor	Monitor
2) Progress in developing and implementing a Joint Dementia Strategic Overview (RAG rating)	N/A	Green	Green	Green
3) The proportion (%) of physically inactive adults (PHOF)	24.7% (2017-18)	N/A	Monitor	Monitor
4a) Sexual health – Chlamydia detection rate/100,000 people aged 15-24	1,527	1,799	1,900	2,100
4b) Sexual health – HIV late diagnosis (%)	50%	43.1%	35%	30%
4c) Substance misuse - Percentage of successful completions as a proportion of all in treatment:	N/A		Monitor	Monitor
bi) Opiate		4.53%		
bii) Non-opiate		31.19%		
biii) Alcohol		39.95%		
biv) Alcohol & non-opiate		32.39%		

Description	Actual	Latest	Target	Target
	2017-18	2018-19	2019-20	2020-21
4d) Substance Misuse - Percentage of representations within six months: ci) Opiate cii) Non-opiate ciii) Alcohol civ) Alcohol & non-opiate	N/A	15.38% 4.00% 6.95% 13.79%	Monitor	Monitor
5) The proportion of people that responded who report that they are satisfied that they achieved the Outcomes they wanted at the end of the Safeguarding.	N/A	94%	Monitor	Monitor
6) We will have worked in partnership with local communities when designing services for local people (RAG rating of consultation activity)	N/A	N/A	Green	Green
7) Progress in delivering the substance misuses strategic plan (RAG Rating)	N/A	Green	Green	Green
8) Number of businesses participating in the Healthy Workplace programme	19	20	32	32
9) Develop and Implement a Derbyshire County Air Quality Strategy (RAG Rating)	N/A	Green	Green	Green

Approved Controllable Budget

	Employee Related	Premises Related	Transport Related	Supplies & Services	Agency	Transfer Payments	Unallocated Budgets	Controllable Recharges	Gross Budget	Income	Grants	Net Budget
Purchased Services	0	0	2,345,659	0	204,359,648	0	0	41,679,429	248,384,736	(51,611,856)	0	196,772,880
Assistive Technology & Equipment	56,866	0	500	11,363,259	255,879	0	0	337,343	12,013,847	(5,386,132)	0	6,627,715
Social Care Activity	22,620,299	203	582,740	387,324	54,458	31,965	0	15,800	23,692,789	(179,866)	0	23,512,923
Information & Early Intervention	155,477	1,200	7,000	954,173	5,415,151	64,164	0	261,000	6,858,165	(586,840)	(27,470)	6,243,855
Commissioning & Service Delivery	4,401,348	2,000	40,250	4,332,350	324,000	0	0	1,678,063	10,778,011	0	0	10,778,011
Transformation	739,584	3,121	11,000	17,741	0	0	0	0	771,446	0	0	771,446
Housing Related Support	0	0	0	0	3,646,893	0	0	0	3,646,893	(130,662)	0	3,516,231
Prevention	2,859,188	10,171	77,198	128,411	22,500	1,445,284	0	(7,500)	4,535,252	(10,000)	0	4,525,252
Direct Care	57,591,346	1,599,471	1,435,635	3,850,822	35,277	2,809	3,000,000	(40,963,241)	26,552,119	(1,392,571)	0	25,159,548
Better Care Fund	0	0	0	0	6,960,721	0	3,450,045	(1,727,967)	8,682,799	(35,348,316)	(6,960,721)	(33,626,238)
Unallocated Budgets	0	0	0	0	0	0	1,153,394	0	1,153,394	0	0	1,153,394
Business Support												
Finance	3,721,316	0	25,700	2,800	0	0	0	29,400	3,779,216	(216,422)	0	3,562,794
Performance & Efficiency	740,281	1,000	8,200	675,106	0	0	0	165,600	1,590,187	0	0	1,590,187
Administration	3,099,860	15,000	15,255	422,370	6,400	0	0	0	3,558,885	(204,000)	0	3,354,885
Public Health (N.B. As of 17/2/20 final settlement from DoH&SC still awaited)	5,819,452	100,055	145,881	31,828,194	526,187	0	(391,362)	2,164,996	40,193,403	(223,519)	(39,477,000)	492,884
TOTAL BUDGET	101,805,017	1,732,221	4,695,018	53,962,550	221,607,114	1,544,222	7,212,077	3,632,923	396,191,142	(95,290,184)	(46,465,191)	254,435,767

Forward Plan of Procurement Projects – up to 31 March 2022: Adult Care

In line with the Council’s Financial Regulations, the forward plan of procurement projects for the department, set out below, details procurement projects above £25,000 which are planned to commence over the next 24 month period. Please note the table shows the estimated contract award date following completion of a procurement process. The projects identified will be the subject of a procurement process as per the procedures set out in the Council’s financial regulations.

Table One: Forward Plan of Procurements (above £25K less than £50K) Due to commence prior to April 2022

Contract Title	Estimated Value (£)	Estimated Start Date
NIL	N/A	N/A
TOTAL:	£	

Table Two: Forward Plan of Procurements (above £50K less than OJEU threshold) Due to commence prior to April 2022

Contract Title	Estimated Value (£)	Estimated Start Date
Smoke detectors for deaf people and people who are hard of hearing	£160,000	01/07/2020
Deaf Communication Support Service	£155,000	01/04/2021
Client Finance system	£160,000	01/09/2021
Long term accommodation for people with mental health problems	£150,172	01/04/2022
TOTAL:	£625,172	

Table Three: Forward Plan of Procurements (above OJEU threshold) Due to commence prior to April 2022

Contract Title	Estimated Value (£)	Estimated Start Date
Pre-paid card services	£192,000	01/01/2021
Healthy Homes Contractors	£2,400,000	01/04/2021
Provision of high quality and affordable specialist residential accommodation at Bennerley Avenue, Ilkeston, which may include bungalows for older people and Extra Care Housing provided and managed by an RSL Housing provider.	£26,000,000	01/05/2020
Healthwatch service for Derbyshire	£1,284,456	01/04/2021
Specialist Residential Dynamic Purchasing System	£128,000,000	01/04/2021
Community Alarm monitoring across Derbyshire	£3,400,000	01/04/2021
Handy van services	£1,196,476	01/04/2021
Assistive Technology service provider.	£4,000,000	01/04/2021
Homecare services	£160,000,000	TBA
Telephone Support (mental health)	TBA	TBA

Contract Title	Estimated Value (£)	Estimated Start Date
Enhanced housing support for complex mental health (as part of CCG pathway for complex care)	TBA	TBA
Independent living services for older people in Bolsover, Chesterfield, High Peak, South Derbyshire, and Amber Valley.	£6,373,744	01/11/2021
Specialist Framework of Supported Living Providers	£68,000,000	01/04/2022
Carers Assessments	£3,405,768	01/04/2022
Advocacy - independent community and statutory	£3,688,436	01/04/2022
Recovery & Peer Support (mental health)	£2,480,000	01/04/2022
Rehab & Advice Service for Blind & Visually Impaired	£913,964	01/04/2022
Wellbeing Advice and Support Service - Whitfield House and Stonelow Court	£241,460	01/04/2022
Wellbeing Advice and Support Service - Oaklands	£249,984	01/04/2022
Short terms support for people with disabilities	£1,183,852	01/06/2022
Crisis intervention for people with disabilities	£998,640	01/07/2022
TOTAL:	£413,010,140	

Forward Plan of Procurement Projects – up to 31 March 2022: Public Health

Table One: Forward Plan of Procurements (above £25K less than £50K) Due to commence prior to April 2022

Contract Title	Estimated Value (£)	Estimated Start Date of Procurement
School Crossing Patrol Uniform	£36,000	Oct 2021
Supported employment	£25,000	April 2020
Social Marketing for Sexual Health	£25,000	April 2020
Vision Screening Social Marketing	£25,000	April 2020
Flu Clinics	£50,000	April 2020
Workplace Health Initiatives	£50,000	Oct 2020
TOTAL:	£211,000	

Table Two: Forward Plan of Procurements (above £50K less than OJEU threshold) Due to commence prior to April 2022

Contract Title	Estimated Value (£)	Estimated Start Date of Procurement
Self-Management Programme	£100,000	April 2020
Referrals Management System for LLBD	£170,000	April 2021
Supporting Smoke Free Initiatives	£90,000	May 2020
Family Focused Obesity Project	£150,000	April 2020
Healthy Lifestyles behavioural intervention app	£150,000	April 2020
Bowel Cancer Screening Awareness	£75,000	June 2020
Offender Health Initiatives	£75,000	April 2020
TOTAL:	£810,000	

Table Three: Forward Plan of Procurements (above OJEU threshold) Due to commence prior to April 2022

Contract Title	Estimated Value (£)	Estimated Start Date of Procurement
Residential Rehab for Drug and Alcohol Misuse	£2,200,000	Sept 2021
Volunteering	£450,000	Jun 2020
Pharmacy based supervised consumption	£375,000	April 2021
Needle and Syringe exchange programme	£500,000	April 2021
Substance misuse outreach service 16 – 25 yrs.	£565,000	June 2020
Substance Misuse Recovery	£850,000	Oct 2020
Physical Activity Services	£2,500,000	Oct 2020
Health Check Programme	£2,750,000	Jan 2022
Derbyshire Healthy Family Service (breastfeeding peer support)	£2,100,000	Oct 2021
Oral Health Promotion	£430,000	April 2021
NRT for Smoking Cessation	£1,250,000	June 2020
Provision of Advisory Service	£5,387,150	August 2020
Suicide Prevention	£603,000	April 2020
Childhood Obesity and population nutrition	£1,320,000	Oct 2020
Shaping Places for Healthier Lives Programme	£320,000	Oct 2020
Falls Prevention Services	£735,000	Sept 2021
TOTAL:	£22,335,150	

Children's Services

Service Plan 2017-2021 2020/21 Update

**Jane Parfremment
Executive Director – Children's Services**

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Council Ambition

We will strive to be:

An enterprising and value for money council, enabling people and communities to thrive.

Council Values

We will:

- **Be open, honest and accountable** ensuring the decisions that we make are fair and transparent
- **Spend money wisely** making the best use of the resources that we have
- **Work with partners and local communities** because we know that we cannot tackle complex problems on our own
- **Listen to local people** ensuring we are responsive and take account of the things that matter most to them

Council Outcomes

We want Derbyshire to have:

- **Resilient and thriving communities** which share responsibility for improving their areas and supporting each other
- **Happy, safe and healthy people**, with good networks of support, who feel in control of their personal circumstances and aspirations
- **A strong, diverse and adaptable economy** which makes the most of Derbyshire's rich assets and provides meaningful opportunities for local people
- **Great places to live, work and visit** with vibrant schools, diverse cultural opportunities, transport connections that keep things moving and a healthy environment for all
- **High quality public services** that work together and alongside communities to deliver services that meet people's needs

Council Priorities for 2020/21

Our Council priorities are:

- Value for money
- A prosperous Derbyshire
- Empowered and self-sufficient communities
- A focus on prevention and early intervention
- High-performing council services.

Departmental Overview

In delivering the council's priorities, our vision is that staff across Children's Services will be:

'Working creatively together to inspire and empower children, young people and their families and communities to be the best they can be safe, healthy, happy, learning and working'.

Our ambition is to achieve sustained positive outcomes for children and young people and to improve their physical, social and emotional well-being and safety, close the gap in educational achievement and support all children and young people in realising their potential.

Children's Services continue to face a range of pressures and risks including the increasing numbers of children who need our help and protection, the rising cost of placements for children in care and the impact of inflation. Having re-modelled and significantly increased capacity and supervisory roles within our social care teams, the focus of our improvement activity is now to further develop our workforce to ensure consistent good quality practice to meet our child protection and safeguarding responsibilities. We will continue to develop strategies to address the challenges in relation to recruitment of permanent social workers and retention of existing workers, especially in hard-to-recruit areas.

Through our commissioning strategies, it will remain a priority to ensure that sufficient, high quality, cost-effective local placements are available to meet the needs of our children in care, including their educational needs, to help them to achieve the best possible outcomes. Having established and embedded a new holistic service for care leavers, we will continue to drive and strengthen the service this year to improve the experiences and outcomes for our care leavers.

Children's Services will continue to champion high quality education for all children, young people and adults - working closely with local communities to plan for future capacity, the regional schools commissioner to champion improved standards and with Derbyshire schools and settings as the education providers. We will focus in particular on reducing the achievement gap for vulnerable children, including children in care and children with special educational needs and disabilities (SEND), and improving outcomes for children in their early years.

Ensuring that children and young people with SEND receive the support they need to fulfil their potential and maximise independence is a key priority. We are spending more on education and support for children with SEND, but we are not doing as well as we should in helping them to achieve independence and secure paid employment. This year we will be working with our partners, including children, young people and their families, to implement the recommendations from reviews on high needs funding and support for children with SEND that we commissioned during 2018-19.

Ensuring that the council balances its budget is critical, and in Children's Services we will be working hard to support this by making best use of our resources and exploring creative and innovative ways of delivering services and introducing new initiatives to support children and families.

We continue to explore the use of technology and other opportunities to increase flexible, agile and efficient working. We will continue to ensure our traded services are providing good quality services, operating efficiently and are financially sustainable. Recognising the budget pressures faced by many schools, we will also continue to support schools to maintain their spending needs within available resources.

Last year we worked collaboratively with schools and other local partners to re-shape the future delivery of Early Help support. This year we will be continuing to support our partners, including schools, health and police, with embedding this approach and we will be evaluating the impact of these changes. We will continue to work with partners to ensure that thresholds for support are applied consistently and that families are helped or signposted to services that can meet their needs at the lowest safe level. Our Locality Children's Partnerships are working collaboratively to build networks of support within local communities, which will also support this ambition. We will continue to develop and strengthen these Partnerships, ensuring that children and their families are engaged in shaping local plans.

Our workforce is critical in achieving the best outcomes for children and young people in Derbyshire. Morale is generally high, and we will continue to ensure that effective channels of communication are in place at all levels providing clear and consistent messages to frontline staff. We continue to place a high value on staff development, and will increase opportunities for staff to undertake development including apprenticeships.

Our plans for 2020-21 build on a number of key achievements during 2019-20 when we:

- Re-modelled and increased capacity and supervisory roles within our social care teams to strengthen the quality of practice and respond to increasing demand.
- Implemented a new holistic, in-house, Leaving Care service and increased the accommodation and support available to our care leavers.

- Improved the quality and timeliness of planning for children in need of help and protection – as recognised during our Children’s Services inspection in July 2019.
- Worked jointly with key safeguarding partners to implement new multi-agency safeguarding arrangements across Derby City and Derbyshire – the “Derby and Derbyshire Safeguarding Children Partnership”.
- Established effective joint working and governance arrangements with Adoptions East Midlands, our Regional Adoption Agency (RAA), which became operational on 1st April 2019.
- Reviewed our Early Help offer to deliver a more targeted, evidence-based approach to early help working alongside our partners.
- Achieved outcomes significantly better than national figures for the third consecutive year for the percentage of Derbyshire pupils achieving the key benchmark in English and Maths GCSE’s at Key Stage 4.
- Commissioned two wide-ranging reviews of SEND, one in conjunction with Adult Services, and developed a comprehensive delivery plan from the consolidated learnings.
- Consistently lobbied Government on a wide range of Education and Children’s Services issues, including funding.

Our Services

**Children's Services
Executive Director
JANE PARFREMENT**

Service Director Early Help and Safeguarding ALISON NOBLE	Service Director Schools and Learning IAIN PEEL	Service Director Performance, Quality and Partnerships LINDA DALE	Service Director Commissioning and Transformation ISOBEL FLEMING
<ul style="list-style-type: none"> • Children's Social Care • Early Help Services including Early Help Teams, Children's Centres, Youth Service, Careers, Troubled Families • Youth Offending Service • Children in Care support and provision including fostering, residential and adoption • Services for disabled children 	<ul style="list-style-type: none"> • Early Years and Childcare • Education Improvement • Music Hub Partnership • Special Educational Needs (SEND) • Alternative Provision • Virtual School for Children in Care • School Place Planning • School Capital Programme • Admissions and Transport • Adult Community Education • School Catering • Sport and outdoor education • Access & Inclusion 	<ul style="list-style-type: none"> • Child Protection Service and Independent Reviewing Officers for children in care • Participation and children's rights including Derbyshire Youth Council, • Management information and performance reporting • Quality assurance and complaints • ICT, casework systems and children services websites • Partnership working including supporting the Derby and Derbyshire Safeguarding Children Partnership 	<ul style="list-style-type: none"> • Commissioning, transformation and change management strategies and programmes • Lead or support future service development • Organisational redesign and remodelling of services • Development of service specifications or "pathways" for young people and families to access services and support • Traded services (council-wide portfolio) including services for schools

Key risks (Risks scoring 15 or more in the departmental register. If there are no key risks against a priority, put “none”)

Priority	Key Risks	Mitigations
Value for money	<ul style="list-style-type: none"> Financial pressures from increased demand for services and/or reduction in income generated. Financial pressures from overspend of the Dedicated Schools Grant (DSG). 	<ul style="list-style-type: none"> Service pressures have been identified and additional funding identified. Effective programme management approach to ensure delivery of savings targets. Increased targeting of resources and services. Effective benchmarking of services to ensure continued affordability. Demand Management approaches being explored.
A focus on prevention and early intervention	<ul style="list-style-type: none"> Risk of death or serious injury to a child receiving help or protection 	<ul style="list-style-type: none"> Robust policies and procedures, continued workforce training and development. Continued focus on effective partnership working and embedding early help assessments. Robust management of health and safety
High performing and council services	<ul style="list-style-type: none"> Increasing demand, complexity and expectations on SEND services. 	<ul style="list-style-type: none"> Commissioned reviews completed, SEND strategy and comprehensive action plan in place.
	<ul style="list-style-type: none"> Inability to recruit and retain key staff. 	<ul style="list-style-type: none"> Various initiatives implemented with impact being closely monitored.
	<ul style="list-style-type: none"> Failure to secure sufficient capital to maintain buildings of DCC Children’s Homes. 	<ul style="list-style-type: none"> Securing additional capital programme funding.
	<ul style="list-style-type: none"> Failure to ensure adequate education provision for children missing from education for more than 15 days – risk of adverse outcomes for children. 	<ul style="list-style-type: none"> Robust senior management oversight and monitoring process in place.
	<ul style="list-style-type: none"> Inappropriate use of unregulated/unregistered provision. 	<ul style="list-style-type: none"> Robust senior management oversight and monitoring process in place.

- Robust contract and quality monitoring in place for use of semi-supported accommodation (not required to be regulated).
- Strengthening commissioning activity to ensure sufficiency of provision.

Section One – Council Priorities

Priority: Value for money

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
Achieve Council budget savings of £46.8m (Children’s Services £30.5m)	Jane Parfremment	Underway	March 2022	<ul style="list-style-type: none"> • Achieve departmental budget savings 	Yes
Improve employee well-being through a new strategy that also increases productivity and reduces absence	Jane Parfremment	March 2019	March 2021	<ul style="list-style-type: none"> • Reduce the average number of days lost to sickness absence 	Yes
Continue to improve recruitment and retention of Children’s Social Workers to reduce reliance on agency staff	Alison Noble	Underway	March 2021	<ul style="list-style-type: none"> • Reduce expenditure on agency staff 	No
Improve value for money in relation to children in care placements	Isobel Fleming	Underway	March 2021	<ul style="list-style-type: none"> • Reduce average placement costs • Increase utilisation of in-house provision 	No
Ensure the traded services offered by the Department achieve good quality, operate efficiently and are financially sustainable	Isobel Fleming	Underway	March 2021	<ul style="list-style-type: none"> • Customer satisfaction • Services financially sustainable and trade on the basis of recovering appropriate costs 	No

Strengthen partnership working within Children's Services	Jane Parfremment	Underway	March 2021	<ul style="list-style-type: none"> Derby and Derbyshire Safeguarding Children's Partnership embedded and effective Newly revised Corporate Parenting Board embedded and effective 	Yes
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Key Performance Measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
Percentage of year-end budget savings targets achieved	N/Av	82.9%	75.1% (Aug 19)	100%
Average number of days lost to sickness absence (non-schools)	8.25	7.9	8.54 (Dec 19)	7.0 days per employee (set last year)
Spending on agency social workers	£229,121	£406,291	£425,623 (Nov 19)	Less than £155,000
Average cost of children in care placements	£40,485	£42,132	n/a (annual only)	Less than £41,000
Utilisation rate – DCC foster care - % of places filled (excluding places reserved for short breaks and those unavailable)	N/Av	N/Av	90% (Dec 19)	Maintain above 90%
Utilisation rate – DCC residential children's homes	81%	78%	73.1% (Dec 19)	80%
Financial sustainability of traded services – % of services achieving cost recovery.	N/Av	N/Av	N/Av	TBC

Key: AD Awaiting Data; N/Av Not available; TBC To be confirmed

Priority: A prosperous Derbyshire

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
Achieve high rates of participation in education, employment and training to ensure that young people are well-equipped with employment skills	Alison Noble	Underway	March 2021	<ul style="list-style-type: none"> Low % of young people who are not in education, training or employment 	No

Key Performance Measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
Proportion of 16 and 17 year olds not in education, employment or training (NEET) (3 month average)* ¹	2.7%	2.8%	2.4% (Dec 19)	2% or less
Proportion of 16 to 17 year olds NEET and Not Known (3 month average)* ¹	3.8%	3.5%	17.5% (Dec 19)	4% or less

Key: AD Awaiting Data; N/Av Not available; TBC To be confirmed

*¹Performance in this area has been temporarily impacted significantly following the implementation of new internal structures and processes.

Priority: Empowered and self-sufficient communities

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
Continue to work with partners and communities to develop prevention, early intervention and build resilient communities	Linda Dale	Underway	Ongoing	<ul style="list-style-type: none"> Locality Children's Partnerships (LCPs) are inclusive of local partners, children and families LCPs can demonstrate impact within their communities Local communities have the information they need to respond effectively to emerging issues and risks for children ("contextual safeguarding") 	No
Strengthen the role of Derbyshire Adult Community Education Service (DACES) in supporting access to education, employment and training for those communities and individual who are the most disadvantaged	Iain Peel	Underway	Ongoing – reported annually	<ul style="list-style-type: none"> Maintain high % success rates. Achieve high levels of satisfaction from learners 	No

Key Performance Measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
Percentage of DACES learners completing programmes successfully	92%	95% (p)	AD	94%

Key: AD Awaiting Data; N/Av Not available; TBC To be confirmed

Priority: A focus on prevention and early intervention

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
Support the implementation of opportunities identified to improve efficiency, value for money and customer outcomes for children and adults with disabilities	Jane Parfremment	May 2019	March 2021	<ul style="list-style-type: none"> More young people with support plans (and their parents / carers) feel they are being encouraged and enabled to prepare for the future and to develop skills that will lead to independence 	Yes
Embed the re-designed Early Help Offer for children, young people and families	Alison Noble	Underway	March 2021	<ul style="list-style-type: none"> Partner organisations are helped and supported to develop their early help provision A full evaluation of the impact of the Early Help re-design completed. 	Yes
Embed our newly re-designed universal and targeted offer through our Health Visiting services and Children's Centres in partnership with the NHS	Alison Noble (with Public Health)	Underway	March 2021	<ul style="list-style-type: none"> An increase in the proportion of children achieving a good level of development Centres are compliant with UNICEF Baby Friendly Standards Families in need of support to promote child development have access to groups, facilitated by Foundation Years Practitioners 	Yes

Implement and embed the “Pause Project”, an innovative programme to address the needs of women who have had multiple children removed from their care and prevent this cycle recurring	Isobel Fleming (with Public Health)	Underway	September 2024	<ul style="list-style-type: none"> Fewer women participating in Pause become pregnant during the programme Of those who participate, fewer women experience further care proceedings for 18 months following the programme. 	Yes
Develop strategies to respond to increasing demand for social care services for children in need of help and protection	Alison Noble	April 2019	March 2022	<ul style="list-style-type: none"> Timely, effective and robust application of thresholds across partners Partner organisations are helped and supported to develop their early help provision Children in care are supported to return home where it is safe and appropriate to do so 	No
Work collaboratively with partners to improve children’s emotional wellbeing	Jane Parfremment	Underway	Ongoing – reported annually	<ul style="list-style-type: none"> LCPs can demonstrate improvement locally in children’s resilience and emotional wellbeing More children identified with mental health needs receive support Reduction in school exclusions 	No

Key Performance Measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
Percentage of SEND young people with support plans who feel they are being encouraged and enabled to develop skills that will lead to independence	N/Av	N/Av	AD	TBC
Percentage of SEND young people with support plans who feel that they are being encouraged and enabled to prepare for the future	N/Av	N/Av	AD	TBC

Percentage of children achieving a good level of development	70.8% (2017/18 a/y)	70.8% (2018/19 a/y)	-	To be above national average
Percentage of children's centres audited as compliant with UNICEF Baby Friendly Standards (reported bi-annually)	100%	100%	-	100%
Percentage of women participating in the Pause programme who do not become pregnant during the 18 months	N/Av	N/Av	<i>Data not available until approx. mid 2021</i>	TBC
Percentage of women participating in Pause who do not experience further care proceedings for 18 months following the programme	N/Av	N/Av	<i>Data not available until approx. mid 2021</i>	TBC
Percentage of children returning home after a period of being looked after	32%	35%	27% (Dec 19)	To remain above national figures
Rate of child protection plans per 10k population	63 per 10k	61 per 10k	64 per 10k (Dec 19)	Monitor (no target to be set)
Rate of children in care per 10k population	47 per 10k	52 per 10k	55 per 10k (Dec 19)	Monitor (no target to be set)
Percentage of children with identified mental health needs receiving support	N/Av	36%	AD	41%

Key: AD Awaiting Data; N/Av Not available; TBC To be confirmed

Priority: High-performing council services

Actions	Lead	Start	Complete	Success Measures	Deliverable listed in the Council Plan
Continue to drive improvements in the delivery of children's social care	Alison Noble	Underway	March 2021	<ul style="list-style-type: none"> Continued and consistent improvements in the quality of practice, as demonstrated by a range of indicators External peer review and validation which supports internal evaluation of quality 	Yes
Continue to strive for all Council run children's homes to be judged as good or outstanding	Alison Noble	Underway	Ongoing	<ul style="list-style-type: none"> Percentage of children's homes rated good or outstanding 	Yes
Continue to work with schools and partners to increase the percentage of children in schools which are good or outstanding, so that Derbyshire is in line with the national average	Iain Peel	Underway	Ongoing	<ul style="list-style-type: none"> Percentage of children in schools rated good or outstanding by Ofsted Percentage of schools rated good or outstanding by Ofsted 	Yes

Improve the timeliness and quality of our Education, Health Care plans for children and young people with special educational needs	Iain Peel	Underway	March 2021	<ul style="list-style-type: none"> Plans demonstrate holistic, person centred approaches that enable children and young people to achieve agreed outcomes More plans are completed within timescale 	No
Implement recommendations from the independent review of high needs funding	Iain Peel	Underway	March 2021	<ul style="list-style-type: none"> Services and support are effective in meeting needs, sustainable and achieve value for money 	No

Key Performance Measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
Average social worker caseload - overall	20	19	18 (Dec 19)	15-21
Maximum social worker caseload – overall	41	35	41 (Dec 19)	30
Average social worker caseload – specialist teams	N/Av	N/Av	14 (Dec 19)	14-18
Percentage of children in care who have had 3 or more social workers in the last 12 months	14.7%	13.3%	20.7% (Dec 19)	Less than 15%
Social work workforce stability measures				
- % of social worker vacancies (including agency)	18.9%	24.7%	27% (Dec 19)	20%
- % of social workers who are agency workers (based on FTE counts)	4.3%	9.3%	22% (Dec19)	10%
Proportion of social care audits graded good or better (including care leavers and children in care)	N/Av	44%	61% (Dec 19)	70%

Percentage of DCC-run children's homes judged good or better	80%	100%	81.8% (Nov 19)	100%
Percentage of EHC plans completed within timescale (excluding exceptions)	52.9% (2017 calendar yr)	34.0% (2018 calendar yr)	37.3% (p) (2019 calendar yr)	To achieve lower middle quartile performance
Percentage of pupils in good or better primary schools	78.8% (31/08/18)	79.1% (31/08/19)	80.8% (Dec 19)	Increase national ranking by 10 places
Percentage of pupils in good or better secondary schools	59.7% (31/08/18)	57.9% (31/08/19)	55.1% (Dec 19)	Increase national ranking by 10 places
Percentage of support centres judged good or better	100% (31/08/18)	66.7% (31/08/19)	66.7% (Dec 19)	Maintain 66.7% or above
Percentage of special schools judged good or better	100% (31/08/18)	90.0% (31/08/19)	90.0% (Dec 19)	Maintain 90% or above
Percentage of early years providers judged good or better	95.4% (31/08/18)	96.6% (31/08/19)	AD	98% or above

Key: AD Awaiting Data; N/Av Not available; TBC To be confirmed

Section Two – Departmental Priorities

Keep Children Safe

Actions	Lead	Start	Complete	Success Measures
Continue to be alert to, and respond to, emerging areas of risk and vulnerability such as online safety; suicide and self-harm; child exploitation; radicalisation; female genital mutilation (FGM); children who go missing and misuse substances	Jane Parfremment	Underway	March 2021	<ul style="list-style-type: none"> Fewer children going missing from home and care More children involved in their own safety planning Children are well-informed about risks and how to stay safe Intelligence about risk is shared by partners and used effectively to inform local strategies and plans, and also safety planning for individual children Suicide and self-harm strategy is embedded within local communities

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Key Performance Measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
Percentage of children participating in their initial child protection conference (rolling 12 months)	N/Av	N/Av	37.0% (Dec 19)	75%
Number of children going missing from home or care (overall total, rolling 12 months)	216	380	411 (Dec 19)	Less than 380
Number of missing episodes (overall total, rolling 12 months)	439	810	842 (Dec 19)	Less than 810

Key: AD Awaiting Data; N/Av Not available; TBC To be confirmed

Be a good corporate parent to children in care and care leavers

Actions	Lead	Start	Complete	Success Measures
Continue to implement and embed our new care leaver service and offer	Dave Bond	Underway	March 2021	<ul style="list-style-type: none"> • Increase partnership contribution and offer of employment and training opportunities for care leavers • Improved pathway planning and aspiration is evidenced through audits • More care leavers in suitable accommodation, engaged in education, employment or training and tell us they feel safe and positive about the future. • Care leavers can access the health services they need • Continue to work towards an exemption from council tax for all our care leavers
Increase the choice and quality of adoption, fostering and residential care placements available to children in care	Jane Parfremment	Underway	Ongoing	<ul style="list-style-type: none"> • Improved utilisation of council foster carers and children's homes • Improved access to external provision through new commissioning approaches and market development
Continue to promote timely, good quality permanence planning for children in care	Alison Noble	Underway	March 2021	<ul style="list-style-type: none"> • Timely and achievable permanence plans are in place for all children and young people for whom going home is not an option • Permanence plans reflect the wishes and feelings of the child
Support our children in care to do their best at school	Helen Moxon	Underway	Ongoing – reported annually	<ul style="list-style-type: none"> • Lower rates of absence and exclusion for children in care • All our children in care reach attainment levels above or in line with their expectations



Key Performance Measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
Percentage of children in care who had 3 or more placements within the year	7.9%	8%	7.3% (Dec 19)	4-8%
Average number of days between a child entering care and moving in with an adoptive family (A1) 3 year average	568	492 (p)	496 (Dec 19)	480 (426 (DfE target)
Average number of days between a child entering care and moving in with an adoptive family (A1) rolling 12 months	495	351	556 (Dec 19)	350
Average number of days between a local authority receiving court authority to place a child and the local authority deciding on a match to an adoptive family (A2) 3 year average	301	244 (p)	228 (Dec 19)	200 (121 DfE target)
Average number of days between the local authority receiving court authority to place a child and the local authority deciding on a match to an adoptive family (A2) Rolling 12 months	245	148	251 (Dec 19)	150
Percentage of CiC with at least one fixed term exclusion	13.33% (p) (2017/18 a/y)	10.76% (p) (2018/19 a/y)	4.67% (Nov 19) (cumulative over a/y)	To achieve lower middle quartile performance
Percentage of CiC classed as persistent absentees	10.8% (2017/18 a/y)	12.21% (p) (2018/19 a/y)	9.09% (Nov 19) (cumulative over a/y)	To be better than the national average
Percentage point gap between children in care achieving the expected standard at Key Stage 2 in combined reading, writing and maths and all pupils	30.6 (2017/18 a/y)	29.2 (p) (2018/19 a/y)	-	Gap to be smaller than the national gap

Percentage point gap between children in care achieving a standard pass in English and Maths at GCSE and all pupils	50.2 (2017/18 a/y)	46.9 (p) (2018/19 a/y)	-	43
Percentage of care leavers in suitable accommodation (age 19-21)	95%	93%	93.0% (Dec 19)	95% or above
Percentage of care leavers in education, employment or training (age 19-21)	47.0%	46.2%	45.9% (Dec 19)	55%

Key: AD Awaiting Data; N/Av Not available; TBC To be confirmed

Be an effective champion for high standards in education

Actions	Lead	Start	Complete	Success Measures
Drive for attainment in all key benchmarks and at all key stages that is above national averages	Iain Peel	Underway	Ongoing – reported annually	<ul style="list-style-type: none"> Derbyshire pupil attainment levels are above national average across all key stages
Continue to improve educational outcomes for disadvantaged pupils	Iain Peel	Underway	Ongoing – reported annually	<ul style="list-style-type: none"> Reduction in attainment gap for children in receipt of free school meals
Reduce the number of pupils receiving exclusions from school, both fixed term and permanent, and continue to achieve good levels of attendance	Iain Peel	Underway	Ongoing – reported annually	<ul style="list-style-type: none"> Reduction in fixed term and permanent exclusions Good use of managed moves protocols can be evidenced All pupils attending Derbyshire schools have high levels of attendance

Continue to provide safe and secure environments for both staff and children and young people through effective school place planning and management of capital developments	Iain Peel	Underway	Ongoing – reported annually	<ul style="list-style-type: none"> • Maintain a high proportion of children and young people who are offered their first choice of school • Ensure that school place planning achieves value for money
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Key Performance Measures

Description	Actual	Actual	Latest	Target
	2017-18	2018-19	2019-20	2020-21
Percentage of pupils reaching the expected level in Year 1 Phonics	81.0% (2017/18 a/y)	80.0% (2018/19 a/y)	-	To be above the national average
Percentage of pupils achieving the expected standard at Key Stage 1 Reading	75.6% (2017/18 a/y)	74.4% (2018/19 a/y)	-	To be above the national average
Percentage of pupils achieving the expected standard at Key Stage 1 Writing	70.3% (2017/18 a/y)	68.8% (2018/19 a/y)	-	To be above the national average
Percentage of pupils achieving the expected standard at Key Stage 1 Maths	76.5% (2017/18 a/y)	75.4% (2018/19 a/y)	-	To be above the national average
Percentage achieving the expected standard at Key Stage 2 combined Reading, Writing and Maths	63.9% (2017/18 a/y)	63.8% (2018/19 a/y)	-	To be above the national average
Percentage achieving a standard pass (grades 4-9) in English and Maths at GCSE	64.2% (2017/18 a/y)	65.1% (p) (2018/19 a/y)	-	To remain significantly better than national figures

Reduce the attainment gap between disadvantaged pupils in Derbyshire and other pupils nationally achieving a standard pass (grades 4-9) in English and Maths at GCSE	32.0 (2017/18 a/y)	28.4 (p) (2018/19 a/y)	-	Gap to be smaller than the national gap
Attendance at primary school	96.1% (2017/18 a/y)	96.2% (p) (2018/19 a/y)	-	Maintain top quartile national performance
Attendance at secondary school	94.5% (2017/18 a/y)	94.5% (p) (2018/19 a/y)	-	To maintain above national performance
Secondary school persistent absence rate	13.7% (2017/18 a/y)	13.3% (p) (2018/19 a/y)	-	To maintain above national performance
Rate of permanent exclusions from school	0.17 (2017/18 a/y)	0.15 (p) (2018/19 a/y)	0.06 (Nov 19) (cumulative over a/y)	0.12
Rate of fixed term exclusions from school	4.60 (2017/18 a/y)	4.48 (p) (2018/19 a/y)	1.51 (Nov 19) (cumulative over a/y)	4.35
Percentage of children and young people who are offered their first preference of primary school	94.8%	83.2%* ²	-	Maintain top quartile national performance
Percentage of children and young people who are offered their first preference of secondary school	94.6%	95.4%	-	Maintain top quartile national performance

Key: AD Awaiting Data; N/Av Not available; TBC To be confirmed

*² Please note that there is a discrepancy between the figures reported internally (92.3%) and those published by the DfE (83.2%). Data submitted to the DfE appears to have omitted a number of offers to Derbyshire applicants where the offer was from a school in another LA.

Approved Controllable Budget 2020/21

Division	Employees (£)	Premises (£)	Transport (£)	Supplies and Services (£)	Agency and Contracted Services (£)	Transfer payments (£)	Unallocated budget (£)	Controllable Recharges (£)	Gross Budget (£)	Income (£)	Grants (£)	Net Budget (£)
Strategic Services	6,914,057	28,658	43,164	92,587	265	-	-278,115	-4,161,320	2,639,296	-209,816	0	2,429,480
Early Help and Safeguarding	46,437,663	528,996	1,984,077	3,678,518	39,205,722	1,939,788	-2,031,214	-9,009,825	82,733,724	-1,950,532	-2,314,093	78,469,099
Schools & Learning	29,679,278	1,354,930	16,970,089	11,209,005	256,288	-	26,689	-19,258,675	40,237,605	11,529,389	-9,128,308	19,579,908
Performance and Quality	5,811,718	570	102,488	1,034,995	112,576	-	-822,229	-33,007	6,207,112	-63,148	-	6,143,964
Countywide Commissioning	1,500,784	-	6,993	97,079	5,090,485	-	-	-1,043,937	5,651,404	-1,785,500	-	3,865,904
Unallocated budget reductions	101,596	-	-	-	-	-	3,839,312	500,272	4,441,180	-	-	4,441,180
Total controllable budget	90,445,095	1,913,154	19,106,812	16,112,185	44,665,336	1,939,788	734,443	-33,006,491	141,910,321	-15,538,385	-11,442,401	114,929,535

Forward Plan of Procurement Projects – up to 31 March 2022

In line with the Council's Financial Regulations, the forward plan of procurement projects for the department, set out below, details procurement projects above £25,000 which are planned to commence over the next 24 month period. Please note the table shows the estimated contract award date following completion of a procurement process. The projects identified will be the subject of a procurement process as per the procedures set out in the Council's financial regulations.

Table One: Forward Plan of Procurements (above £25K less than £50K) Due to commence prior to April 2022

Contract Title	Estimated Value (£)	Estimated Start Date
Supply and Delivery of Morning Goods and Confectionery	36,000.00	01/11/2020
Special Schools review of Health Needs	20,000.00	01/03/2020
Synergy EISi Upgrade	35,000.00	01/04/2021
GDPRiS Data Protection Management System for Schools	30,000.00	01/04/2020
Development: Support of a technical advisor for PFI Benchmarking Exercise	20,000.00	03/2020

Table Two: Forward Plan of Procurements (above £50K less than OJEU threshold) Due to commence prior to April 2022

Contract Title	Estimated Value (£)	Estimated Start Date
Supply and Delivery of Catering Disposables	55,000.00	1/3/2021
Secure Information Exchange with Schools	50,000.00	01/09/2020
Local Offer Website	60,000.00	01/06/2020
School MI Data Transfer for Central Pupil Database	50,000.00	01/09/2020
CSE/CRE	175,000.00	16/8/2019
Regional Mediation	75,000.00	01/05/2022

Safeguarding Recording System for Schools	150,000.00	01/04/2020
Schools Payments System	100,000.00	01/11/2020
Schools Data (Tracking & Assessment) Systems	100,000.00	01/04/2020
DACES: Procurement of MIS software 5 year licence	175,000.00	2021/2022
Schools Advisory Service Records Management	50,000.00	01/04/2020
Positive Behaviour Support	60,000.00	01/10/2020

Table Three: Forward Plan of Procurements (above OJEU threshold) Due to commence prior to April 2022

Contract Title	Estimated Value (£)	Estimated Start Date
EDP39 Supply and Delivery of Groceries and Provisions	10,000,000.00	29/02/2020
EDP38 Supply and Delivery of Frozen Food	16,000,000.00	01/08/2020
Transportation of School Meals	1,600,000.00	01/11/2021
Supply and Delivery of Fresh Meat	600,000.00	01/11/2020
Supply and Delivery of Meal Concepts	400,000.00	01/11/2020
Catering Heavy Equipment	1,000,000.00	01/10/2020
Light Equipment	400,000.00	01/10/2020
Children's Accommodation and Support Services (CASS)	14,140,000.00	01/10/2021
Support Service for Young Carers	800,000.00	01/04/2020
Framework for Disabled Children and Young People	4,000,000.00	01/11/2020
Independent Travel Training	250,000.00	01/10/2019
Framework for Young People Accommodation	5,000,000.00	01/09/2020

Stepping Down Children with disabilities/complex needs from Residential Care to Foster Care	8,000,000.00	01/03/2020
PAUSE Derbyshire	860,000.00	01/09/2019
Creative Mentors	346,000.00	01/09/2019
Mosaic Mobilise	260,000.00	01/09/2020
Services for Schools and SchoolsNet Portal	300,000.00	01/04/2020
Virtual School Supply Staff	290,000.00	01/04/2019

DRAFT

Agenda Item No 6(c)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Director of Finance & ICT

**CAPITAL BUDGET MONITORING TO MONTH 9 2019-2020
(STRATEGIC LEADERSHIP, CULTURE AND TOURISM)**

1 Purpose of the Report

To inform Cabinet of the latest Capital budget monitoring position for the Capital programme.

2 Information and Analysis

The report reflects those schemes that are currently under way and have had previous Cabinet approval. Each scheme has a nominated budget holder who is responsible for ensuring the scheme stays within budget, and who verifies the projected spend against their allocated schemes. The report contains schemes that were open at 1 April 2019 and also those that have been completed and closed in-year.

On 6 February 2019 Council approved proposals relating to the Capital starts programme for 2019-20 totaling £67.6m. Due to subsequent approvals and project adjustments the 2019-20 capital programme now stands at £86.9m. The Schemes contained within the Report include previously approved Capital Programmes over numerous funding years, including 2019-20.

The current budget for open schemes is approximately £646m, with the latest monitoring showing a forecast underspend over the life of the projects of £2.220m. This is different from the figures presented in Appendix 1 which is a position statement by department and shows the forecasted position for all schemes which were open as at 1 April 2019, some of which may have been subsequently closed within the year.

2.1 Adult Care – projected overspend of £0.601m

There are 48 open schemes within Adult Care with a budget value of £70.838m. Six schemes within the Department make up approximately 65% of the current departmental budget of schemes open as at the 1 April 2019. The major projects are:

Scheme Name	£m
Belper Integrated Specialist Facilities Centre	13.863
Darley Dale Specialist Community Centre	11.270
Heanor Specialist Community Care Centre	10.750
Disabled Adaptations 2019-20	5.024
Long Eaton Specialist Accommodation Unit	2.500
Buxton, Brown Edge Rd Residential Care	2.500

The Belper Centre

The Belper Centre offers accommodation for up to 40 older persons with dementia, and includes a library on site. Construction work commenced in May 2018 and is on target to complete in February 2020. The Centre is scheduled to open to residents in April 2020. There is a risk of potential overspend currently estimated to be in the region of £1.5m (not currently reflected in the monitoring) but there are initiatives in place to mitigate this and potentially utilise underspends on other projects. The success of these measures will be determined in the new financial year.

Specialist Care Centres

The Authority also has 4 specialist centres, providing care for physically frail, elderly clients with dementia. These are all operational, but the schemes cannot be closed due to the following issues:

- Darley Dale - opened in March 2016 and had issues with its roof and remediation is now complete. This scheme is due for sign off pending receipt of a signed contract from Balfour Beatty.
- Heanor - opened in August 2015 and is awaiting final bills for remediation works.
- Long Eaton - opened in August 2015 and has had floor defects which have now been addressed. The project will be closed shortly. Any surplus funding will be moved to the Belper Centre scheme.
- Buxton - opened in June 2018 and is awaiting its final certificate and invoice. All issues will be dealt with by the contractor under the terms of the construction contract for each site.

Disabled Adaptations

The Disabled Adaptations scheme relates to aids and adaptations installed in people's own homes so they may remain as independent as possible and will be fully financed from borrowing together with contributions from clients and district councils. Currently there is a predicted underspend of approximately £1.0m as a result of waiting lists for assessments prior to work commencing.

2.2 Children's Services - projected underspend - £1.164m

Children's Services currently have 697 open schemes with a budget value of £194.489m. Five schemes within the Department make up approximately 35% of the current budgets open as at 1 April 2019. The major schemes are:

Scheme Name	£m
Glossopdale School – Replacement	23.814
Tibshelf Secondary School and Autism Centre	15.657
Alfreton Park School Replacement	13.223
Aldercar Language College Replacement Phases 1 and 2	11.139
Tibshelf New Primary School	7.000

Glossopdale School

Whilst the premises at Glossopdale School are occupied, development work continues and is nearing completion. Works are continuing on site by the appointed design and build contractor, Henry Brothers Ltd. Completion of external works involving works to the playing fields and drainage have been impeded by inclement weather during the final quarter of 2019. As a result the project has suffered some delay and completion is now scheduled during the Summer of 2020.

Tibshelf Secondary School and Autism Centre

Post completion of the project at Tibshelf Secondary School and Autism Centre, a period of defect rectification was completed by the contractor and the Certificate of Completion Making Good Defects was issued on 6 November 2019. The final account has been prepared for the scheme and with no further costs which will provide savings to the budget of £0.209m.

Alfreton Park

The scheme to replace the Alfreton Park is currently in the design stage and progressing as planned. Planning approval for the project has recently been granted. The project will proceed through to final design, procurement and construction. Practical completion is scheduled for December 2021.

Aldercar Language College

Aldercar School Phase 1 and Phase 2 are now complete. The defects related to the schemes have been rectified and the Certificate of Completion of Making Good Defects was issued on 6 December 2019 for Phase 1. The defects for Phase 2 were signed off by the Architect on 17 January 2020. The final costs attributable to the schemes are currently being reconciled prior to financial closure.

Tibshelf Primary School

The feasibility for the new primary school at Tibshelf and permission have been granted to approach planning. The project will undergo consultation until 10 May 2020 with a view of preparing the pre-planning application. Following

the planning stage the project will be submitted to the Client for a decision to proceed.

The Executive Director of Childrens Services will need to obtain approval for further financing when details have been confirmed for these schemes to cover the projected funding shortfall.

2.3 Commissioning, Communities & Policy – projected underspend - £0.359m

There are 168 open schemes with a value of £66.452m, the majority of which are funded from the Corporate Maintenance budget and cover all departments (excluding schools). Four schemes within the Department make up approximately 73% of the current budgets open as at 1 April 2019. The major schemes under this portfolio are:

Scheme Name	£m
Buxton Crescent	41.263
Ashbourne Library/Civic Centre	3.029
Green Deal and Fuel Poverty grant	2.521
New Glossop Library	2.325

Buxton Crescent

The project at Buxton Crescent and Thermal Spa is nearing completion with the restored Pump Room opening as a visitor information point and venue for events in March 2019. Partial handover has taken place allowing the bedrooms to be furnished. The Ground Floor and Spa are nearing completion with the external works ongoing. The Council's involvement with the Buxton Crescent and Thermal Spa is to provide funding through enabling development in order to address the conservation deficit with the objective to secure the future conservation of a heritage asset.

Ashbourne Library / Civic Centre

The project at Ashbourne Library is now complete. A period of making good defects followed the completion of the scheme which have now been completed and a Certificate of Making Good Defects was issued on 17 October 2019. The final account has been prepared and accepted and no further costs for the works are expected, providing savings of £0.067m to the project.

Green Deal and Fuel Poverty Grant

Spending of the Green Deal and Fuel Poverty Grant has been delayed as separate external funding has been secured in its place which must be used before a specified deadline. It is anticipated that spending of the grant will resume later in the year and continue into 2021.

Glossop Library

New Glossop Library was completed on 29 March 2018. Following practical completion the defect rectification period commenced. Outstanding defects were identified, some of which remain unresolved. Typically this period can take up to 12 months from completion on site.

2.4 Economy, Transport & Environment - projected overspend - £0.096m

The budget for the 90 open schemes under this portfolio is currently £314.175m. Six schemes within the Department make up approximately 73% of the current budgets open as at 1 April 2019. The current budget for the Department represents approximately 51% of the total Capital current budget for the Authority. The major schemes under this portfolio are:-

Scheme Name	£m
Local Transport Plan 2014-2019	126.887
Markham Vale Employment Zone (MEGZ)	41.641
LED Street Lighting	32.100
Waste Project, Derby	25.062
Accelerated Highways Maintenance	22.800
A61 Growth Corridor	16.000

Local Transport Plan

Expenditure on ETE projects relates mainly to the delivery of the Highways Infrastructure and Integrated Transport Programmes. These are managed within the Council's Local Transport Plans, and funded from grants provided by the Department for Transport. All grants are fully utilised, and subject to approval, are reallocated to other infrastructure projects.

Markham Vale

The remediation of Markham Vale is approximately 80% complete and development land is approximately 60% occupied. As of March 2019 there are currently 2,236 full-time employees working on-site. On both the Markham Vale North and Markham Vale East sites, companies have moved into their brand new buildings with tranches of staff continuing to locate to their premises on-site, with several companies having expansion plans for the future. On the western side of the M1 motorway a further new development has been completed and is now available for immediate occupation. In addition to the above progress, there are landscape improvements works to complete across the whole site and planning to improve and extend infrastructure in and around Markham Vale, including repair work to Seymour Link Road, additional routes for cyclists and walkers and further plot development earthworks alongside Enterprise Way and Markham Lane. Depending upon economic demand and completing the remaining engineering works it is anticipated the site will be completed in 2022. The project is still aiming to complete in 2022 in line with the anticipated expenditure plan that has been forecast.

LED Street Lighting

Currently the residential element of the LED project is coming to a close, with both external contractors completing some final pieces of work which is anticipated to conclude by the end of March 2020. Electrical and lighting designs as well as site surveys are being undertaken on the strategic / resilient network with an anticipated completion of April 2022 in line with the budget allocation.

Waste Project

The Waste Management facility aims to divert waste from landfill by heat-treating waste to produce a gas which is then burned to create electricity. The contract, for delivery of the long term waste management including the Sinfen plant, with Resource Recovery Solutions (Derbyshire) Ltd was terminated on 2 August 2019. Contingency measures have been put in place by the councils to make sure that waste continues to be dealt with. The councils have now entered a process for determining an “estimated fair value” for the plant, taking into account all of the costs of rectifying ongoing issues at the plant, and the costs of providing the services to meet the agreed contract standards.

Accelerated Highways Maintenance

The Accelerated Highways Maintenance project was initially intended to be a three year programme of carriageway works with the predominant treatment being surface dressing. Unfortunately surface dressing is a seasonal process that can only be carried out in the summer months when conditions are favourable in accordance with national guidance recommendations. Over the last few summers there has been wet, cold and extremely warm temperatures which has delayed the surface dressing programme delivery, and caused incomplete schemes to be carried over to following years, however, all the sites in the project have now been completed.

A61 Growth Corridor

The A61 Growth Corridor consists of a number of specific projects that provide enabling infrastructure to unlock new housing and jobs and mitigate the impacts of increased travel generated by growth. The enabling works consist largely of new highway and cycling infrastructures and the Council has taken the role of ‘scheme promotor’ with support from other local neighbouring councils and private sector developers. Full Business Cases for the 21st Century Transport Corridor and Standard Gauge Travel aspects of the project were approved by the Local Enterprise Partnership (D2N2) in September and the work progresses on site. Full Business Cases for the Chesterfield Station Masterplan and The Avenue, possibly with the addition of Clowne North, are due to be considered by the funding body by the end of the financial year. The current projected underspend on the project reflects reduced costs for the 21st Century Corridor and Standard Gauge but this is likely to be reallocated to a different project.

Any funding shortfall on individual projects will need to be addressed by the Executive Director of Economy, Transport & Environment.

2.5 Top Ten Capital schemes by value

Set out in Appendix 2 is a summary of the ten largest capital schemes that the Council currently has. These represent approximately 51% in value of all the capital schemes that were open as at 1 April 2019. These schemes are currently projected to underspend by £1.013m, the main underspend of £0.779m relates to the A61 Growth Deal Project. It should be noted that the current estimated expenditure for Belper Integrated Specialist Services in 2019/20 includes expenditure previously processed and allocated to the project which has now been partially reversed, this is to reflect the true split of the costs incurred between two projects.

3 Considerations

In preparing this report the relevance of the following factors has been considered - financial, legal and human rights, human resources, equality and diversity, health, environmental, social value, transport, property and prevention of crime and disorder.

4 Key Decision

No.

5 Background Papers

Files held by the Director of Finance & ICT.

6 Call-in

Is it required that call-in be waived in respect of the decisions proposed in the report? No.

7 Officer's Recommendation

That Cabinet notes the current position on the monitoring of Capital schemes.

PETER HANDFORD
Director of Finance & ICT

Summary of Projected Capital Spend by Department

Department	Current Budget	Total spend to date (inc commitments)	Estimated spend remaining in 2019/20	Total projected spend to 31/3/2020	Planned expenditure 2020/21	Planned expenditure 2021/22	Planned expenditure 2022/23	Planned expenditure 2023 +	TOTAL Revised planned expenditure	(Under) / Over
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Adult Care & Health	70,838	59,646	7,602	67,248	1,989	1,000	0	0	70,237	(601)
Childrens Services	202,343	128,559	20,690	149,249	36,858	14,447	625	0	201,179	(1,164)
Commissioning, Communities & Policy	67,603	55,449	9,415	64,864	2,289	90	1	0	67,244	(359)
Economy, Transport & Environment	360,449	254,296	28,127	282,423	52,863	21,953	1,627	1,487	360,353	(96)
Grand Total	701,233	497,950	65,834	563,784	93,999	37,490	2,253	1,487	699,013	(2,220)

Top Ten Capital Projects according to Budget Value

	Approval Year	Current Budget	Total spend to date	Estimated spend remaining in 2019/20	Total projected spend to 31/3/2020	Planned expenditure 2020/21	Planned expenditure 2021/22	Planned expenditure 2022/23	Planned expenditure 2023+	TOTAL Revised planned expenditure	(Under) / Over
		£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
Local Transport Plan	13/19	126,887	94,717	8,304	103,021	11,250	9,941	1,188	1,487	126,887	0
Markham Employment Growth Zone	88/89	41,641	36,715	130	36,845	1,910	2,529	357	0	41,641	0
Buxton, The Crescent	06/07	41,263	38,992	2,271	41,263	0	0	0	0	41,263	0
Street Lighting LEDs	15/16	32,100	22,107	3,511	25,618	6,482	0	0	0	32,100	0
New Waste Treatment Facility Derby	07/08	25,062	2,071	4,556	6,627	11,808	6,627	0	0	25,062	0
New Glossopdale School - Ph 1 & 2	13/14	23,814	23,150	414	23,564	250	0	0	0	23,814	0
Accelerated Highways Maintenance	14/15	22,800	22,081	719	22,800	0	0	0	0	22,800	0
A61 - Growth Deal project	15/16	16,000	3,726	1,477	5,203	8,629	1,389	0	0	15,221	(779)
Tibshelf School & Autism Centre	11/12	15,657	15,448	0	15,448	0	0	0	0	15,448	(209)
Belper Integrated Specialist Facilities	12/13	13,863	11,313	(87)	11,226	1,612	1,000	0	0	13,838	(25)
TOTAL		359,087	270,320	21,295	291,615	41,941	21,486	1,545	1,487	358,074	(1,013)

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Agenda Item No 6(d)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Director of Finance & ICT

**APPROVAL OF THE 2020-2021 RISK STRATEGY
(CORPORATE SERVICES)**

1 Purpose of the Report

The report is to seek Cabinet approval to the 2020-2021 Risk Strategy and associated implementation plan.

2 Information and Analysis

Risk Management is an integral part of the Corporate Governance Framework of the Council.

The Risk Management Strategy will assist the Council in practising good corporate governance by reducing risk, stimulating performance throughout the Council, enhancing services, Value for Money and improving leadership, transparency and social accountability.

How successful the Council is in dealing with the risks it faces can have a major impact on the achievement of our key objectives and service delivery to the community. This Strategy will help support the corporate agenda and underpin the key Council Plan objectives.

The Risk Strategy has undergone a significant overhaul to enable the Derbyshire's transition to an enterprising model. As risk changes through the evolution of the Council Plan, it is vital to ensure that the risk model is fit for purpose and in line with these altering opportunities and hazards. This will enable the Council to be aware of the risks and opportunities that are presented within a clear framework of assessment and identification.

As the Council is committed to adopting best practice in its management of risk, the Strategy is designed to ensure risk is of an acceptable and tolerable level in order to maximise opportunities. The Strategy will also assist the Council to demonstrate it has full consideration of the implications of risk and the mitigations required to ensure the delivery and achievement of the Council's outcomes, strategic aims and priorities.

The Council will adopt an open approach to risk and strive to be risk aware. Being prepared to accept risk at a tolerable level that can be managed and mitigated whilst ensuring that the most vulnerable are protected and there is increased collaboration with our partners, communities and residents.

The implementation plan sitting behind the strategy is ambitious and seeks to raise the Council's CIPFA benchmarking ranking from mainly at Level 1 "Engaging" to Level 4, "Embedded and Working" by 2022 which is detailed over pages 20 and 21 of the report.

3 Considerations

In preparing this report the relevance of the following factors has been considered: financial, legal, prevention of crime and disorder, equality and diversity, human resources, environmental, health, property, transport and social value considerations.

4 Background Papers

No

5 Key Decision

No

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

No

7 Officer's Recommendation

That the Risk Strategy 2020-2021 and implementation plan is approved and adopted.

PETER HANDFORD

Director of Finance & ICT



Derbyshire County Council

Risk Management Strategy & Implementation Plan

2020-2021

Version Control

Version	Date	Comments	Author
1.0	March 2018	Created initial Draft Document outline for review	Jane Morgan
1.1	August 2018	Review and amendments	Jane Morgan
1.2	September 2018	Review and amendments	Jane Morgan
1.3	October 2018	Review and amendments	Jane Morgan
1.4	October 2018	Review and amendments	Jane Morgan
1.5	December 2018	Review and amendments	Jane Morgan
1.6	December 2018	Review and amendments	Chris Woodhouse
1.7	January 2019	Review and amendments	Jane Morgan
1.8	February 2019	Review and amendments	Jane Morgan
1.9	February 2019	Review and amendments	Jane Morgan
2	February 2019	Strategy agreed at CMT 2019 02 19	Jane Morgan
2.1	July 2019	Review and amendments	Jane Morgan
2.2	July 2019	Review and amendments	Jane Morgan
2.3	August 2019	Review and amendments	Jane Morgan
2.4	October 2019	Minor amendments. Incorporated Implementation Plan	Jane Morgan
2.5	November 2019	Minor Amendments	Jane Morgan
2.5	19 th November 2019	Strategy and Implementation plan agreed at CMT	Jane Morgan
2.6	January 2020	Minor amendments and inclusion of role of Governance Committee	Jane Morgan
2.7	February 2020	Final for Cabinet	Jane Morgan
2.8	March 2020	Minor amendments following Cabinet briefing	Jane Morgan

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1. Introduction

The Council Plan 2020-2021 is clear in its ambitions for Derbyshire County Council to be efficient and high performing, delivering value for money services as well as becoming an Enterprising Council transforming its traditional service delivery models.

Fundamental to the Strategy is the identification, evaluation and treatment of risk, which together with a framework for continuous improvement to enable the Council to transition to an Enterprising model.

New service models will necessitate closer working arrangements with new and existing partners including public and private sector organisations, the voluntary and community sector in providing cost effective public services.

As risk changes through the evolution of the Council Plan, it is vital to ensure that the risk model is fit for purpose and in line with these altering opportunities and hazards. Therefore, the Council will adopt the ISO 31000 2018 Enterprise Risk Management Principles which will allow the Council to develop as an Enterprising Council.

This Strategy will underpin the Council's objectives by assisting Departments and Councillors to identify existing and changing risks as well as opportunities presented to enable the Council to make sound business decisions based on a robust framework.

The right risk strategy will:



2. Purpose

As set out in the “Working for Derbyshire” Council Plan the Council has clear ambitions for an efficient high performing Enterprising Council delivering Value for Money (VfM) services. This will result in a challenging and ambitious programme of transformation and change over the medium term 2020-2021. Fundamental to delivering these ambitions is the way the Council implements sound management of risks and opportunities.

The Council is committed to adopting best practice in its management of risk to ensure risk is of an acceptable and tolerable level in order to maximise opportunities and demonstrate it has full consideration of the implications of risk to the delivery and achievement of the Council’s outcomes, strategic aims and priorities.

The Council is clear that the responsibility for managing risk belongs to everyone across the Council and that there needs to be a good understanding of the nature of risk by all stakeholders. This is fundamental in making informed decisions and is becoming increasingly important as the Council pursues innovative ways of working in carrying out its service delivery.

The Council will adopt an open approach to risk and strive to be risk aware - being prepared to accept risk at a tolerable level that can be managed and mitigated whilst ensuring that the most vulnerable are protected and there is increased collaboration with our partners, communities and residents.

This Strategy and its objectives are inherent to good governance practices and they have been endorsed by the Council's Cabinet and Corporate Management Team (CMT). The content of this Strategy will be reviewed on an annual basis with any significant changes recommended to Cabinet for approval.

3. Risk Management Policy Statement

The Council is committed to a proactive approach to risk management which is integrated into the policy framework, planning and budgeting cycles.

The Council recognises the value of maintaining an effective risk management culture which will seek to identify, analyse, manage and control the risks it faces.

The Council acknowledges that risk cannot be totally eliminated and may sometimes need to be embraced as part of an innovative approach to problem solving.

The Council is, within the above context, committed to the management of risk in order to:

- Deliver the ambition of an Enterprising Council.
- Ensure that statutory obligations and policy objectives are met;
- Prioritise areas for improvement in service provision and encourage meeting or exceeding customer and stakeholder expectations;
- Safeguard its employees, clients or service users, members, pupils, tenants and all other stakeholders to whom the Council has a duty of care;
- Protect its property including buildings, equipment, vehicles, information and all other assets and resources;
- Identify and manage potential liabilities;
- Maintain effective control of public funds and efficient deployment and use of resources achieving VfM;
- Preserve and promote the reputation of the Council;
- Support the quality of the environment;
- Learn from previous threats, opportunities, successes and failures to inform future management of risks.

4. Risk Appetite Statement

This statement details the level of risk related to our corporate objectives and pledges that we are willing to accept within our capacity.

We are a risk aware Council which understands the importance of risk taking and accepts that there is an element of risk in most of the activities we undertake. The level of risk we are willing to take is intrinsically linked to each of our Council pledges and, for this reason, it has been accepted that our risk appetite should not be highly prescriptive.

Our risk appetite should depend on which of our corporate objectives would be affected by the risk and the impact the risk would have on that objective should it materialise. This flexible approach is seen as the best way to allow us to make informed decisions in respect of each risk situation.

To assist in the decision making process, and to help with prioritisation, we have agreed to apply a general level of risk retention (see below). However, this does not mean that in every case, risks falling below the line of retention require no action and vice versa.



5. Definition of Risk

Risk is the “effect of uncertainty on objectives” and an effect is a positive or negative deviation from what is expected.

Therefore, the Council defines risk as:

Any potential development or occurrence which, if it came to fruition, would jeopardise the Council’s ability to:

- achieve its corporate improvement priorities
- provide services as planned
- fulfil its statutory duties, including the duty to make arrangements to secure continuous improvement and ensure financial stability.

6. ISO 31000 2018 Enterprise Risk Management Principles

The purpose of risk management is the creation and protection of value. It improves performance, encourages innovation and supports the achievement of objectives.

The factors underpinning ISO31000 2018 is that Risk Management should be:

- Integrated
- Structured and comprehensive
- Customised
- Inclusive
- Dynamic
- Based on the best available information
- Human and cultural factors
- Continual improvement



7. Strategy Objectives and Outcomes

Risk Management and Corporate Governance

Risk Management is an integral part of the Corporate Governance Framework at the Council.

The Risk Management Strategy will assist the Council in practising good corporate governance by reducing risk, stimulating performance throughout the Council, enhancing services, VfM and improving leadership, transparency and social accountability.

How successful the Council is in dealing with the risks it faces can have a major impact on the achievement of our key objectives and service delivery to the community. This Strategy will help support the corporate agenda and underpin the key Council Plan objectives.

Further information on the Council Plan can be found [here](#).

Risk Management Objectives

The objectives of the Council's Risk Management Strategy are to:

- Integrate of Risk Management into the culture of the Council through regular reporting mechanisms to Audit Committee; CMT and Cabinet
- Adoption of the Principles of Enterprise Risk Management ISO31000:2018
- Introduce a robust framework and procedures for the identification, analysis, assessment and management of risk and the reporting and recording of events, based on best practice
- Incorporate a standard approach to the evaluation of risk into strategic and local partnership working; as well as corporate, service and business planning processes business plans; procurements; service re-design
- Provide key risk management performance information for management teams
- Provide a comprehensive Risk Management training and awareness programme
- Minimisation of injury, damage, loss and inconvenience to residents, staff, service users, assets etc. arising from or connected with the delivery of Council services
- Minimisation of the total cost of risk
- Ability to respond to emergency situations and manage business interruptions so as to minimise disruption of services aligning to the Council's Business Continuity Plan
- Ensure critical services are identified and prepared for all eventualities

Risk Management Aims

The aims of the Risk Management Strategy are to:

- Improve the quality and reliability of services, leading to more satisfied residents, fewer complaints and maintaining the reputation of the Council
- Support risk-informed decision making at all levels and encouraging innovation, whilst taking proper account of threats and opportunities
- Ensure management of risk is embedded as part of the Council's culture and the commitment communicated throughout the organisation
- Enable the Council to anticipate and respond to changing social, environmental, legislative, political, economic, technological, competitive and residents requirements, and manage change effectively
- Raise awareness of the need for the management of risks by all those connected with the delivery of services (including partners, delivery agents etc.)
- Provide and use a robust and systematic framework for identifying, managing, responding to and monitoring risk
- Provide assurance, through risk reporting, of a robust management system for responding to risk
- Manage risk in accordance with best practice and ensure compliance with statutory requirements

8. Risk Management Methodology

Risk Scoring

It is important that the Council as a whole uses the same methodology to calculate risk to ensure that Derbyshire County Council has an accurate and consistent overview of the risks that are posed.

The risks are scored using two criteria scales that are then multiplied together to produce a total score by which the risk is assessed as to the impact to the Department and then to the Council.

The two criteria used are the Likelihood of an event occurring and the Impact that event could have.

Likelihood Scale

The scale the Council will adopt for assessing likelihood is as follows:

Likelihood Assessment Criteria	
Scale	Description
5	ALMOST CERTAIN: The event is expected to occur or occurs regularly (monthly, quarterly or biannual)
4	PROBABLE: The event will probably occur (annually)
3	POSSIBLE: The event may occur (1 incident in 2 years)
2	UNLIKELY: The event could occur (1 incident in 5 years)
1	RARE: The event may occur in certain extreme circumstances (1 Incident in 10 years or above)

Impact Risk Scale

The Corporate scale for assessing risk is shown in the following page with an example description for each score for each area of risk from 1-5 with 1 being the least impact and 5 being the greatest to the Council.

When assessing each risk, the category that scores the highest impact should be used if a number of categories could be used.

Corporate Impact Assessment Criteria of Risk Category

Scale	Scale Description	Risk Categories								
		Financial	Reputational	Physical Injury/Health and Safety	Environmental Damage	Service/Operational Disruption/Key Targets/Objectives	Statutory Duties/legal Implications	Partnership Implications	Information Governance	Stakeholder Implications
5	Very High	>£25,000,000	Lasting or permanent brand damage resulting from adverse comments in national press and media. Members/Officers forced to resign	Death or severe life-changing injuries	Major national or international	Severe disruption/loss of service more than 7 days	Multiple Litigation	Complete failure / breakdown of partnership	Significant breach, extensive national press, ICO fines, loss of ISO 27001 certification	Stakeholders would be unable to pursue their rights and entitlement and may face life threatening consequences
4	High	£10,000,000 to <£25,000,000	Temporary brand damage from coverage in national press/media	Extensive or multiple injuries/ Incidents reportable to HSE	Major local impact	Disruption/Loss of service less than 7 days	Litigation	Significant impact on partnership or most of expected benefits fail	Larger breach, no sensitive data loss local press coverage Or Minor breach, sensitive data loss local press coverage	Stakeholders would experience considerable difficulty in pursuing rights and entitlements
3	Medium	£5,000,000 to <£10,000,000	Extensive coverage in regional press/radio/TV/social media	Serious injuries/ incidents reportable to HSE	Moderate locally	Disruption/Loss of service less than 48 hours	Ombudsman	Adverse effect on partnering arrangements	Larger breach, no sensitive data loss and internally controlled Or Minor breach, sensitive data loss internally controlled	Some minor effects on the ability of stakeholders to pursue rights and entitlements, eg other sources or avenues would not be available to stakeholders
2	Low	£2,500,000 to <£5,000,000	Minor adverse comments in regional press/social media	Minor (i.e. first aid treatment)/ No time lost from work	Minor locally	Internal disruption only, no loss of service	Individual Claims	Minimal Impact on Partnership	Individual breach no loss of sensitive data	Minimal impact without needing to look at other sources or avenues
1	Negligible	<£2,500,000	Minimal adverse comments with minimal press/social media	None	None/ Insignificant	No loss of service	No impact	No Impact	No impact	No impact

Risk Retention Threshold

The following information details how we will apply our risk appetite in practice. Below is the risk scoring matrix DCC will use to determine the risk score from project, operational and strategic risks once the Likelihood and Impact have been scored.

Risk Score Matrix (Impact x Likelihood)						
Likelihood	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
	Impact					

Identifying and ranking risks is important but the key element thereafter is to determine the strategy for managing them. The following tables provides guidance on the level of management intervention that is likely to be necessary or appropriate.

Colour	Score	Action	Risk Control
Green	Low	Review Periodically	Tolerate/Accept or Treat and Control
Yellow	Moderate	Mitigate, Control and Review Frequently	Tolerate/Accept or Treat and Control
Amber	High	Seek cost effective management action, control, evaluation or improvements with continued proactive monitoring	Treat, Tolerate or Transfer
Red	Extreme	Significant management action, control, evaluation or improvements with continued proactive monitoring	All options can and should be considered

It does not follow that a high scoring operational risk should be automatically included in the Departmental or Strategic Risk Register. A view should be taken as to whether the operational risk has a significant impact upon the strategic aims and objectives of the Council.

Strategic Risk Register Decision Matrix		
1 to 4	Green	No referral
5 to 9	Yellow	No referral
10 to 12	Amber	Referral to DRR for possible inclusion
15 to 25	Red	Referral to DRR/SRR for possible inclusion

Risk Control Definitions	
Take the Opportunity	Accept the risk and turn it into a positive opportunity or benefit
Treat/Control	Actions required to mitigate the likelihood and/or impact
Tolerate/Accept	No action - risk within tolerance or accept - Understand and live with the risk.
Terminate	Cease or avoid the risk
Transfer	Transfer to potential third party or bond or insurance etc

9. Risk Management Culture

In order to ensure that risk management is adopted throughout the Council to facilitate the enterprising approach that the Council wishes to take, there needs to be a strong risk management culture from the top to the bottom to drive this change.

The Role of the Leader and Members

To endorse Council's Risk Management Policy and Risk Management Framework.

Through the Audit Committee, the Council Leader and Members also have a responsibility to:

- Oversee the effective management of risk by officers.
- Monitor the Council's risk management strategy and performance.
- Review regular reports from the Strategic Risk Management Group (SRMG) on key issues affecting the Council.
- Review and approve the Annual Risk Management Report submitted by the SRMG.

The Role of Audit Committee

The Audit Committee has Governance of the risk management process. Their role is to:

- Approve the Framework for Risk Management
- Review Strategic Risks and check on the progress of risks
- Monitor adequacy of the risk management arrangements and directly raise queries with Strategic and Departmental risk owners
- Gain assurance of objectives being met

The Role of Governance Committee

The Governance Committee has oversight of the continuous improvement aspect of Risk Management. Their role is to:

- Review significant adverse risks and issues to ensure lessons are learnt and implemented across Departments
- Post-implementation review significant initiatives and service changes to ensure that both positive and adverse risks and issues arising are learnt from and implemented as best practice across Departments.

The Role of the CMT Risk Champion

Is to:

- Lead CMT on risk management to ensure that risk management principles are being adopted and adhered to throughout all Departments
To have an overview of the Strategic Risk Register; ensuring Strategic risks are being appropriately managed and identified across all Departments

The Role of CMT

There will need to be a visible commitment from CMT by:

- Modelling their behaviors and working to deliver the attributes of level 5, “Driving” of the CIPFA benchmarking model
- Leading through actions. - embracing risk based decision making aligned with strategic objectives
- Having a clear understanding of the risks to the business and any implications on the success of the Council Plan
- Ensuring assurance on the status of key risks and controls sought and followed through on a strategic and directorate level
- Embedding of the policy and framework for managing risk

The Role of Strategic Risk Management Group (SRMG)

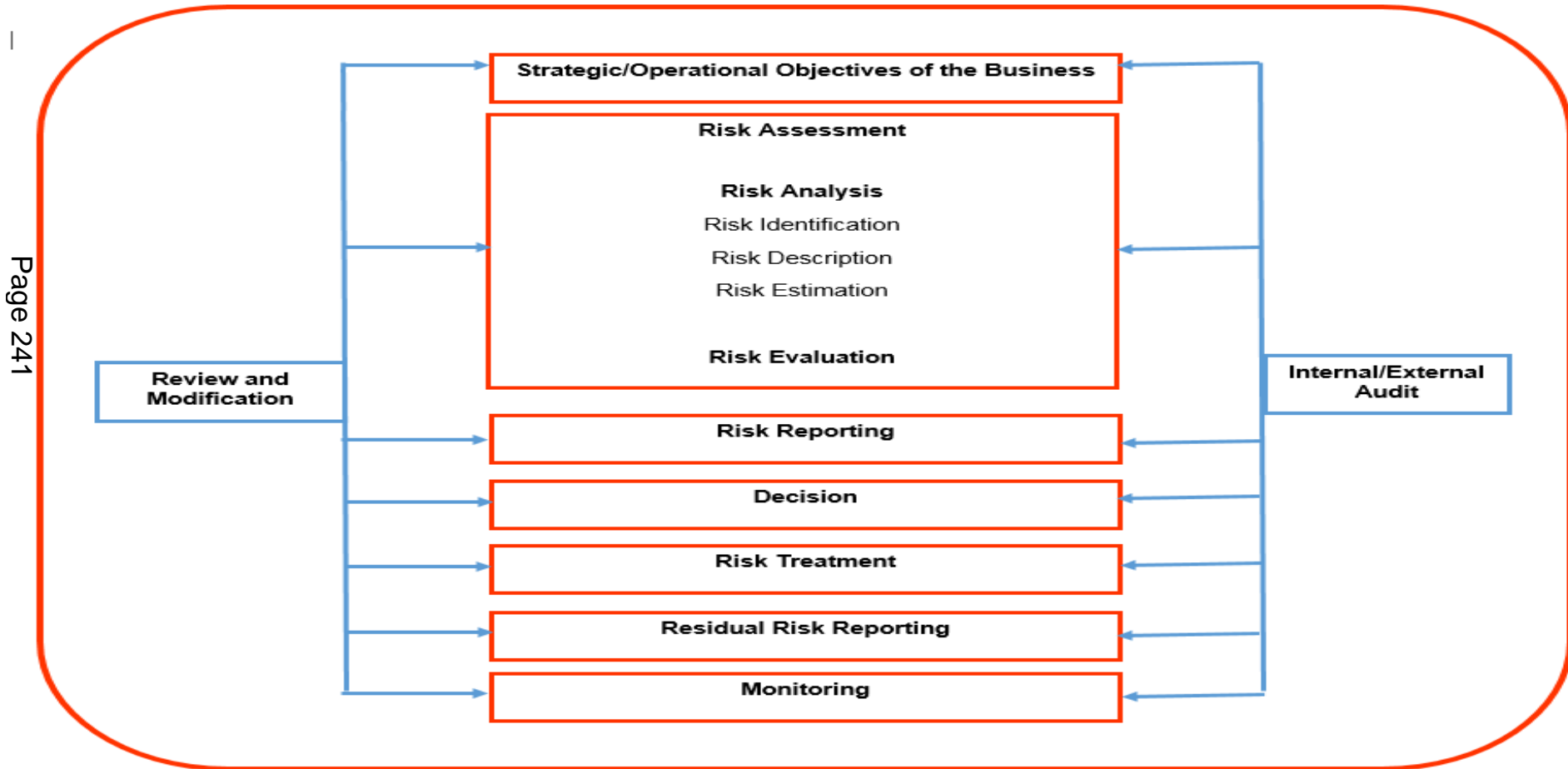
- Act as departmental risk ‘champions’, ensuring that risk management is given an appropriate profile and sufficient focus
- Be responsible for the completion, progressive action and monitoring of their Departmental Risk Register
- Meet regularly, and ensure that embedding risk management remains on the corporate agenda
- Play a lead role in the identification and monitoring of Strategic risk;
- Consider “very severe” and “serious” risks identified by projects, functional risk groups and department groups
- Escalate new and emerging risks that may have a strategic impact to the Risk Manager and participate in ad hoc meetings of the Group to discuss such risks as necessary
- Carry out duties as required by the Group’s terms of reference

All Employees

- To manage risk effectively in their job and report hazards, risks or opportunities to their Manager.

10. The Risk Management Framework

The Council has closely followed the ISO31000 Standard to tackle Risk management Procedures, framework, guiding controls and processes with Plan, Do, Check, Act, Review at the core.



11. Roles and Responsibilities

The key roles and responsibilities for risk management are set out below:

Who	Key Roles & Responsibilities	Report Type	By Whom	Frequency
Council	Receive and act upon: <ul style="list-style-type: none"> • Reports from Cabinet, Audit Committee and Head of Paid Service. • Reports, recommendations and advice from Audit Committee. 	<ul style="list-style-type: none"> • E.g. Annual Governance Statement, Policy, Strategy and Framework and other reports. 	Cabinet & Audit Committee	Annually
Cabinet	<ul style="list-style-type: none"> • Agree the Risk Management Strategy (RMS) and receive reports on risk management. • Hold the political responsibility for the RMS with each individual portfolio. • Assign responsibility for risk to the Cabinet Member for Corporate Services 	<ul style="list-style-type: none"> • Policy & Strategy and other relevant reports. 	Audit Committee and Corporate Leadership Team	Annually or as required.
Audit Committee	<ul style="list-style-type: none"> • Oversee and challenge assurance and the RMS arrangements. 	<ul style="list-style-type: none"> • Review of Policy, Strategy & Framework. • Receive updates on the Strategic/Corporate R&O's and action plans. • Receive assurance on effectiveness of ROM. 	Director of Finance and ICT	<ul style="list-style-type: none"> • Annually • Bi Annual • Annually
Executive Management Team	<ul style="list-style-type: none"> • Strategic leadership Group for RMS. • Oversee the RMS Policy and Strategy. • Responsible for effectiveness of Risk & Opportunity (R&O) and assurance arrangements and any management or mitigation. • Quarterly monitoring of Strategic/Corporate R&Os and associated action plans. • Identify a lead on RMS who chairs the Strategic Risk Management Group 	<ul style="list-style-type: none"> • Review of Policy & Strategy. • Reviews of Strategic/Corporate R&Os and action plans. • Review/Benchmarking of RMS. 	Director of Finance and ICT	<ul style="list-style-type: none"> • Annually • Quarterly • Annually
Corporate Risk Management	<ul style="list-style-type: none"> • Establish the Risk and OM Policy, Strategy and Framework. • Stewardship of the Strategic/Corporate R&O Registers. • Review/Benchmarking of RMS. • Establish Service Level RMS. • Provide consultancy, advice and training on RMS. 	<ul style="list-style-type: none"> • Review of RMS Policy, Strategy & Framework. • Reviews of Strategic/Corporate R&Os and action plans. • Review/Benchmarking of RMS. • Quarterly RM update to CMT • Quarterly RM update to Audit Committee • Report to Cabinet Members / Portfolio Holders on high level R&Os facing the Directorate or Council. 	Risk and Insurance Manager	<ul style="list-style-type: none"> • Annually • Quarterly • Annually
Strategic Risk Management Group	<ul style="list-style-type: none"> • Identification and monitoring of Strategic/Corporate R&Os for the Directorate or Council. • Escalation as appropriate of Strategic/Corporate R&O's facing the directorate or Council (e.g. programme, partnership, project and service R&Os) 	<ul style="list-style-type: none"> • Reviews of Strategic/Corporate R&Os and action plans to CMT. 	Strategic Directors	Quarterly or as required.

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Directors, Assistant Directors &/or Risk Champions	<ul style="list-style-type: none"> • Identification and monitoring of Strategic/Corporate and any other key R&Os facing the department. • Escalation as appropriate of Strategic/Corporate R&O's to SMT. 	<ul style="list-style-type: none"> • Review of R&Os and R&O Registers as a standing agenda at SMT/DMT meetings. • SMT/DMT to receive and approve updates to Strategic/Corporate R&O's and action plans. 	Directors, Assistant Directors &/or Risk Champions	Quarterly or as required by Director(s) or SMT
Managers & Risk Champions	<ul style="list-style-type: none"> • Identification, management and review of R&Os and R&O registers within their Service or area of responsibility. • Monitoring and escalation as appropriate of R&O's to either Director/Assistant Director or relevant SMT/DMT. 	<ul style="list-style-type: none"> • Review & maintenance of R&Os and R&O registers as standing agenda item at Service meetings. • Review of Service R&O's and action plans to DMT and SMT as required. • Report to DMT on identified R&O's that require consideration for escalation to the Strategic/Corporate R&O Register. 	Directors, Assistant Directors &/or Risk Champions	Quarterly or as required by Director(s) or DMT/SMT
Programme & Partnership Boards or Project Managers	<ul style="list-style-type: none"> • Responsible for the identification, management and monitoring of R&O within their given areas. 	<ul style="list-style-type: none"> • Report on the management of R&Os and escalation of high level R&O's as required or necessary. 	Programme Boards, Partnership Boards and Project Managers	Quarterly or as requested by Strategic Directors or Programme Boards/Leads
Employees	<ul style="list-style-type: none"> • To manage risk effectively in their job and report hazards, risks or opportunities to their Manager. 	<ul style="list-style-type: none"> • Report incidents, risks and opportunities following the procedures laid down in corporate policies. 	All Employees	As necessary or required.

12. Performance Management

Alignment to a risk maturity model

The Council will align itself to the recognised benchmarking model issued by CIPFA and ALARM (Association of Local Authority Risk Managers). The Benchmarking Club will be used to formally benchmark on a biennial basis against other Local Authorities. In the interim years the tool will be used on a self-assessment basis when no benchmarking membership will be sought.

Success Criteria

An acceptable level of success under the ALARM Benchmarking model would be the “Happening” Category and attainment of this level in each category will be seen as an absolute minimum. However, the Council will strive to achieve the ‘Embedded and Working’ rating for all areas in the ALARM/CIPFA Benchmarking Club which would place it in the top tier of Local Authorities in terms of Risk Management success.

CIPFA BENCHMARKING							
	Leadership & Management	Strategy & Policy	People	Partnership, Shared Risk & Resources Processes	Processes	Risk Handling & Assurance	Outcomes & Delivery
Level 5: Driving	Senior management uses consideration of risk to drive excellence through the business, with strong support and reward for well-managed risk-taking.	Risk management capability in policy and strategy making helps to drive organisational excellence.	All staff are empowered to be responsible for risk management. The organisation has a good record of innovation and well-managed risk-taking. Absence of a blame culture.	Clear evidence of improved partnership delivery through risk management and that key risks to the community are being effectively managed.	Management of risk and uncertainty is well-integrated with all key business processes and shown to be a key driver in business success.	Clear evidence that risks are being effectively managed throughout the organisation. Considered risk-taking part of the organisational culture.	Risk management arrangements clearly acting as a driver for change and linked to plans and planning cycles.
Level 4: Embedded & working	Risk management is championed by the CEO. The Board and senior managers challenge the risks to the organisation and understand their risk appetite. Management leads risk management by example.	Risk handling is an inherent feature of policy and strategy making processes. Risk management system is benchmarked and best practices identified and shared across the organisation.	People are encouraged and supported to take managed risks through innovation. Regular training and clear communication of risk is in place.	Sound governance arrangements are established. Partners support one another's risk management capability and capacity.	A framework of risk management processes in place and used to support service delivery. Robust business continuity management system in place.	Evidence that risk management is being effective and useful for the organisation and producing clear benefits. Evidence of innovative risk-taking.	Very clear evidence of very significantly improved delivery of all relevant outcomes and showing positive and sustained improvement.
Level 3: Working	Senior managers take the lead to apply risk management thoroughly across the organisation. They own and manage a register of key strategic risks and set the risk appetite.	Risk management principles are reflected in the organisation's strategies and policies. Risk framework is reviewed, developed, refined and communicated.	A core group of people have the skills and knowledge to manage risk effectively and implement the risk management framework. Staff are aware of key risks and responsibilities.	Risk with partners and suppliers is well managed across organisational boundaries. Appropriate resources in place to manage risk.	Risk management processes used to support key business processes. Early warning indicators and lessons learned are reported. Critical services supported through continuity plans.	Clear evidence that risk management is being effective in all key areas. Capability assessed within a formal assurance framework and against best practice standards.	Clear evidence that risk management is supporting delivery of key outcomes in all relevant areas.

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<p>Level 2: Happening</p>	<p>Board/ Councillors and senior managers take the lead to ensure that approaches for addressing risk are being developed and implemented.</p>	<p>Risk management strategy and policies drawn up, communicated and being acted upon.</p> <p>Roles and responsibilities established, key stakeholders engaged.</p>	<p>Suitable guidance is available and a training programme has been implemented to develop risk capability.</p>	<p>Approaches for addressing risk with partners are being developed and implemented.</p> <p>Appropriate tools are developed and resources for risk identified.</p>	<p>Risk management processes are being implemented and reported upon in key areas.</p> <p>Service continuity arrangements are being developed in key service areas.</p>	<p>Some evidence that risk management is being effective.</p> <p>Performance monitoring and assurance reporting being developed.</p>	<p>Limited evidence that risk management is being effective in, at least, the most relevant areas.</p>
<p>Level 1: Engaging</p>	<p>Senior management are aware of the need to manage uncertainty and risk and have made resources available to improve.</p>	<p>The need for a risk strategy and risk-related policies has been identified and accepted.</p> <p>The risk management system may be undocumented with few formal processes present.</p>	<p>Key people are aware of the need to understand risk principles and increase capacity and competency in risk management techniques through appropriate training.</p>	<p>Key people are aware of areas of potential risk in partnerships and the need to allocate resources to manage risk.</p>	<p>Some stand-alone risk processes have been identified and are being developed.</p> <p>The need for service continuity arrangements has been identified.</p>	<p>No clear evidence that risk management is being effective.</p>	<p>No clear evidence of improved outcomes.</p>

Risk Management Performance Indicators

1. The Council demonstrates good practice by working towards and achieving its target level of RM maturity “embedded and working”.
2. Robust risk and opportunity considerations are included in all reports to Cabinet and CMT
3. CMT reviews the Strategic Risk Register on at least a quarterly basis or as required.
4. Executive Directors attend Audit Committee to review their Departmental Risk Register at least once a year or as required.
5. Cabinet reviews and challenges the Strategic Risk Register on at least an annual basis or as required.
6. All Service Plans and business plans (at all levels) include a Risk Register, developed in accordance with the RM toolkit
7. All Senior Management Teams review their risk registers on a quarterly basis in conjunction with a member of the Risk Management team.
8. A Risk Management Framework, consistent with the guidance set out in the Partnership RM Toolkit (and including a current risk register), is in place for all significant partnerships
9. A Risk Management Framework is in place for all significant procurements or commissioning
10. Risk Management reports show a stable, or ideally downward trend, in reportable incidents (e.g. insurance claims, RIDDOR/Health & Safety incidents, information security incidents) and major business disruptions; subject to internal or external influences.
11. All Operational (Departmental) and Strategic risk registers to be on a ‘live’ risk management system.
12. All new recruits to take an online role relevant Risk Management Module as part of an induction programme. Developed in conjunction with departments and Learning and Development.
13. All employees to take a biennial online relevant Risk Management Module Developed in conjunction with departments and Learning and Development
14. Risk Management training to be incorporated into Member’s training programme
15. A Corporate wide framework for lessons learnt and best practice adopted

13. Implementation Plan

Objectives	Plan	Timescale
All Senior Management Teams review their risk registers on a quarterly basis in conjunction with a member of the Risk Management team.	The Risk Officer or Risk Manager to meet with SMT's on a quarterly basis to review their departmental risk register in depth	January 2020
Robust risk and opportunity considerations are included in all reports to Cabinet and CMT.	To agree a methodology to ensure all significant risks and opportunities are adequately appraised and defined to allow risk aware decision making	January 2020
CMT reviews the Strategic Risk Register on at least a quarterly basis or as required.	The Risk Manager to attend CMT on a regular quarterly basis in order to report on and review the Strategic Risk Register	April 2020
Cabinet reviews and challenges the Strategic Risk Register on at least an annual basis or as required.	The Risk Manager to attend Cabinet on an annual basis in order to report on and review the Strategic Risk Register	April 2020
Executive Directors attend Audit Committee to review their Departmental Risk Register at least once a year or as required.	Each Executive Director to attend one Audit Committee meetings agreed in advance per annum	April 2020
Risk Management reports show a stable, or ideally downward trend, in reportable incidents (eg insurance claims, RIDDOR/Health & Safety incidents, information security incidents) and major business disruptions; subject to internal or external influences.	Statistics to be reported on an annual basis to CMT and Cabinet	April 2020
All Operational (Departmental) and Strategic risk registers to be on a 'live' risk management system.	The Risk and Insurance Manager to devise or procure a system that will enable Strategic and Departmental risks to be recorded on a system that will provide up to date M.I. on the status of all risks and how they link with the Council Plan 2019-21	April 2020

All new recruits to take an online role relevant Risk Management Module as part of an induction programme. Developed in conjunction with departments and Learning and Development	The Risk and Insurance Manager to devise a relevant training module to be incorporated into the induction programme	May 2020
A Risk Management Framework, consistent with the guidance set out in the Partnership RM Toolkit (and including a current risk register), is in place for all significant partnerships.	The Risk and Insurance Manager to review the Partnership Risk Management Toolkit to ensure that it is fit for purpose and to roll it out for use with Partnerships.	June 2020
All employees to take a biennial online relevant Risk Management Module Developed in conjunction with departments and Learning and Development	The Risk and Insurance Manager to devise a relevant training module to be incorporated into the learning and development programme	From August 2020
A Risk Management Framework is in place for all significant procurements or commissioning	The Risk and Insurance Manager to work in conjunction with Procurement team to create a fit for purpose Risk Management Toolkit and to roll it out for use with all significant procurements or commissioning.	October 2020
Risk Management training to be incorporated into Member's training programme to ensure that all Members have the tools to evaluate risks that are presented in business cases and Service Plans	The Risk and Insurance Manager to devise a relevant training module to be incorporated into the Members suite of training	October 2020
Robust risk and opportunity considerations are included in all Service Plans.	To agree a methodology; template and training with Governance; Legal; Policy and Departments to ensure all significant risks and opportunities are adequately appraised and defined to allow risk aware decision making	April 2021
Framework for lessons learnt and good practice implemented	To agree a methodology with Governance to ensure the Council has a robust framework to identify and disseminate lessons learnt and opportunities.	September 2021

<p>The Council demonstrates good practice by working towards and achieving its target level of RM maturity “embedded and working”.</p>	<p>To take part in ALARM/CIPFA’s benchmarking exercise on a biennial basis and for the results to show an upward trend</p>	<p>Achieve “embedded and working status” by 2022</p>
<p>The Council demonstrates good practice by working towards and achieving its target level of RM maturity “driving”.</p>	<p>To take part in ALARM/CIPFA’s benchmarking exercise on a biennial basis and for the results to show an upward trend</p>	<p>Achieve “driving” by 2024</p>

14. Resources and funding

The Strategic Risk Register will inform the Annual Budget Setting Process and Long Term Financial Plan. Operational Risk Registers should also be considered as an integral part of the Operational financial and service planning process.

The Council will determine annually the budget to support risk management capital and revenue expenditure.

Requests from service departments and establishments, for financial support for risk management measures will be considered in accordance with Financial Regulations. Departments and establishments will be expected to evidence their commitment to the measures they are proposing through contributions from their individual capital and/or revenue budgets.

15. External Influences

A number of external influences may impact on this Strategy such as the Commissioning, ICT, Business Continuity, Health and Safety and Procurement Strategy. Once these have been corporately adopted, if any of these do impact on the Risk Management Strategy these will be taken into consideration as part of the annual strategy review process.

It is envisaged that The Risk Strategy will form the overarching corporate approach to risk and will reflect the input and engagement that the Risk Management and Insurance Team receives from departments.

16. Strategy Consultation

This strategy was developed through consultation with stakeholder groups across Council service areas together with market research and taking best practice from other Local Authorities.

17. Glossary

Term	Definition
Operational Risk	are major risks that affect an organisation's ability to execute its strategic plan
CMT	Corporate Management Team
DRR	Departmental Risk Register
ISO 31000 2018	means a family of standards relating to risk management codified by the International Organisation for Standardization.
Operational Risk	are major risks that affect an organisation's ability to execute its strategic plan
RIDDOR	means the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013. These Regulations require employers, the self-employed and those in control of premises to report specified workplace incidents.
RM	Risk Management
RMS	Risk Management Strategy
R&O	Risks and Opportunities
SRR	Strategic Risk Register
SMT	Departmental Senior Management Team
Strategic Risk	are risks that affect or are created by an organisation's business strategy and strategic objectives

Agenda Item No 6(e)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Director of Finance & ICT

**ADVANCED PAYMENT OF PENSION CONTRIBUTIONS PROPOSAL
(STRATEGIC LEADERSHIP, CULTURE AND TOURISM)**

1 Purpose of the Report

To seek approval for the Council to make a lump sum payment on 30 April 2020, to the Derbyshire Pension Fund, of its Local Government Pension Scheme employer contributions, in full, for the period 1 April 2020 to 31 March 2023.

2 Information and Analysis

Background

The Council is required to make £65.333m of savings over the period 2020-21 to 2024-25. To ease the profile over which these savings have to be achieved and to contribute to the cost of one-off pressures it is proposed to achieve one-off savings in the period 2020-21 to 2022-23 by paying all of the Council's employer contributions to the Derbyshire Pension Fund ("the Fund") in advance, on 30 April 2020. A number of other local authorities have made similar arrangements with their pension providers in recent years.

The Council commissioned Hymans Robertson LLP, in its capacity as Fund Actuary, to prepare a report to include an estimate of the lump sum payment that would be required to pay its contributions in advance. This report was received on 17 January 2020.

Prior to any prepayments, the Council's certified contribution rate payable will be 15.5% of the cost of payroll, plus an additional monetary element of £15.536m. In 2018-19 the Council's payroll was £254.496m.

In preparing its estimate, the Actuary has made the following assumptions:

- The cost of payroll will increase by 3% each year over the period to 31 March 2023.
- The Fund is likely to earn investment returns of 3.6% each year.
- The lump sum prepayment would be made during March 2020 (i.e. 0.5, 1.5 and 2.5 years earlier on average than had contributions been paid

by monthly instalments for financial years 2020-21, 2021-22 and 2022-23). The Actuary has confirmed that its calculations apply if the payment date is within three months of March 2020 and in practice the Council would make the payment at the end of April 2020.

On this basis, it is estimated that the total cost of employer pension contributions between 1 April 2020 and 31 March 2023 would be £175.959m and this could be reduced to £166.852m if the Council were to make a lump sum payment in April 2020 of all its contributions due for the three year period to 31 March 2023. The Council's average all-in contribution rate for the period would reduce from 21.08% to 19.99% of pensionable pay.

Proposal

Allowing for the saving on the contributions it would otherwise have had to pay each month, the Council proposes to adopt a borrowing strategy that aims to have a neutral impact on the Council's cash position, enabling it to maintain a resilient level of working capital to meet day to day expenditure. In order to do this, it is proposed to borrow £56.000m from other local authority lenders at a fixed interest rate for 1 year and £55.000m from the Public Works Loans Board (PWLB) for a period of 2 years (although it may be possible to find a cheaper short term funding source for the two year borrowing) to fund the Council's capital programme. At 31 March 2020 the Council's Capital Financing Requirement (CFR) is forecast to be £489.236m, comprised of £277.474m from external borrowing and £211.762m from internal sources, therefore a switch between external and internal borrowing of £111.000m will maintain external borrowing below the underlying level. The balance of funds required to make the lump sum prepayment will be met from internal sources.

As at 10 January 2020, the Council could borrow from the PWLB, for 2 years, at a rate of interest of 2.38% and from other local authorities at an average rate of 1.1%.

There would be an opportunity cost of the use of cash balances as a result of interest income foregone. If the balances were available to invest, it is anticipated that the Council could earn interest at an average rate of 1%.

Assuming interest rates remain unchanged from those at 10 January 2020, it is forecast that cash savings of around £5.199m should be achievable over the three year period.

	£m
Estimated Contributions due for 2020-21 to 2022-23 (based on the total certified rate)	175.959
LESS: Lump Sum prepayment	-166.852
Cash Saving before Finance Costs	9.107
<u>LESS: Interest Costs</u>	
Loan from PWLB (£55m, 2yrs, 2.38%)	-2.618
Loans from Other Local Authorities (£56m, 1yrs, 1.1%)	-0.616
Investment interest foregone	-0.674
Cash Saving	5.199

Expected Profile of Savings

Based on the actuarial assumptions and funding strategy outlined in the above proposal, it is anticipated that one-off savings can be achieved of £0.772m in 2020-21, £1.496m in 2021-22 and £2.931m in 2022-23.

These forecast savings are comprised of the following elements impacting on the Council's budgets:

	2020-21 £m	2021-22 £m	2022-23 £m	TOTAL £m
Average 21.08% all-in contribution rate	56.916	58.624	60.383	175.923
Average 19.99% all-in contribution rate	-53.970	-55.589	-57.257	-166.816
Reduction in Cost to Budgets of Pension Contributions	2.946	3.035	3.126	9.107
Interest Payable on Additional Borrowing	-1.925	-1.309	0.000	-3.234
Reduction in Interest Receivable on Internal Balances	-0.249	-0.230	-0.195	-0.674
Saving / (Cost)	0.772	1.496	2.931	5.199

This profile of costs and savings reflects the additional borrowing and consequently the higher interest costs which have to be incurred in the earlier years.

The impacts of the proposal on the Council's cash flows are detailed in Appendix 1.

Sensitivity

The scale of the financial benefits of the proposal is influenced by the following three variables:

- The interest rate the Council could earn on its available balances.
- The rate of growth in the cost of the Council's pensionable payroll.
- The average return that the Fund can achieve on its investments.

The effects of these variables changing from the values assumed by the Actuary is considered in Appendix 2. This sensitivity analysis examines the effect of changing just one of the variables at a time.

The returns the Council can earn on its available balances is closely correlated to base rate. A higher interest rate increases the cost to the Council of tying up funds, on which it could otherwise earn a return. Arlingclose, the Council's Treasury Management Advisors, forecast that the current base rate of interest of 0.75% is unlikely to change significantly over the next three years; however, this is likely to be dependent on the nature of the United Kingdom's exit from the European Union and its future trading relationship. Changes to base rate of -0.25% to +0.75% per year are expected to alter the anticipated savings by +£0.155m to -£0.465m over the period.

The rate of payroll growth influences the contributions the Council is required to pay to the Fund. A higher than anticipated rate of payroll growth requires higher than expected contributions. The model assumes that the lump sum prepayment of £166.852m is fixed and that any difference resulting from a higher or lower actual payroll than expected would act to increase or reduce the Council's net pension liability. A higher liability would require greater contributions to be made in future years or top-up payments could be made to mitigate this outcome if desired. If payroll growth only averaged 2% each year, the expected savings from the proposal fall by £1.448m, however the net pension liability would also reduce by £3.529m. If payroll growth averaged 4.0% however, the expected savings would increase by £9.033m and the net pension liability would increase by £3.606m.

The average returns the Fund achieves on its investments over the three year period does not affect the expected savings from the proposal. However, if returns are higher or lower than anticipated then this will act to reduce or increase the Council's net pension liability. If investment returns averaged 7% each year then the pension liability would reduce by £7.787m, or if average returns dropped to 1.5% each year the pension liability would increase by £5.197m.

Assigning probabilities to these different possible outcomes, based on a judgement of current trends and economic conditions, allows an expectation of the likely effect of these factors to be derived. On this basis it is anticipated that, by the end of the three year period, the savings are likely to be £0.684m lower and the Council's net pension liability £0.627m lower than the model suggests.

Risks and Considerations

Whilst it is anticipated that the proposal will be financially advantageous to the Council, the following factors and implications should be considered:

- The same eventual benefits will need to be paid by the Fund regardless of how much and when employer contributions are paid.
- The proposal assumes that the Fund can obtain positive investment returns. If average returns for the period were to fall lower than 1.5% each year, then the cost of borrowing would outweigh the returns and it would have proved beneficial to pay the contributions throughout the period as they became due, rather than in advance.
- The Actuary has assumed that the Fund can generate average returns of 3.6% each year. Higher or lower actual returns will deliver greater or reduced financial benefits.
- The Fund will have to accommodate the advanced contribution in its cash profile and allow for a reduction in its regular contributions over the period.
- The proposal utilises up to £52.000m of the Council's working capital. Whilst this reduces the balance available to the Council to manage its day-to-day cash flows from a Treasury Management perspective it no way constrains the council's ability to meet its commitments and react to unforeseen events over the three years of the initiative. The reduction in interest that can be generated as a result of lower cash balances has been accounted for in the business case.
- The Council's usual arrangement of making contributions at regular monthly intervals allows the Fund to ride out fluctuations in market returns. Paying a lump sum contribution concentrates the risks and rewards. If the investment proves to have been made at a high point in the market the benefits would be diluted and conversely if it had been made at a low point this would deliver greater benefits.
- The Council and the Fund's Auditor will need to be satisfied with the arrangements for recording and reporting the advanced contribution.
- A mechanism will be required to check whether actual payroll amounts fall above or below the assumed level when calculating the prepayment. If actual payroll does not fall within the Actuary's expectations, the Fund may receive insufficient or excessive contributions. The Actuary would be able to calculate any shortfall or excess based on the Council's up-to-date payroll figure at the end of each financial year. Any shortfall would require a top-up payment and any excess could either be refunded to the Council or retained by the Fund and used to reduce the employer's deficit.

3 Financial Considerations

As set out above.

4 Other Considerations

In preparing this report the relevance of the following factors has been considered: legal, prevention of crime and disorder, equality and diversity, human resources, environmental, health, property, transport and social value considerations.

5 Background Papers

Papers held in Technical Section, Finance & ICT, Room 137, County Hall.

6 Key Decision

Yes.

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

No.

8 Officer's Recommendation

That Cabinet:

8.1 Approves a lump sum payment to be made on 30 April 2020 to the Derbyshire Pension Fund for the Council's employer contributions, in full, for the period 1 April 2020 to 31 March 2023.

PETER HANDFORD

Director of Finance & ICT

Appendix 1

Public

Cash Flow Forecast

Month Ending	Lump Sum Prepayment £	PWLB Borrowing £	Local Authority Borrowing £	Reduction in Employer Contributions Payable £	Interest Payable on PWLB Borrowing £	Interest Payable on Local Authority Borrowing £	Reduction in Interest Received on Balances £	Net Cash (Out)/In Flow for Month £	Cumulative Cash (Out)/In Flow £
30/04/2020	-166,852,270.00	55,000,000.00	56,000,000.00	4,782,099.58				-51,070,170.42	-51,070,170.42
31/05/2020				4,782,099.58			-42,558.48	4,739,541.11	-46,330,629.31
30/06/2020				4,782,099.58			-38,573.39	4,743,526.19	-41,587,103.12
31/07/2020				4,782,099.58			-34,588.31	4,747,511.27	-36,839,591.85
31/08/2020				4,782,099.58			-30,603.23	4,751,496.36	-32,088,095.49
30/09/2020				4,782,099.58			-26,618.14	4,755,481.44	-27,332,614.05
31/10/2020				4,782,099.58			-22,633.06	4,759,466.52	-22,573,147.53
30/11/2020				4,782,099.58			-18,647.98	4,763,451.61	-17,809,695.92
31/12/2020				4,782,099.58			-14,662.89	4,767,436.69	-13,042,259.24
31/01/2021				4,782,099.58			-10,677.81	4,771,421.77	-8,270,837.46
28/02/2021				4,782,099.58			-6,692.73	4,775,406.85	-3,495,430.61
31/03/2021				4,782,099.58			-2,707.65	4,779,391.94	1,283,961.33
30/04/2021			-56,000,000.00	4,886,722.57	-1,309,000.00	-616,000.00	0.00	-53,038,277.43	-51,754,316.10
31/05/2021				4,886,722.57			-41,316.96	4,845,405.61	-46,908,910.49
30/06/2021				4,886,722.57			-37,244.69	4,849,477.88	-42,059,432.61
31/07/2021				4,886,722.57			-33,172.42	4,853,550.15	-37,205,882.47
31/08/2021				4,886,722.57			-29,100.15	4,857,622.42	-32,348,260.05
30/09/2021				4,886,722.57			-25,027.89	4,861,694.69	-27,486,565.37
31/10/2021				4,886,722.57			-20,955.62	4,865,766.95	-22,620,798.41
30/11/2021				4,886,722.57			-16,883.35	4,869,839.22	-17,750,959.19
31/12/2021				4,886,722.57			-12,811.08	4,873,911.49	-12,877,047.70
31/01/2022				4,886,722.57			-8,738.81	4,877,983.76	-7,999,063.94
28/02/2022				4,886,722.57			-4,666.54	4,882,056.03	-3,117,007.91
31/03/2022				4,886,722.57			-594.27	4,886,128.30	1,769,120.39
30/04/2022		-55,000,000.00		4,994,484.25	-1,309,000.00		0.00	-51,314,515.75	-49,545,395.36
31/05/2022				4,994,484.25			-38,193.27	4,956,290.98	-44,589,104.38
30/06/2022				4,994,484.25			-34,031.20	4,960,453.05	-39,628,651.33

Appendix 1

Public

Month Ending	Lump Sum Prepayment £	PWLB Borrowing £	Local Authority Borrowing £	Reduction in Employer Contributions Payable £	Interest Payable on PWLB Borrowing £	Interest Payable on Local Authority Borrowing £	Reduction in Interest Received on Balances £	Net Cash (Out)/In Flow for Month £	Cumulative Cash (Out)/In Flow £
31/07/2022				4,994,484.25			-29,869.13	4,964,615.12	-34,664,036.21
31/08/2022				4,994,484.25			-25,707.06	4,968,777.19	-29,695,259.02
30/09/2022				4,994,484.25			-21,544.99	4,972,939.26	-24,722,319.76
31/10/2022				4,994,484.25			-17,382.92	4,977,101.33	-19,745,218.43
30/11/2022				4,994,484.25			-13,220.85	4,981,263.40	-14,763,955.02
31/12/2022				4,994,484.25			-9,058.78	4,985,425.47	-9,778,529.55
31/01/2023				4,994,484.25			-4,896.70	4,989,587.54	-4,788,942.01
28/02/2023				4,994,484.25			-734.63	4,993,749.61	204,807.60
31/03/2023				4,994,484.25			0.00	4,994,484.25	5,199,291.85
TOTAL	-166,852,270.00	0.00	0.00	175,959,676.80	-2,618,000.00	-616,000.00	-674,114.95	5,199,291.85	

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PUBLIC

Agenda Item No.6 (g)

DERBYSHIRE COUNTY COUNCIL

**CABINET
16 March 2020**

Report by the Executive Director of Commissioning, Communities and Policy

MODERNISING COUNCIL SERVICES THROUGH DIGITAL TRANSFORMATION AND CHANNEL SHIFT (Corporate Services)

1. Purpose of the report

To seek Cabinet approval to progress a cross-council, digital transformation 'Channel Shift Programme' by moving to the procurement stage for new underpinning digital systems, as referred to below, for an initial four-year term, with options to extend for up to three additional periods of two years and to support this investment with the required change management processes. The implementation phase will last 2.5 years, with benefits being accrued over a five-year period.

2. Information and analysis

2a. Background

Derbyshire County Council (the "**Council**") exists to enable its citizens to enjoy the best quality of life that they can achieve, supported by a modern, enterprising organisation that puts residents first. Being an efficient organisation that prioritises customer experience underpins this commitment, and an opportunity exists for the Council to deliver more effectively for its residents through digital transformation.

At a time of rising expectations about customer service standards, and when over 91% of the UK population are regular Internet users, we recognise resident expectations about:

- Accessing Council services through a diverse range of communication channels, including digital and mobile, more quickly than ever before and at a time convenient to them;
- Enjoying an intuitive, fast and easy experience from organisations that provide citizen-facing services; and
- Switching seamlessly between channels and services.

The 2019 Resident Survey demonstrated a public desire for more effective, digital customer services as part of creating an efficient Enterprising Council. When asked to 'rank the

options that the Council could use to save money or raise additional revenue', the second most popular option was to 'put more services online'.

The Ministry for Housing, Communities and Local Government also placed a clear expectation on local authorities to deliver digital services, with the 2018 creation of the Local Digital Declaration. This Declaration, which has over 150 local authority signatories, states: "This...affirms our collective ambition for public services in the internet age, and our commitments to realising it."

By embracing digital technology, which is now used by hundreds of councils across the UK, the Council can make a wide range of its services more accessible, more efficient and improve the experience that residents have when they interact with the organisation. A focused, digitally-driven approach will modernise many of our processes and support renewed focus on delivery and accountability as an Enterprising Council. It will also improve the perceptions that our partners, stakeholders and Derbyshire people have about the Council.

2b. Where we are now

Digital communication has become the norm following exponential growth in the use and ownership of desktops, laptops and smartphones. This is reflected in national statistics. For example:

- According to the ONS, in 2019, 91% of adults in the UK could be described as "recent Internet users", up from 90% in 2018 (Office of National Statistics, Internet Users, UK 2019);
- Recent Internet use in the 65 to 74 years age group increased from 52% in 2011, to 83% in 2019, closing the gap on younger age groups (Office of National Statistics, Internet Users, UK 2019); and
- Nine out of 10 households in Great Britain now have Internet access (Office of National Statistics, Internet Access – Households and Individuals, Great Britain 2018).

The Council does not currently have an online portal where residents can log-in to access a range of Council services. This means that residents are often required to complete separate online forms for related services (e.g. school admissions and free school meals). In some cases, people have separate logins for different Council services and it is difficult for residents to track the progress of individual cases. Our contact centre – Call Derbyshire – is, therefore, the natural "go-to" channel for many.

In future, we want a significant proportion of Derbyshire residents to engage, communicate and transact with the Council through a single online portal. This will allow residents to see status updates on the progress of queries, bookings or applications for a wide range of Council services in a single place, thereby improving citizen journeys and customer satisfaction.

Another key driver of the Channel Shift Programme is to enhance colleague experiences of working at the Council and, in turn, to improve service quality.

2c. What could be delivered

The objective of the Channel Shift Programme can be summarised as:

“To improve the resident experience through the introduction of three new corporate, citizen-facing systems to the Council in 2020, putting at least 50 services live on these new platforms by the end of 2020. An additional c.150 services will follow in 2021-22.”

Since September 2019, the Channel Shift Programme Team has worked with the Channel Shift Board to evaluate the introduction of a modern, corporate Customer Relationship Management (CRM) system, which includes the following integrated components:

- Self-serve portals for residents, Members and other stakeholder groups;
- Easy-to-build online forms;
- Integrated payments;
- Workflow;
- Pre-built application programming interfaces (APIs) for integration with the likes of Mosaic, SAP and Confirm; and
- Dashboards and reporting capabilities.

This has been considered alongside the introduction of two other corporate systems:

- A Compliments, Comments and Complaints system; and
- A Room and Events Booking system.

2ci. Resident benefits

Once procured, all three corporate systems would help to promote consistent resident and colleague experiences and drive significant efficiencies via integrated workflow. The new systems should ultimately lead to:

- Tangible improvements in the resident experience and an increase in customer satisfaction;
- Offering more services via modern communication channels, meaning the Council is genuinely ‘open all hours’;
- Reductions in inbound call volumes;
- Reductions in complaints volumes and an increase in the number of compliments and comments, with better access to feedback from residents;
- Process optimisation via extensive business process re-engineering; and
- Demonstrable reductions in known cost to serve.

2cii. Organisational benefits

The proposed new approach will also improve service quality and efficiency by and for colleagues. We expect to see:

- Improvements in staff well-being and job satisfaction by giving colleagues tools to reduce administrative effort and focus more exclusively on ‘value add’ activities. To achieve this, the Channel Shift Programme will seek to re-engineer existing business

processes wherever possible, rather than 'lifting and shifting' current ways of working;

- Greater consistency in service provision across Council directorates; and
- Improved business intelligence and reports for demand management by starting to predict service usage using analytics, rather than simply responding to incoming work.

2ciii. Longer-term benefits

If this transformation programme achieves its potential, towards the end of the five-year benefit period, the following improvements could also be delivered:

- There is likely to be a reduction in the number of ICT applications once the new corporate systems are procured, implemented and embedded within the Council through rationalisation of existing systems. This supports commitments outlined in the Council's five-year ICT Strategy;
- The new systems could be used extensively for colleague-facing processes, as well as resident-facing processes which are the primary focus of the Channel Shift Programme. For example, onboarding processes operated by the Shared Service Centre, HR or Finance could use and benefit from the new systems;
- The new systems could be used to accelerate Council responses to FOI (freedom of information) and subject access requests (SAR);
- The Channel Shift Programme is likely to support the Council's climate change agenda by supporting reduced printing and travel frequency. The Programme Team has started to engage relevant officers in the Council to quantify its anticipated contribution;
- The CRM system in particular is likely to support wider process improvement work within the Future Highways Model; and
- There may be strong alignment with other prominent Council initiatives (e.g. the Better Lives and Thriving Communities programmes). The Programme Team is in the process of engaging these teams to establish how the Channel Shift Programme can support these programmes' objectives, especially around culture and change management expertise which can potentially be shared and pooled as needed.

The Council does not currently have benchmark data in many of the above areas, so the Channel Shift Programme will work with colleagues from across the Council to establish suitable benchmarks for monitoring purposes.

2d. Best practice elsewhere

Many councils in the UK are now investing in the development of online services. For example:

- One customer-centric system supplier is working with more than 130 councils nationally;
- Other similar system suppliers are typically working with 50 to 100 councils;
- Lincolnshire County Council has recently put 77 services live on a new customer-centric platform in a six-month period;
- Nottinghamshire County Council uses a front-end resident-centric system to both improve customer experience and manage short-term demand for services.

Best practice examples can be found throughout the Channel Shift Strategy (Appendix 1) which references quality and efficiency savings realised by other councils through Channel Shift initiatives.

2e. Strategic fit

This Programme supports the Council's Enterprising Council approach, which includes a commitment to working as "One Council", replacing 'siloed' departmental working with coordinated, Council-wide transformational change.

It also aligns with the Council Plan, which commits to:

- Introducing digital platforms for service delivery to support more agile and flexible working;
- Measuring the number of services accessed on Council websites; and
- Delivering a five-year Information and Communications Technology (ICT) Strategy by 2023, which aims to streamline service delivery and embed modern working practices.

The Channel Shift Programme will help to achieve these objectives by introducing new self-serve options for citizens and colleagues.

2f. Programme requirements

As outlined above, the basis of the Channel Shift Programme focuses on the procurement and implementation of three corporate systems:

- A corporate Customer Relationship Management (CRM) system which will support and manage end-to-end interactions with the Council;
- A Compliments, Comments and Complaints system which can provide a 'single source of truth' for citizen feedback; and
- A corporate Room and Events Booking system which can be used by colleagues and citizens for booking Council events and facilities.

These systems may all be part of the same system or procured from separate suppliers, and will be implemented in a consistent manner across the Council to ensure maximum adoption and utilisation. They will be procured using the open tender procedure, for an initial four-year term with options to extend for up to three additional periods of two years.

3. Financial considerations

The anticipated total cost of this Programme over five years – including licences, professional services and backfill costs for directorates – is £1.639m. The breakdown of these costs is detailed in Appendix 2.

There is potential for the Channel Shift Programme to drive significant quality and efficiency benefits across the Council over a five-year period. There will be an amount of cash and non-cash releasing benefits which will support the Council in achieving its savings targets and driving efficiencies in terms of processes, roles and systems. Further details are given in Appendix 3.

It should be noted that the delivery and success of the Channel Shift Programme will be continuously monitored and regularly reported on, enabling the Programme Team, CMT and Cabinet to have strong oversight of both the likelihood and pace of delivering the predicted benefits over the short, medium and long term. To facilitate this, the Channel Shift Programme Team has budgeted for one full-time employee to join the team for 18 months to work with directorates to effectively track the benefits of digitisation at a service level.

The costs of the programme will be initially underwritten by Commissioning, Communities and Policy 2019/20 underspends. A benefits realisation case will need to be developed to determine how the costs of the programme can be recovered. This will be established as part of the Programme work.

4. Programme governance

As the Channel Shift Programme moves from procurement to implementation, it plans to adopt a Prince2 methodology to manage the implementation of the new digital systems. It will work in an agile way to ensure swift development, testing and implementation of new processes and systems.

In addition to the existing Channel Shift Programme Board (which will be reviewed to ensure appropriate representation and oversight of the Programme is achieved), the Programme Team plans to create a Delivery Board which will include many of the end-users who will ultimately use the new digital systems (for example, service leads within ACATT, Call Derbyshire, Trading Standards, School Admissions, Adult Education, Highways, Planning and other citizen-facing services). The primary purpose of this Board will be to ensure that the digital solution(s) are fit for purpose and to act as Digital Champions who will help drive adoption and utilisation across the directorates.

5. Legal considerations

The Channel Shift Programme Team has undertaken an Equalities Impact Assessment (EIA), which is attached at Appendix 4. Members are asked to note the content of the EIA and in particular the potential adverse impacts identified and the proposed actions to mitigate these.

The Procurement of the three digital systems referred to in this Report will be carried out in accordance with the Council's Financial Regulations and the Public Contracts Regulations 2015.

6. Other considerations

In preparing this report, the relevance of the following factors has been considered: human resources, human rights, equality of opportunity, health, environmental, transport, property, crime and disorder, and social value considerations.

6a. Inclusion and access

Despite the many benefits of Channel Shift for the Council and Derbyshire's residents, it is important that the Council actively considers digital inclusion and that it purposefully facilitates multi-channel access to services wherever possible. Residents who are not digitally-aware or digitally-enabled should not be disadvantaged by the growing trend to move private and public services online. This will be considered throughout the design and implementation of the Programme as individual services are addressed.

To support its digital inclusion approach, the Channel Shift Programme Team will work closely with the Council's Policy and Research Team which has developed a complex customer segmentation model to understand citizen behaviour and channel preferences. In areas where digital access may be an issue, we will build on digital inclusion work already being conducted in libraries across the county to ensure that no residents are left behind.

At this stage we do not envisage Channel Shift being appropriate for all residents but want to ensure that the digital infrastructure is in place to encourage more online transactions in future.

Digital inclusion is explored further in the Channel Shift Strategy (Appendix 2).

7. Key decision?

Yes.

8. Is it necessary to waive the call-in period?

No.

9. Officer recommendations

That Cabinet approves:

- The digital transformation programme, as outlined in this Report;
- A £1.639m budget for the Channel Shift Programme including backfill costs for directorate resources working on the Programme, supplier professional services, external change management support, software licences, middleware (if needed) and contingency at 10%;
- The procurement of three new corporate systems, as referred to in this report for an initial four-year term, with options to extend for up to three additional periods of two years, in line with the Council's procurement processes.

Emma Alexander
Executive Director of Commissioning, Communities and Policy

Appendix 1: Channel Shift Strategy

The Channel Shift Strategy was produced by the Channel Shift Programme Team between September and December 2019. Its contents are as follows:

(Note that some of this content has been partially replicated in the main Cabinet paper, reflecting continuity between the draft Channel Shift Strategy from Q4'19 and the planned Tender process of Q1'20).

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Please note that all dates referenced in this document relate to the calendar year *unless stated otherwise* (for example, Q1 2020 = January to March 2020, Q2 2020 = April to June 2020 etc.).

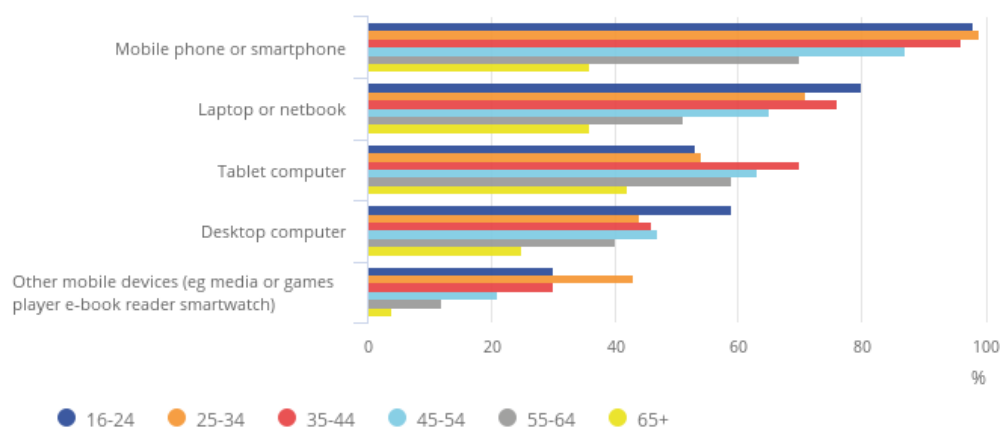
Derbyshire County Council’s Channel Shift Strategy

1. Context

For most people, digital communication has become the norm following exponential growth in the use and ownership of desktops, laptops and smartphones. This is reflected in national statistics:

- According to the ONS, in 2019, 91% of adults in the UK could be described as “recent Internet users”, up from 90% in 2018. *Office of National Statistics, Internet Users, UK 2019*;
- Recent Internet use in the 65 to 74 years age group increased from 52% in 2011 to 83% in 2019, closing the gap on younger age groups *Office of National Statistics, Internet Users, UK 2019*;
- Nine out of 10 households in Great Britain now have Internet access. *Office of National Statistics, Internet Access – Households and Individuals, Great Britain 2018*;
- Since 2006, the percentage of adults who use the Internet every day has grown from 35% to 86% (2018). *Office of National Statistics, Internet Access – Households and Individuals, Great Britain 2018*;
- In 2018, 78% of adults used mobile phones or smartphones to access the Internet. These were the most popular devices across all age groups *except* the 65+ age category which described “tablet computers” as its preferred device for accessing the Internet:

Figure 1: Devices used to access the Internet by age group in Great Britain, 2018



Source: Office for National Statistics

Although Derbyshire has a high percentage of residents aged 65+ (22%¹ compared to the UK average of 18%²), its residents are largely digitally-enabled. This is evidenced by the findings of a *Derbyshire Citizen's Panel* from 2016 which found that 86% of respondents had access to the Internet, and that 82% of respondents were able to access the Internet at home. Of these respondents:

- 95% used the Internet for emails;
- 94% used the Internet to find information;
- 74% used the Internet to research travel;
- 61% used the Internet for banking.

Three years later, in 2019, it is likely that these numbers have increased further.

(Further Derbyshire-specific data is likely to be generated over the next few months by the Council's Policy and Research Team (PRT) which regularly engages citizens on access-related topics. The Channel Shift Programme Team will continue to work closely with the PRT over the next few months as it refines and implements the Channel Shift Strategy.)

2. The implications for Derbyshire County Council

For Derbyshire County Council, digital usage data has far-reaching impacts. It means that our citizens:

- Expect to access Council services via a diverse range of communication channels, including digital and mobile;
- Expect to seamlessly switch between these channels;
- Expect to access Council services quicker than ever before, at a convenient time for them;
- Expect high levels of citizen experience and self-serve across all channels.

Councils cannot, therefore, predominantly offer high-quality, phone-centric services. This is no longer what citizens expect. Rather, in 2019, citizens want to access services via a mixture of communication channels including phone, email, online, SMS and social media (among others).

¹ <https://observatory.derbyshire.gov.uk/population-and-households/>

² <https://www.ons.gov.uk/peoplepopulationandcommunity/populationandmigration/populationestimates/articles/overviewoftheukpopulation/august2019>

However, councils cannot afford to simply open the “channel floodgates”. All communication channels must be managed effectively, with the intention of reducing cost to serve and offering better value for money to citizens. This requires the introduction of robust, modern technology and defined channel strategies for individual services.

Channel Shift best practice

Who: Waltham Forest Council

Situation: Used outdated IT infrastructure, notably in its contact centre.

*Action taken: Implemented a central **CRM system** and rationalised its core services. Also redesigned its website enabling 24/7 access.*

Result: £3.8 million saved over five years.

For councils like Derbyshire County Council, the changing technological and communication landscape presents significant challenges, following a decade of cuts to local government budgets. Maintaining pace with technological changes requires significant investment; and as time passes, without intervention, the scale and cost of the required investment inevitably increases. This is accelerated by continuous improvement and innovation in the private sector where artificial intelligence and augmented reality are increasingly the norm. This means citizen expectations are rising and councils – including Derbyshire County Council – are at risk of falling behind the curve.

This is reflected in recent research by Verinet Systems which found that only a quarter of councils offer more than 50% of their core services online, with 37%

Channel Shift best practice

Who: North Yorkshire County Council

Situation: Received 6,000 highways emails a year from parish clerks.

*Action taken: Introduced a **portal** which integrated with back-end systems. Users could see if faults had already been reported and proactively track their enquiries online.*

Result: £58,311 saved in 2018/19 through reduced administration for highways inspectors. This is likely to increase to over £100,000 in 2019/20.

of councils providing less than 25% of their core services online³. This is reflected in citizen expectations. In 2018, PwC’s annual local government survey found that almost two thirds (62%) of respondents hadn’t interacted with their local council digitally in the past month, and that 20% of respondents weren’t aware that councils offered digital services at all. The survey also found that only three in 10 survey respondents believed that their local council was

effectively embracing new technologies, despite 48% of respondents saying that they would like to see more online council services.

³ <https://www.localgov.co.uk/Most-councils-failing-to-offer-core-services-online-finds-research/38669>

Notwithstanding citizen perceptions, it would appear that most councils in the UK – including most of Derbyshire County Council’s neighbours – are now investing in the development of online services. For example:

- One customer-centric system supplier is working with more than 130 councils nationally;
- Other similar system suppliers are typically working with 50 to 100 councils;
- Lincolnshire County Council has recently put 77 services live on a new customer-centric platform in a six-month period;
- Nottinghamshire County Council uses a front-end citizen-centric system to both improve customer experience and manage short-term demand for services.

This is the context in which a Channel Shift Programme has been initiated by Derbyshire County Council. The Programme has approved funding for a small team of five people for two years alongside smaller projects. However, further funding is likely to be required for initiating broader corporate, transformational change. This is explained further in the rest of this paper.

3. The purpose of this document

This document sets out the core elements of Derbyshire County Council’s Channel Shift Strategy. It also sets out the principles for Channel Shift and provides insights into the proposed implementation approach.

At the heart of this strategy is the intention to focus on strategic, corporate change rather than smaller, tactical projects. There are lots of small projects that could be completed in the next six to 12 months to enable Channel Shift. However, these projects wouldn’t necessarily address underlying digital, technical and / or operational challenges. For example:

- An online form could be built from scratch by ICT to facilitate online licence applications (e.g. for a new roadside skip). This project could be implemented within a few weeks. However, due to technical constraints caused by legacy ICT business systems, this form is unlikely to be

Channel Shift best practice

Who: Southampton City Council

Situation: Processed paper, phone and face-to-face parking permit applications with an estimated cost of £15 per transaction.

Action taken: Moved to an **online eForm** system, designed with input from members of the public who wanted more online functionality.

Result: 62% reduction in call volumes, with 2,700 online applications in Year 1. This has resulted in savings of c.£100,000 per annum.

connected to end-to-end workflow which helps to deliver tangible operational savings. Should this project be initiated, it would achieve “CaSINO”: **Channel Shift In Name Only**. Behind the scenes, colleagues would still be required to “crank the handle” using a combination of email and manual interventions, minimising any benefits of the form being “online”.

The intention of this Channel Shift Strategy is to outline a long-term plan to enable digital transformation which, in turn, makes genuine and meaningful Channel Shift achievable. By doing so, Derbyshire County Council will be able to offer a wide range of cost-effective channels as well as 24-hour self-serve options that are (i) automated and (ii) effectively integrated into back-office systems. This will ultimately lead to:

- Tangible improvements in citizen experiences;
- Reductions in inbound call volumes;
- Reductions in complaints volumes;
- Process optimisation; and
- Demonstrable reductions in known cost to serve.

We expect a combination of the above, delivered over a five-year period, to more than cover the investment required to facilitate digital transformation and the associated Channel Shift.

At a high level, the Channel Shift Strategy proposes the creation of two workstreams which focus on different but related items:

- Workstream 1: strategic change via the implementation of a corporate customer relationship management (CRM) system. This system is likely to impact dozens of Council services with a full business case being produced by the middle of Q1 2020; and
- Workstream 2: directorate-led, tactical change via the implementation of smaller “quick win” projects. These projects will typically take between three and six months and will be supported by individual Project Officers in the Channel Shift Programme Team with directorate support.

Further information about both workstreams is referenced later in this document (section 12 onwards).

4. Fact-based strategy development

From the outset, the Channel Shift Programme Team has worked with colleagues across the Council to gather evidence and insights about citizen behaviour. This data has been used to develop and prioritise Channel Shift initiatives. Key sources of management information (MI) include:

- Call Derbyshire MI:
 - o We have analysed call volume data from Call Derbyshire over a 12-month period to identify potential areas for Channel Shift. Similar data has also been provided by The Highways Hub;
- Complaints MI:
 - o We have reviewed complaints data from 2017-18 which shows citizen painpoints across the Council;
- Derbyshire Citizens' Panel and Resident Survey:
 - o We have reviewed outputs from the Derbyshire Citizens' Panel and Resident Survey which consisted of c.4,000 residents from across the county;
- Derbyshire County Council's website:
 - o We have used Google Analytics to understand which pages are visited most regularly by citizens. This demonstrates citizen demand for services. We have also used Google Analytics to understand which search terms are used most regularly by citizens. Again, this demonstrates citizen demand for services. Finally, we have reviewed over 5,000 citizen emails about troublesome areas of the website which the Channel Shift Programme Team hopes to address;
- Upcoming surveys:
 - o We have provided input to the "Your council, your voice" survey which will be distributed to thousands of residents in Q4 2019. The Channel Shift Strategy will be updated based on these findings.

Channel Shift best practice

Who: Newcastle City Council (NCC)

Situation: NCC used manual processes to verify whether people using its recycling facilities were residents of the local authority.

Action taken: A new application system was created using an **SMS bot**. This system was developed in-house and significantly reduced processing times from 14 days to 90 seconds. All other contact methods were closed within one month of the launch of this solution.

Result: £25,000 has been saved through reduced administration time. This time is now used to analyse data and take enforcement action which generates income for the council.

The ongoing use of this MI to develop and prioritise Channel Shift initiatives will ensure that the citizen remains at the heart of Derbyshire County Council's Channel Shift Strategy.

5. Channel Shift definition

Channel Shift best practice

Who: *Elmbridge Borough Council (EBC)*

Situation: *EBC was spending lots of time writing letters and making phone calls to chase missing Council Tax payments.*

Action taken: *Implemented a new **SMS** system which sent reminders to residents a few days before payments were due. This was a preferred communication channel. The system also sent payment overdue notifications.*

Result: *Saved £40,000 in the first year of operation. EBC now plans to expand this channel to other council services.*

Channel Shift can be defined as “the process by which organisations seek to encourage customers to access or interact with services via channels other than those to which they normally choose” (*Abavus, The ultimate guide to channel shift*). In some cases, this may mean introducing new communication channels such as online, SMS and social media.

Derbyshire County Council's Channel Shift Programme will focus

on three main types of communication between citizens and the Council:

1. Interactions (e.g. obtaining advice, public consultations, petitioning);
2. Transactions (e.g. reporting potholes, paying for a blue badge);
3. Information (e.g. requesting library opening times, freedom of information requests).

Channel Shift is typically achieved through adopting a mixture of four approaches:

1. Improving and optimising technology. This is essential for Channel Shift to succeed;
2. Helping and training citizens (and colleagues) who can't use technology or particular communication channels;
3. Nudging and persuading citizens (and colleagues) who refuse to use technology or particular communication channels; and
4. Ultimately, *once suitable alternatives exist and are well-embedded*, closing some communication channels altogether to drive target behaviours.

In effect, Channel Shift is a complex change programme which aims to inform, educate and encourage end-users about channel availability, at the same time

as improving technology, so that more citizens feel empowered to use a range of contact channels and / or self-serve.

One of the key drivers for Channel Shift, internally, is reducing cost to serve. There have been several studies which show that the cost of “traditional” channels such as face-to-face, telephone and email are higher than more “modern” communication channels such as online, mobile and SMS. For example, in 2011, SOCITIM’s Channel Value Benchmarking service found that typical local government communication channel costs – per transaction – were: face-to-face: £8.62; phone: £2.83; online: £0.15.⁴

Channel Shift best practice

***Who:** Aylesbury Vale District Council*

***Situation:** Exceptional pressure on contact centre staff, leading to long call-waiting times.*

***Action taken:** Introduced **web chat** as part of a wider digital transformation programme.*

***Result:** Reduced call-waiting times and made overall savings of 2 FTE – the equivalent of 133 hours per month. AVDC saved £6m over 5 years as part of its digital transformation programme.*

Derbyshire County Council is not alone in seeking to enact Channel Shift. Several core government services such as Universal Credit are now solely available via online channels (www.gov.uk). The Council plans to embrace and rapidly transition to this new reality, while respecting and planning for digital inclusion (see section 9 for more details on this topic).

6. The Channel Shift Programme’s principles

The Council is committed to exploring new ways of working to deliver high-quality, citizen-centric services which simultaneously reduce long-term expenditure. Innovative solutions will be required to meet these objectives.

When designing and implementing new solutions, the Channel Shift Programme will seek to consistently apply the following principles:

Figure 2: The Channel Shift Programme’s principles

Channel Shift principle	Principle description
1. Put online first...	Wherever possible and valuable for customers, we will move transactions and information online where cost to serve is lowest;

⁴ <https://www.wired-gov.net/wg/wg-news-1.nsf/0/BA2619CA7286E6B880257A0D003DD56F?OpenDocument>

Channel Shift principle	Principle description
	<p>We will ensure that the Council’s website and core systems are user-centric and facilitate self-serve;</p> <p>We will encourage as many citizens and colleagues as possible to self-serve online;</p> <p>We will seek to introduce processes which ensure that all online transactions are acknowledged and trackable.</p>
2. ...while not forgetting mobile	<p>More and more people are using iPads and smartphones in place of desktops and laptops. All initiatives must, therefore, consider mobile;</p> <p>We will optimise extensively for this channel;</p> <p>We will seek to introduce processes which ensure that all online transactions are acknowledged and trackable.</p>
3. Tailor by channel and service	<p>We will consider demand for each service and channel separately, and will employ a mix of integrated channels across high-volume services;</p> <p>We will redesign channels and services around citizen and Council needs;</p> <p>We don’t plan to make every service available in every channel.</p>
4. Make internal improvements	<p>We will integrate citizen-facing channels wherever possible for a seamless citizen experience;</p> <p>We will reduce printing and postage costs by moving high-volume services online;</p> <p>We will purchase and introduce new front- and back-end software to aid integration, encourage self-serve and reduce administrative overheads. Any such purchases will be supported by a robust business case.</p>
5. Lead by example	<p>We will encourage colleagues and Members to use the Internet to assist citizens as much as possible;</p>

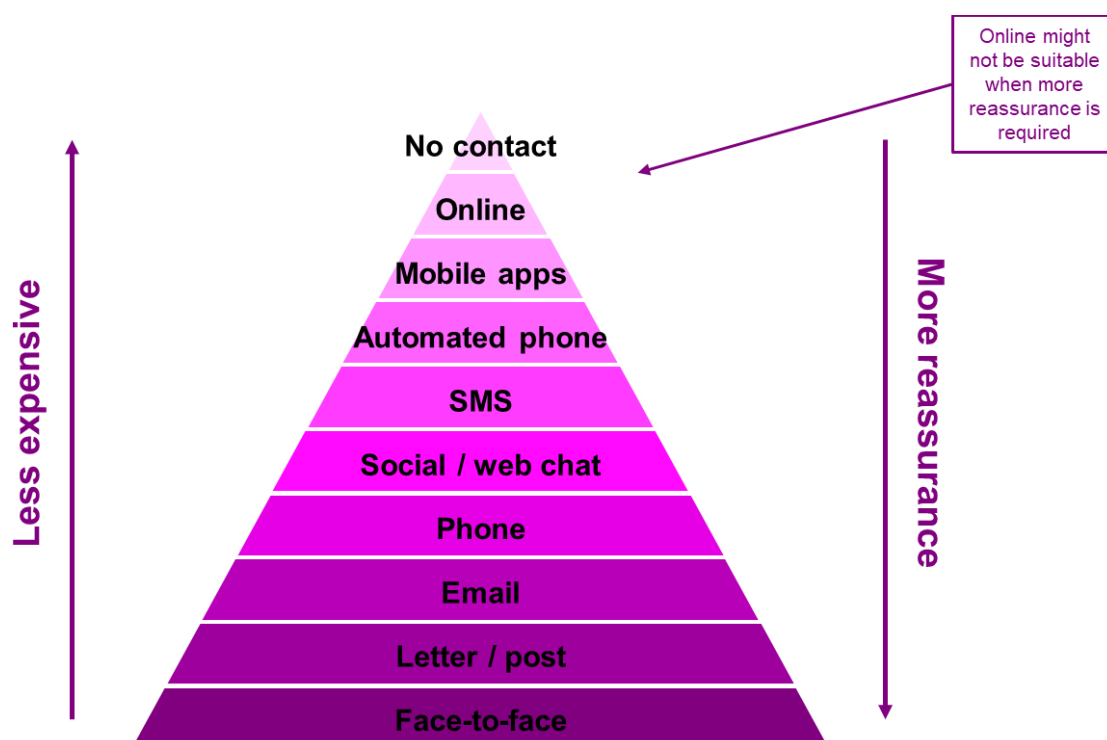
Channel Shift principle	Principle description
	We will increase social media signposting to help citizens who are struggling to use online channels.
6. Remain inclusive	<p>In most cases, we will allow citizens use their channel of choice. This will ensure that they have fair and equal access to all Council services;</p> <p>We will cater for various ages, languages and disabilities where cost effective to do so;</p> <p>We will continue to offer face-to-face and phone-based services while proactively promoting other channels;</p> <p>We will only close existing channel options with fair notice.</p>
7. Be cost effective	<p>Underpinning all Channel Shift principles is the desire to be cost effective and save money for Derbyshire County Council. This will be achieved through a combination of ICT rationalisation, reduced licence costs, reduced call volumes and process optimisation;</p> <p>All benefits will be tracked closely by the Channel Shift Programme Team which will be supported by Finance in this endeavour.</p>

Ultimately, Derbyshire County Council’s Channel Shift Strategy will encourage citizens, Members, colleagues, suppliers and communities to become more self-supporting and less reliant on individuals within the Council.

7. Derbyshire County Council’s channel strategy

Specific strategies are required to enable and / or maximise the use of *each* channel within Derbyshire County Council’s contact channel mix. This is reflected in the image and table below:

Figure 3: A typical council’s contact channel hierarchy



Note that this hierarchy will vary by service / customer segment

Figure 4: Derbyshire County Council’s high-level channel strategy

Communication channel	High-level channel strategy
Face-to-face	This will not be promoted as a channel for citizens to use regularly to access Council services due to the comparatively high cost of this channel.
Letter / post	Like face-to-face, this will not be promoted as a channel for citizens to use regularly due to the comparatively high cost of this channel.
Email	Significant overheads are currently incurred across the Council by teams who manually transpose citizen and member emails into back-end systems for processing. For this reason, over time, we envisage slowly phasing out the use of email as a channel. This will be replaced as a channel with an integrated customer relationship management (CRM) system and cloud-based citizen and member portals (explained in more detail below).

Communication channel	High-level channel strategy
Phone	Like face-to-face, this will not be promoted as a channel for citizens to use regularly due to the comparatively high cost of this channel. It will, however, continue to be a key component of higher-value services within Adult Care and Children's Services. We expect the "value add" from phone-based services to increase over time as a result of moving lower-value services online.
Social media	This will not be promoted as a primary channel for citizens to raise and resolve queries. All citizen communication will, instead, be pushed towards an integrated CRM system, giving the Council 360-degree traceability of citizen queries. In the context of the Channel Shift Strategy, social media will be used primarily to promote self-serve options and signpost citizens.
Web chat	This is not currently a channel offered by Derbyshire County Council. However, it is perceived to add value to most straight-forward, low-value transactions (for example, helping citizens who are struggling to find information on the Council's website) and has the advantage of being able to serve multiple citizens concurrently. We, therefore, plan to introduce this channel to Derbyshire County Council as part of the Channel Shift Programme.
SMS	Although this is already used as a communication channel by <i>parts</i> of the Council, SMS could and should be used more extensively across the board given the significant rise in mobile phone ownership over the past two decades. For this channel to be used more widely, it should be effectively assimilated into wider citizen communications. This is likely to involve integration with a central CRM system.
Automated phone	The Council doesn't currently offer any automated phone services. However, its current online payments system needs replacing and will be upgraded as part of the Channel Shift Programme. Automated phone services will, therefore, be considered in detail when reviewing and procuring a new platform to enable automated payments.

Communication channel	High-level channel strategy
Mobile apps	There is high demand to create mobile apps within Council departments. While these may be required in one or two unique cases, the Channel Shift Programme's primary focus is mobile optimisation, <u>not</u> app creation. We would like citizens to be able to use one or two mobile-optimised websites / portals for <u>all</u> services, rather than lots of different applications. This will also reduce development and ICT maintenance costs.
Online	Online will ultimately be promoted as the main communication channel for citizens due to the comparatively low cost of this channel. For this to be successful, however, it must be underpinned by digital investment which facilitates online self-serve. Genuine and meaningful Channel Shift is only achievable with appropriate, upfront investment.
No / avoidable contact	It is recognised that, in some cases, citizens use Derbyshire County Council as a "last resort" or because they are not sure where else to go. As part of the Channel Shift Programme, we will support the Digital Team in its independent efforts to optimise website content; review language; and signpost alternative services to ensure that the Council isn't inadvertently driving demand for services.

Targeted adverts are likely to be widely used online and on social media as part of the Channel Shift Programme to reinforce Council messaging about target channel behaviours. This will involve close engagement with the Council's Communications Team. Any targeted advertising of this nature will be compliant with GDPR and other data protection guidelines.

8. Alignment between the Channel Shift Strategy and the Council Plan

The Channel Shift Strategy is closely aligned to Derbyshire County Council’s “Enterprising Council” approach and its Council Plan, both of which recognise that innovation and transformation will help to accelerate the Council’s performance in the short, medium and long term.

“Enterprising Council”

Derbyshire County Council’s “Enterprising Council” approach includes a commitment to working as “One Council”, replacing siloed departmental working with coordinated, Council-wide transformational change. This will help the Council to achieve its ambition of being an efficient, high-performing local authority.

The Channel Shift Strategy aligns closely with this aspiration, as demonstrated by the Programme Team’s commitment to working across all Council directorates and avoiding “CaSINO” (**C**hannel **S**hift **I**n **N**ame **O**nly). The Channel Shift Strategy will also promote less expensive communication channels and enable ICT rationalisation. This aligns with the Council’s ambition to modernise, transform, innovate and collaborate more extensively, leading to improved outcomes and better value for money for Derbyshire’s citizens.

Channel Shift best practice

Who: Rochdale Borough Council

Situation: Received 300,000 calls per year from local residents, despite having lots of online services.

Action taken: Combined **project and change management techniques** to facilitate behavioural channel shift to drive efficiencies. The project looked at a wide range of areas including customer segmentation, IVR messaging, web messaging and call centre scripts. The project team also worked with residents to design revised processes and offered IT support in libraries and public buildings.

Result: 7,000 new online accounts were made in the first 12 months after Go Live, 40% more than the previous year. This led to savings of £178,703 (equivalent to 10.6 FTE).

Figure 5: The Council’s “Enterprising Council” approach, taken from Derbyshire County Council’s Corporate Plan 2019-2021



The Council Plan

In the Council Plan, the Council commits to delivering its five-year Information and Communications Technology (ICT) Strategy by 2023. This strategy will streamline service delivery and embed modern working practices. The Channel Shift Strategy will help to achieve these objectives by introducing new self-serve options for citizens and colleagues. Increasing self-serve optionality is one of the Council's key deliverables in the Council Plan for the next two years.

The Council Plan also includes a commitment to expanding the range of communication channels which citizens can use to access Council services. The Channel Shift Programme will play a key role in realising this ambition through the introduction of web chat and other new communication channels, as well as the delivery of a new CRM system. This goes hand-in-hand with the Council's plans to revise its existing Customer Care Charter. The Channel Shift Programme will also increase the volume of Council services that can be accessed online. This is described as a key measure for success in the Council Plan and is likely to improve citizen journeys, optimise back-end processes and deliver measurable savings.

Finally, the Council Plan makes a firm commitment to improving broadband capability and access to 5G across Derbyshire. This will support the Channel Shift Strategy in driving customer contact online. It will also increase confidence in both online and mobile as straightforward, reliable channels for accessing Council services.

9. Inclusion and access

Despite the many benefits of Channel Shift for Derbyshire County Council and Derbyshire's citizens, it is important that the Council actively considers digital inclusion and that it purposefully facilitates multi-channel access to services wherever possible.

Citizens who are not digitally-aware or digitally-enabled should not be disadvantaged by the growing trend to move private and public services online. This will be considered throughout the design and implementation of the Channel Shift Strategy.

To support its digital inclusion approach, the Channel Shift Programme Team will work closely with Derbyshire County Council's Policy and Research Team (PRT) which has developed a complex customer segmentation model to understand citizen behaviour and channel preferences. The PRT has split the

whole of Derbyshire (2,569 geographical output areas) into 18 sub-clusters using data from the 2011 census and has subsequently developed sophisticated insights into preferred and likely channel behaviours.

For example, residents in cluster 102 have been identified as being more likely than the average Derbyshire resident to make contact with Derbyshire County Council via Call Derbyshire. However, the 2016 Citizen's Panel found that residents in this cluster:

- have good access to the Internet (ranked 2nd out of 18 clusters) ;
- prefer to receive information from the Council via its website, email or social media (ranked 4th out of 18 clusters); and
- prefer to contact the Council via its website or email (ranked 5th out of 18 clusters).

This suggests that residents in this cluster already have the required access and skills for transacting online, and should be encouraged to use non-phone channels to contact the Council.

In contrast, the PRT's model shows that cluster 301 has a high proportion of people aged over 65, and that cluster 303 has a high proportion of residents who are unemployed and/or have no qualifications. Channel Shift is unlikely to be appropriate *to the same degree* for either of these clusters. Instead, we need to work with the Council's library network to promote targeted ICT assistance to these clusters. This will build on digital inclusion work which is already being conducted in libraries across the county.

To be clear, at this stage, we do not envisage Channel Shift being applicable to everybody but want to ensure that the digital infrastructure is in place to encourage more online transactions in future.

10. Internal cultural change

Implementing an ambitious Channel Shift Strategy will involve significant cultural change. Over the years, Derbyshire County Council's ICT Team has successfully introduced lots of new technology to Council departments but, in some cases, uptake has been slow. Colleagues need to feel confident using new technology and processes in their day-to-day jobs before they are widely adopted.

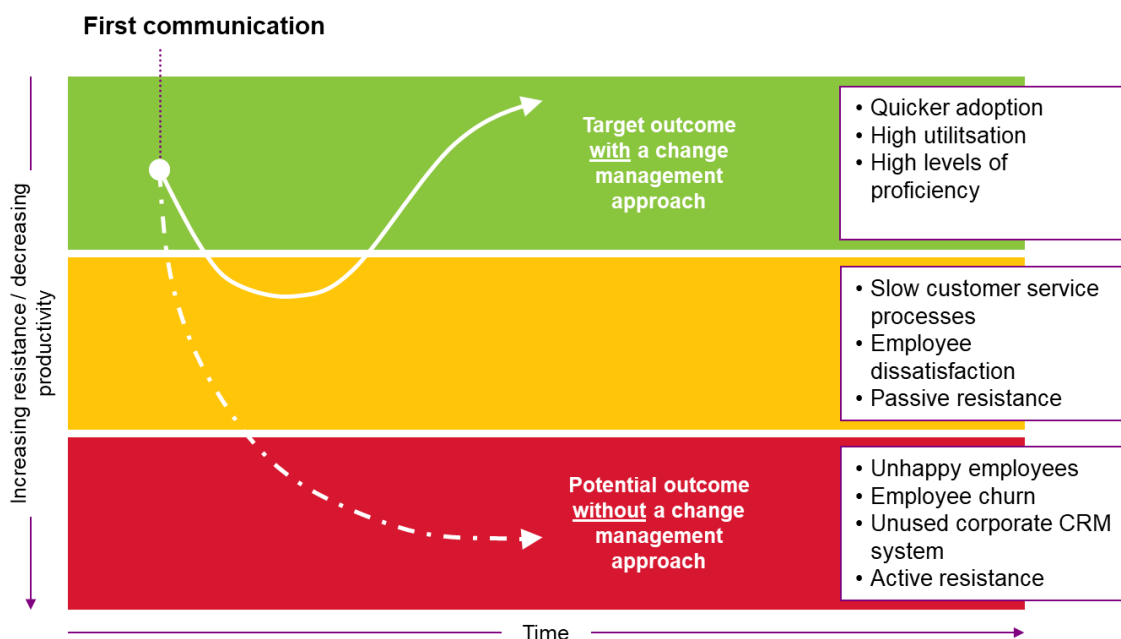
For this reason, change management will be placed at the heart of Derbyshire County Council's Channel Shift Strategy. Change management focuses on the adoption and use of great solutions. Within a programme or project

environment, it involves the application of a structured set of processes and tools for leading the people side of change to achieve a particular outcome. This includes:

- Communications plans (internal and external);
- Sponsor roadmaps;
- Coaching plans;
- Training and mentoring plans;
- Resistance management plans.

Without making appropriate investments in training colleagues and reinforcing desired behaviours, there is a genuine risk of achieving CaSINO (**Channel Shift In Name Only**).

Figure 6: The risks of not executing effective change management (credit: PROSCI ©)



If colleagues don't adopt target behaviours, it is unlikely that citizens, Members and other stakeholders will adopt target behaviours, undermining the business case behind Channel Shift. A willingness to adopt new ways of working is, therefore, required across all departments. This makes adequate investment in change management a critical success factor for both Channel Shift workstreams (workstream 1: corporate strategic change and workstream 2: directorate-led tactical change).

11. Lessons learned from previous CRM implementations

Derbyshire County Council has previously implemented CRM systems which, over time, have been phased out.

With this in mind, the Channel Shift Programme Team has purposefully reached out to colleagues who were involved with previous CRM implementations at the Council. The aim of this exercise was to identify key success factors for the Channel Shift Programme. We do not want to introduce a solution that isn't used and/or widely adopted.

The main findings are highlighted below:

Figure 7: Key success factors for the Channel Shift Programme

Key success factor	Explanations
1. Early focus on integration	Previous CRM implementations started well but the time required to integrate the CRM with other key systems was significant. This should be easier in a world where APIs are common. However, an early understanding about the number and complexity of integrations with a CRM would be helpful.
2. Early focus on authentication	Previous CRM implementations didn't succeed because, in many cases, DCC wasn't able to authenticate citizens effectively online. One-factor authentication wasn't secure enough to safely move most Adult Care and Children's Services services into a CRM. Without moving most services onto a corporate solution, its value / utility drops.
3. Secure top-down buy-in	Previous CRM implementations had significant top-down buy-in (for example, at CEO level). This helped to move key projects forwards, albeit slowly. Top-down buy-in across all four directorates will be important for the Channel Shift Programme Team to move at pace and for the solution to be widely adopted.
4. Agree – and stick to – your scope	Previous CRM implementations were victims of scope creep because the target services for the CRM weren't agreed and signed-off upfront. The Channel Shift Programme Team was encouraged to identify a narrow set of "wave 1" priorities and only expand the scope once these are "online".

Key success factor	Explanations
5. Think about continuous development	From the outset, there should be a plan for ongoing maintenance of the CRM solution so that it becomes firmly embedded in business processes as soon as possible. Process owners need to take ownership of the solution quickly. Lengthy project / programme timelines don't typically encourage this.

12. The Channel Shift Programme's implementation approach

The Channel Shift Strategy proposes the establishment of two workstreams which focus on different but related items:

- Workstream 1: strategic change via the implementation of a corporate customer relationship management (CRM) system. This system is likely to impact dozens of Council services with a full business case being produced by the middle of Q1 2020; and
- Workstream 2: directorate-led, tactical change via the implementation of smaller "quick win" projects. These projects will typically take between three and six months and will be supported by individual Project Officers in the Channel Shift Programme Team with directorate support.

This approach is being proposed after the Channel Shift Programme Team:

1. Reviewed citizen opinion, painpoints and other valuable MI (see section 4 of this document);
2. Mapped over 600 services which are referenced on Derbyshire County Council's website to identify Channel Shift candidates;
3. Reviewed departmental current and planned projects that require ICT solutions to facilitate customer engagement (c.130 projects across four directorates);
4. Engaged dozens of stakeholders from across the Council to prioritise Channel Shift candidates.

Workstream 1: Corporate strategic change

Many of the projects identified as part of the above analysis have common themes such as easier citizen access to records and information, online forms, integrated payments and enhanced self-serve functionality. For example, the Channel Shift Programme Team identified:

- x14 portal projects;

- x12 forms projects;
- x10 mobile projects;
- x7 access-related projects;
- x5 payments projects.

Given these common themes across Council projects, it makes sense to adopt a corporate approach to Channel Shift. This aligns with the Council's "Enterprising Council" approach which includes a commitment to working as "One Council", replacing siloed departmental working with coordinated, Council-wide transformational change.

The Channel Shift Programme Team, therefore, recommends the adoption of a modern, corporate CRM system which includes the following integrated components:

- Self-serve portals for citizens and Members;
- Easy-to-build online forms;
- Workflow;
- Integrated payments;
- Complaints, compliments and comments;
- Pre-built APIs for integration with the likes of Mosaic and Confirm;
- Dashboards and reporting capabilities.

This will help to streamline a range of ongoing and proposed ICT projects, and promote consistent citizen and colleague experiences.

Workstream 1: the potential of a corporate CRM

As stated in section 2, most councils across the UK have already adopted – or are adopting – CRM systems. For example:

- The biggest corporate CRM supplier is working with more than 130 councils;
- Its top five clients are using 1,006, 849, 833, 671 and 662 forms respectively;
- Other corporate CRM suppliers are typically working with 50 to 100 councils;
- Lincolnshire County Council has recently put 77 services live on a new CRM platform in a six-month period.

Having informally met c.10 corporate CRM suppliers, spoken to their clients and performed some analysis, we believe that between 35% and 45% of the Council's services could be accessed via a corporate CRM. Note that there

are also a number of “information only” pages spread throughout Derbyshire County Council’s website that wouldn’t be form candidates, so this percentage could arguably be much higher.

Using a corporate CRM, Derbyshire citizens would be able to log-in to one place and access hundreds of forms, underpinned by integrated workflow, which support dozens of services. This would be truly transformational.

Workstream 1: next steps

To fully understand the benefits of a corporate CRM which are likely to be substantial, the Channel Shift Programme Board has agreed to appoint a “Benefits Case Consultant” who started working for the Council for a 60-day period, w/c 18/11/2019. This consultant is tasked with building a full benefits case including expenditure. This will be brought to Cabinet in the middle of Q1 2020 for approval.

We anticipate being able to put dozens of services onto a corporate CRM by the end of 2020 (subject to procurement timelines).

Given a corporate CRM will touch dozens of services in all four directorates, to properly quantify the likely benefits of this system, all managers need to be adequately briefed about the project and prepared to talk openly and frankly about the likely impact. Briefing sessions took place at the Leadership Forum on 15/11/19 and the Senior Leadership Forum on 02/12/19, prior to a paper being shared with the CMT towards the end of Q4 2019.

Figure 8: High-level timelines for the implementation of a corporate CRM



Integration with a corporate CRM

As stated in Figure 7, previous CRM implementations at Derbyshire County Council have started well but the time required to integrate the CRM with other key systems was significant. We expect this to be easier in a world where application program interfaces (APIs) are common, and we are aware of some CRM suppliers who have integrated with in excess of 40 local government systems including Mosaic, Confirm and Flare using APIs.

However, an early understanding about the number and complexity of integrations with a CRM will be helpful. We, therefore, plan to work with ICT to produce an extensive list of Council systems in advance of procuring any system. This list will be included in the published Tender and potential suppliers will be asked to confirm (i) which systems that have historically integrated with and (ii), where applicable, how long this process took. This information will help the Channel Shift Programme Team to produce a realistic delivery and integration timeline for the subsequent 12 to 18 months.

Workstream 2: Directorate-led tactical change

It is important to note that Channel Shift, as a concept, isn't new to Derbyshire County Council; it is already alive and kicking within individual directorates. For example:

Department	Completed Channel Shift initiatives (not exhaustive)
Adult Care	Project 1: Introduction of a new system (CM) for managing and reporting care staff visit times; Project 2: Introduction of a new online assessment tool for Live Life Better Derbyshire.
Children’s Services	Project 1: Creation of electronic Personal Education Plans (ePEPs) for children in care (virtual school); Project 2: Introduction of a new online payments process for school penalty notices.
Commissioning, Communities and Policy	Project 1: Transition to online assessments for blue badges using a central government platform; Project 2: Improvement of online messaging and functionality as part of a library renewals project.
Economy, Transport and Environment	Project 1: Introduction of an online spatial search capability for Council records (Con29s); Project 2: Introduction of new online forms within the “Do It Now” reporting suite (dropped kerbs).

Two examples of recent Channel Shift successes include:

- Library book renewals: in November 2019, the number of visitors to the Council’s library book renewals page increased by 50% compared to an average four-week period. This coincided with a 79% reduction in call volumes to Call Derbyshire (from c.235 per week to c.50 per week) following coordinated on- and off-line communications campaigns. This helped to increase resource capacity within the call centre;
- Health and Wellbeing MOTs: Live Life Better Derbyshire created an online Health and Wellbeing MOT to encourage residents to complete MOTs themselves online. In 2018, c.8,000 residents used this service with around two-thirds of them transacting online. This reduced pressure on Public Health’s face-to-face and phone-based services.

In addition to Channel Shift initiatives that have already been delivered, there are a number of Channel Shift initiatives that are in-train:

Department	In-train Channel Shift initiatives (not exhaustive)
Adult Care	Project 1: Improve occupational therapist ways of working to reduce travel and in-person visit volumes; Project 2: Introduce citizen and professional portals that integrate with Mosaic to aid self-service and referrals.

Department	In-train Channel Shift initiatives (not exhaustive)
Children's Services	Project 1: Introduce a new portal to facilitate parental access to free childcare (30 hours); Project 2: Promote mobile working via the roll-out of smartphones and Office 365.
Commissioning, Communities and Policy	Project 1: Enable password resets on mobile devices to facilitate remote working; Project 2: Improve end-to-end blue badge processes to facilitate self-serve and reduce call volumes.
Economy, Transport and Environment	Project 1: Introduce a real-time highways system (DHART) to display public transport information at bus stops; Project 2: Introduce more online forms within the "Do It Now" reporting suite (e.g. scaffolding permit applications). Merge these with Confirm.

In addition to developing and securing funding for workstream 1, the Channel Shift Programme Team plans to initiate and deliver a handful of "quick win", high-impact Channel Shift projects by the end of Q2 2020 (workstream 2).

In advance of a Programme Board meeting on 04/11/2019, a shortlist of 13 projects was produced by Channel Shift Programme Board members (from an original list of c.100 projects).

When these were reviewed collectively on 04/11/2019, the following projects were selected for immediate action by the Channel Shift Programme Team:

Lead department	"Quick win" Channel Shift initiatives
Call Derbyshire	Netcall phase 2 (including web chat and email blending).
Children's Services	Implementation of a council-wide complaints solution. Creation of a gateway / portal for healthcare professionals and c.400 schools (Mosaic).
CCP	Implementation of a Council-wide events and room booking solution.

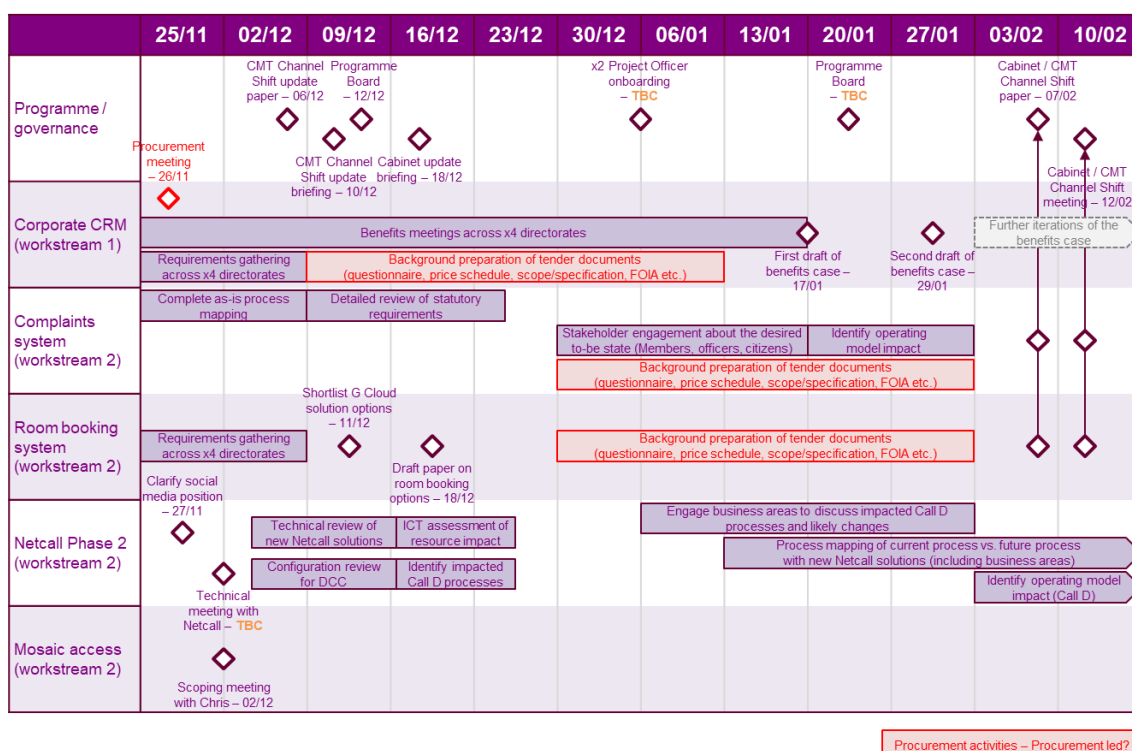
In addition to the above, it was agreed that a number of other "quick win" projects may be picked-up as part of workstream 1 (via the implementation of a corporate CRM). These include:

Lead department	“Quick win” Channel Shift initiatives
Adult Care	Implementation of a digital solution for finance and welfare rights.
Call Derbyshire	Improvement to processes associated with the Derbyshire Discretionary Fund. Reducing call volumes to the internal switchboard.
CCP	Implementation of a council-wide SMS solution.
ETE	Support for the ongoing eForms project across ETE. Initiation of demand management and Channel Shift interventions to reduce enquiry volumes.

Workstream 2: next steps

In light of the decision by the Channel Shift Programme Board to progress the “quick win” projects at the top of this page, the Channel Shift Programme Team arranged a number of kick-off sessions in November 2019 and has subsequently published the following 12-week lookahead for Q4 2019 / Q1 2020:

Figure 10: Plans for the implementation of directorate-led tactical change



13. Measuring the success of the Channel Shift Programme

As stated in section 3 of this document, there are five main ways that we expect to measure the benefits of Channel Shift for Derbyshire County Council and Derbyshire’s citizens. These are:

1. Tangible improvements in citizen experiences;
2. Reductions in inbound call volumes;
3. Reductions in complaints volumes;
4. Process optimisation; and
5. Demonstrable reductions in known cost to serve.

Targets will be attributed to each of the above as part of the full business case which will be produced towards the middle of Q1 2020. There may be several “sub themes” within each category which cover some of the broader benefits associated with Channel Shift (for example, tangible improvements in colleague experiences; improved management information (MI) to support decision-making; and potential ICT business system rationalisation).

The Channel Shift Programme Team has also met colleagues in the Council’s Policy and Research Team (PRT) to discuss how the Channel Shift Strategy will be able to support Derbyshire County Council’s commitment to becoming carbon neutral by 2032. Any significant, measurable findings will be reflected in the full business case for Channel Shift which will be produced towards the middle of Q1 2020.

14. Risks and issues for the Channel Shift Strategy

There are a number of high-level risks and issues which – if realised – may impact the development and implementation of Derbyshire County Council’s Channel Shift Strategy. The main ones have been included below for reference:

Type	Description	Owner
Risk	There is a risk that meaningful funding for the Channel Shift Programme won’t be approved due to limits on local government spending. This will limit the extent to which the Channel Shift	Assistant Director - Communications and Customers

Type	Description	Owner
	<p>Programme Team can deliver transformational change.</p> <p>Mitigation: we have approved the appointment of a “Benefits Case Consultant” to produce a credible end-to-end business case which secures appropriate funding.</p>	
Risk	<p>There is a risk that the Channel Shift Programme Team won’t be able to produce a substantive business case for Channel Shift due to the lack of MI across the Council. This will limit the chances of securing strategic, transformational investment.</p> <p>Mitigation: we have approved the appointment of a “Benefits Case Consultant” who has worked in similar environments and is familiar working with limited MI.</p>	Programme Manager – Channel Shift
Risk	<p>There is a risk that the Channel Shift Programme Team won’t be able to make quick progress due to typical Procurement timelines. This will limit the chances of securing strategic, transformational investment in a timely manner.</p> <p>Mitigation: we have engaged Procurement colleagues directly and they assure us that the timelines outlined above are achievable on the</p>	Programme Manager – Channel Shift

Type	Description	Owner
	basis of effective, joined-up working between the Channel Shift Programme Team and Procurement.	

Appendix 2: Costs and exclusions

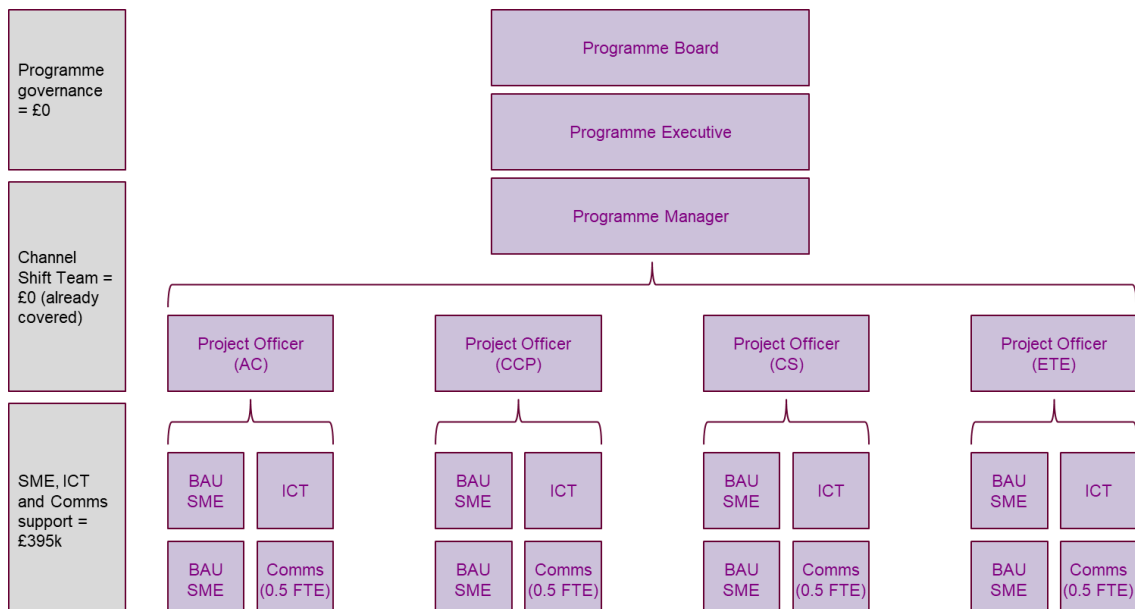
Total costs for the Channel Shift Programme are predicted to be £1.639m over 5.0 years, with the Programme Team finishing after 2.5 years and licence costs increasing gradually over the first two years as more services go online. For this reason, the benefits profile is also over 5.0 years with a delay incorporated to account for the initial implementation phase. All costs are revenue costs and include:

Internal resource costs

To realise the possible benefits over the next five years, the Channel Shift Programme Team (5.0 FTEs) needs to be supported by teams of dedicated resources who are able to work with suppliers, change management professionals and other stakeholders to drive and deliver meaningful change. For this reason, we believe that key individuals from each directorate should be seconded to the Channel Shift Programme for six-month periods, ensuring dedicated focus, buy-in and the embedding of skills within the organisation which will support wider cultural change. The total costs for internal resources would be:

- £0.395m in total:
 - £0m on Programme costs (for the Channel Shift Team which will exist through to the end of April 2022). These costs are already covered by the existing Channel Shift budget of c.£0.300m which was approved in 2019;
 - £0.213m on “subject matter expert” (SME) support from the four directorates;
 - £0.113m on ICT support;
 - £0.070m on Comms support.

The preferred *internal* implementation model is as follows:



Note that the total SME, ICT and Comms costs (£0.395m) **could** be absorbed by respective directorates *rather than* the Channel Shift Programme, if the effort is classified as “business as usual” and no backfilling is required. This would reduce the overall cost of the Programme to £1.243m but would heighten delivery risk through the utilisation of non-dedicated resources and is not recommended.

Licence costs

£0.600m on software licences (£0.150m per annum for three systems at full capacity (not until 2022/23 based on the phased Go Live of Council services)). These costs would continue at a similar rate if the Council chose to extend for up to six additional years.

External resource costs

£0.385m in total:

- £0.155m on supplier professional services for the implementation phase (Q3/Q4 2020) and any initial one-off costs associated with supplier engagement. These costs will be further refined once Tender responses are received and analysed;
- £0.230m on external change management support (see below). Again, these costs are associated with the implementation phase only.

Change management resources

Implementing an ambitious Channel Shift Strategy will involve significant cultural change. For this reason, change management will be placed at the heart of its implementation.

Change management focuses on the adoption and use of great solutions. Within a programme or project environment, it involves the application of a structured set of processes and tools for leading the people side of change to achieve a particular outcome. This includes:

- Communications plans (internal and external);
- Sponsor roadmaps;
- Coaching plans;
- Training and mentoring plans;
- Resistance management plans.

To ensure widespread adoption and utilisation of the new systems, the Channel Shift Programme has budgeted for four external change management professionals – one per directorate – to join the team for six months each (£450 per day). Although this is a significant financial commitment (£0.230m), we would anticipate all SME and Communications colleagues associated with the Channel Shift Programme to be trained in change management approaches, thereby upskilling the Council as a whole over the implementation period.

Contingency

- £0.258m in total:
 - £0.108m (based on 10% of the above costs);
 - £0.150m on middleware (if needed. See “Exclusions” below for more details).

Please note that some potential suppliers charge on a licence basis (e.g. per Council user) and some suppliers charge on a product basis (e.g. per software module). The procurement process will be designed to enable the evaluation of bids submitted using either method of profiling costs, and an update on the position will be shared with stakeholder following the evaluation of tenders and identification of preferred suppliers.

Exclusions

The following exclusions should be noted:

- The Channel Shift Programme will work collaboratively with existing Business and ICT projects but will not *initially* take over responsibility for any ongoing projects. Instead, it will focus on the procurement and implementation of the three new corporate solutions. In due course, however, once these projects are in-train, we expect some existing Business and ICT projects to be brought into the scope of the Programme and its new solutions, thereby reducing overall project effort within the Council. For example:

Business and ICT projects that are likely to come into scope of the Channel Shift Programme (not exhaustive)	
Directorate	Project description
Adult Care	Implementation of a digital solution for finance and welfare rights
Call Derbyshire	Improvement to processes associated with the Derbyshire Discretionary Fund Netcall phase 2 for the contact centre (including webchat and email blending) Reducing call volumes to the internal switchboard
CCP	Implementation of a council-wide SMS solution
ETE	Support for the ongoing eForms project across ETE Initiation of demand management and Channel Shift interventions to reduce enquiry volumes

This will be reviewed and agreed with directorates and ICT over the next few months, once preferred suppliers and Programme scope have been finalised. However, it is worth noting that at this stage, to the best of our knowledge, no new systems would need to be procured to facilitate these projects.

- As stated previously, the Channel Shift Programme will primarily focus on citizen-facing processes (for example, school admissions) rather than colleague-facing processes (for example, processes operated by the Shared Service Centre). In due course, however, we envisage an expansion of scope to assess the feasibility and benefit of bringing colleague-facing processes into the Programme. This may incur additional costs but would be supported by a full business case with projected benefits if agreed.
- The Channel Shift Programme will not, as things stand, introduce any middleware (software that acts as a bridge between an operating system or database and applications) to the Council, as this is a decision for which ICT is accountable. This Programme is focusing on the front-end citizen experience. However, a nominal amount of money has been included as contingency should this be required, once preferred suppliers have been selected and have engaged ICT about its preferred solution architecture.
- The Channel Shift Programme will not consider Internet speeds or anything associated with Internet/Broadband provision for citizens and colleagues. It should be noted that poor Internet/Broadband access may, in some cases, limit citizen engagement with the new systems and is a key prerequisite for Channel Shift Programme success. It emphasises the importance of the Council's "Digital Derbyshire" initiative.

Appendix 3: The benefits case for Channel Shift

1. Context

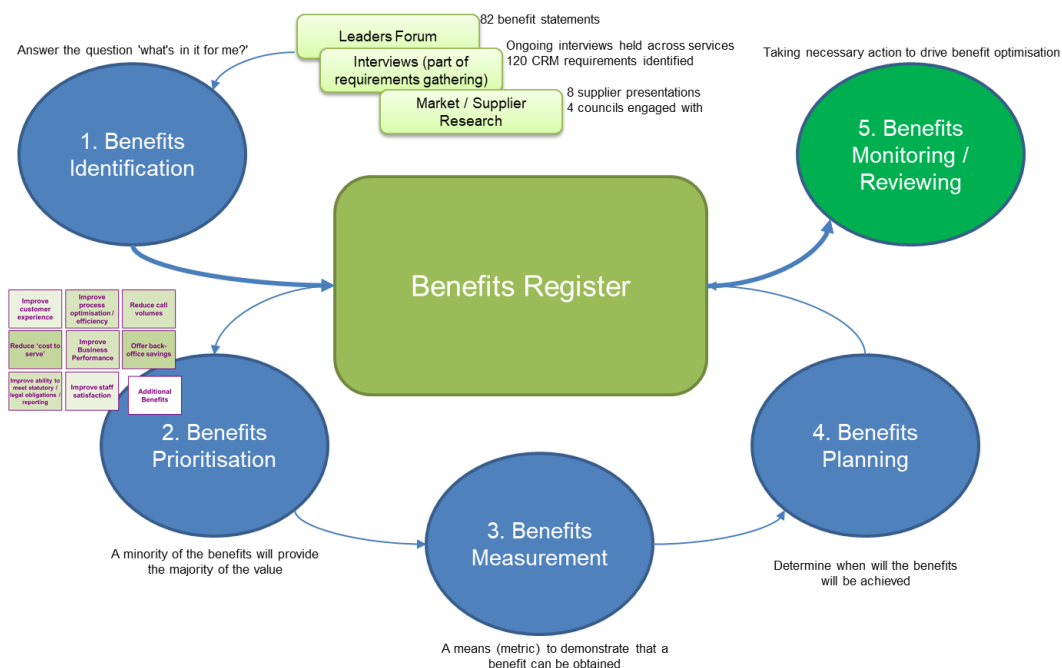
As stated in the Channel Shift Strategy, since mid-November 2019, the Channel Shift Programme Team has employed a Benefits Case Consultant to understand the likely quality and efficiency benefits associated with the Channel Shift Programme and, especially, the implementation of a corporate Customer Relationship Management (CRM) system.

The purpose of the Benefits Case Consultant’s role is to work across all directorates, and to ensure a consistent and robust approach to the identification and documentation of qualitative and quantitative benefits. This work has been taking place at the same time as requirements gathering in all four directorates, in preparation for the planned Tender in Q1 2020.

It should be noted from the outset that the Benefits Case is being updated daily based on directorate feedback, so the numbers contained in this paper are continuing to move. This is expected and should be expected throughout the lifetime of the Channel Shift Programme, as more information is known about likely solutions and the ways in which they impact individual services. The purpose of the Benefits Case at this stage is to identify the likely qualitative and quantitative benefits for Derbyshire County Council ("the Council"), to justify going to Tender and formally initiating a sizeable change programme.

2. The methodology employed

To understand the likely quality and efficiency benefits associated with the Channel Shift Programme, the Benefits Case Consultant has followed the first three steps in a standard five-step process, with all steps feeding into a detailed “Benefits Register” which contains a range of detailed calculations. The five-step process is reflected in the diagram below:



This methodology has been adopted to help structure the way in which system-related benefits are identified, captured, prioritised and measured.

3. Stakeholder consultations

More than 20 citizen-facing services have been engaged over the past two months, in addition to dozens of other ICT, Finance and other corporate stakeholders.

Engagements have typically started with an explanation about the new corporate systems which the Channel Shift Programme would like to adopt, followed by an overview from individual stakeholders about their role in the Council and the purpose of the service that they represent. Discussion has then turned to the potential benefits of the new corporate systems for the service in question.

At the end of each meeting, the Benefits Case Consultant has revisited the Benefits Register to enter key findings, before sharing the perceived qualitative / quantitative benefits with the service lead(s). Follow-up meetings have typically been arranged to discuss these figures in more detail before seeking approval of the identified quality and efficiency savings.

The following stakeholders have been involved in “deep dives” about their respective service areas. These deep dives were completed between mid-November and mid-January 2020:

Adult Care	Children's	ETE	CCP	Call Derbyshire
Debt management	School Admissions	Highways	Derbyshire Record Office	Call Derbyshire (Customer Service)
Shared Lives	Adult Education	Planning	Climate Change	
Welfare	ICT – Childrens Services	Waste Management	Libraries	
ICT – Adult Care		Highways Hub	Trading Standards	
		Flood Risk Mgmt	Digital Comms	
		Rights of Way	Risk Management	
			ICT	
			Finance	

4. Other consultations

In addition to the above, the Benefits Case Consultant has worked closely with ICT colleagues in particular to complete the following tasks which have supported some of the calculations in the Benefits Case:

- Reviewed and analysed the Council's websites, web forms and online application volumes;
- Reviewed and analysed the Council's ICT application inventory;
- Produced high-level process maps for key services (e.g. 'First Contact') to help directorates identify potential quality and efficiency benefits; and

- Worked closely with the Highways team to understand the relationship between the new Customer Relationship Management system and the Council’s Future Highways Model which is a key strategic initiative for ETE.

5. Progress to-date (“bottom-up” analysis)

This “bottom-up” approach – engaging individual services to understand the perceived benefits of the new systems – has been helpful for understanding, by service area, the relevance and opportunity costs associated with the Channel Shift Programme. However, the Benefits Case Consultant hasn’t been able to engage all services across the Council over the past three months.

We have, therefore, used findings from the service-specific deep dives to produce *assumptions* which underpin the wider Benefits Case. There are three main assumptions that underpin the benefits spread:

- A **low** efficiency saving of 0% could be applied across the Council at Grade 6 roles and below, resulting in £0m in staff efficiencies on top of deep dive findings;
- A **medium** efficiency saving of 2.5% could be applied across the Council at Grade 6 roles and below, resulting in £2.581m in staff efficiencies on top of deep dive findings;
- A **high** efficiency saving of 5% could be applied across the Council at Grade 6 roles and below, resulting in £8.995m in staff efficiencies on top of deep dive findings.

These assumptions have been modelled within the Economic Summary section below.

While we acknowledge that some Grade 6 roles do not deliver front-line citizen services (e.g. cleaners), there are also hundreds of colleagues in Grade 7+ roles who spend significant amounts of time executing low-level tasks that will be enabled and/or removed by the new corporate systems. We are confident, therefore, that the projected benefits can be realised upon implementation of the new corporate systems, provided benefits data is regularly, honestly and effectively captured both before and after key services go live.

6. Progress to-date (“top-down” analysis)

In late January 2020, the Channel Shift Programme Team was asked to also consider a “top-down” approach using the 2020-21 Budget Report⁵ from 23 January 2020.

Significant savings have already been captured in this report and, in some cases, technology introduced by the Channel Shift Programme will be a key enabler for already-identified benefits. A good example of this is £0.204m in cost avoidance that could be achieved by reducing non-Derbyshire waste disposal, something which ETE has already committed to delivering in the 2020-21 Budget Report. *Subject to a full feasibility assessment which will take place in Q2 2020*, the Channel Shift Programme will seek to help ETE realise this saving by introducing enabling technology.

This top-down analysis is underway and should be completed for review by mid-February 2020, and should give greater clarity about the balance between cash-releasing and non-cash-releasing benefits, and between “already-identified” and “newly-identified” savings. The

⁵ <https://democracy.derbyshire.gov.uk/documents/s2649/Item%204c%20Revenue%20Budget.pdf>

delta between the two is the “opportunity cost” of the Channel Shift Programme itself (i.e. new quality and efficiency savings that hadn’t previously been identified and/or publicly stated by directorates).

7. More benefits-related figures

The Cabinet paper contains a number of high-level figures which have been produced via “bottom-up” analysis conducted by the Benefits Case Consultant with individual service leads. Further information on these can be found below.

It is worth reiterating at this point that the Benefits Case is being updated daily based on directorate feedback, so the numbers contained in this paper are continuing to move. This is expected and should be expected throughout the lifetime of the Channel Shift Programme, as more information is known about likely solutions and the ways in which they impact individual services. The purpose of the Benefits Case at this stage is to identify the likely qualitative and quantitative benefits for Derbyshire County Council (“the Council”), to justify going to Tender and formally initiating a sizeable change programme.

Benefits are for five years and have been profiled as:

- 2020/21: 0% achievement. This assumes that there will be no benefits in the current financial year, despite c.50 services going live in Q4 2020;
- 2021/22: 50% achievement, following the Go Live of c.50 high-value services in Q4 2020 and more services going live over the course of 2021/22. This is ambitious but achievable if appropriate change management is put in place to drive service adoption and utilisation; and
- 2022/23, 2023/24 and 2024/25: 100% achievement, following the closedown of the Channel Shift Programme in April 2022 and the full embedding of new systems and associated processes into business as usual.

Please note that the following has been applied to the benefits calculations:

- All staffing costs include base salary costs *and* on-costs of 29.74% (covering NIC, pensions and other overheads).

a. Economic summary

With a low efficiency saving of 0% applied across the board:

In this scenario, we are suggesting that no additional efficiency savings (£0m) are realised across the Council at Grade 6 roles and below, beyond those already identified through the deep dive work conducted by the Benefits Case Consultant. This is considered to be the **least likely** of the three scenarios, given the appetite for dozens of services to use the new systems as part of the planned digital transformation.

ECONOMIC SUMMARY							
Costs and benefits	Project year	Yr 0	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5
	Financial year	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
(1) COSTS							
Sum of Cashflows							
Capital	-	-	-	-	-	-	-
Recurrent revenue	600,000	50,000	100,000	150,000	150,000	150,000	-
Transitional & non-recurrent revenue	1,038,758	718,363	167,895	152,500	-	-	-
COSTS TOTAL	1,638,758	768,363	267,895	302,500	150,000	150,000	-
(2) BENEFITS							
Cash Releasing Benefits	451,837	-	32,437	105,100	102,100	102,100	110,100
Non-cash Releasing Benefits	4,066,223	-	451,803	903,605	903,605	903,605	903,605
BENEFITS TOTAL	4,518,060	-	484,240	1,008,705	1,005,705	1,005,705	1,013,705
Value for Money Ratio	2.8						

With a medium efficiency saving of 2.5% applied across the board:

In this scenario, we are suggesting that minor efficiency savings (£2.581m over five years) can be realised across the Council at Grade 6 roles and below, in addition to those already identified through the deep dive work conducted by the Benefits Case Consultant. This is **probable** given: (i) the appetite for dozens of services to use the new systems as part of the planned digital transformation; and (ii) the fact that in some deep dives, the perceived efficiency savings were higher than 5%. This suggests that 2.5% efficiency savings across the board are conservative and, therefore, achievable.

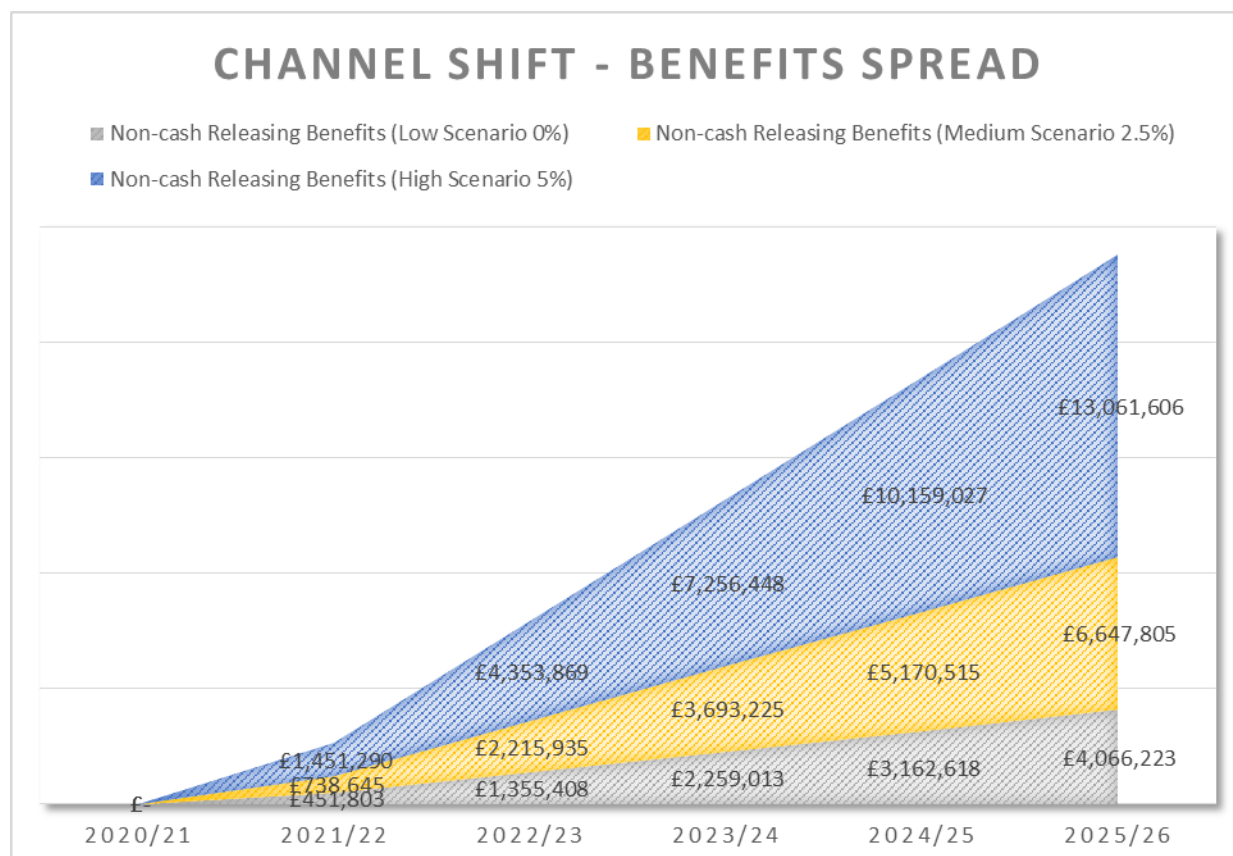
ECONOMIC SUMMARY							
Costs and benefits	Project year	Yr 0	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5
	Financial year	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
(1) COSTS							
Sum of Cashflows							
Capital	-	-	-	-	-	-	-
Recurrent revenue	600,000	50,000	100,000	150,000	150,000	150,000	-
Transitional & non-recurrent revenue	1,038,758	718,363	167,895	152,500	-	-	-
COSTS TOTAL	1,638,758	768,363	267,895	302,500	150,000	150,000	-
(2) BENEFITS							
Cash Releasing Benefits	451,837	-	32,437	105,100	102,100	102,100	110,100
Non-cash Releasing Benefits	6,647,805	-	738,645	1,477,290	1,477,290	1,477,290	1,477,290
BENEFITS TOTAL	7,099,642	-	771,082	1,582,390	1,579,390	1,579,390	1,587,390
Value for Money Ratio	4.3						

With a high efficiency saving of 5.0% applied across the board:

In this scenario, we are suggesting that sizeable efficiency savings (£8.995m over five years) could be realised across the Council at Grade 6 roles and below, in addition to those already identified through the deep dive work conducted by the Benefits Case Consultant. This is **possible** given: (i) the appetite for dozens of services to use the new systems as part of the planned digital transformation; and (ii) the fact that in some deep dives, the perceived efficiency savings were higher than 5%. However, this would require widespread utilisation and quick adoption across the whole Council and should, therefore, be considered an ambitious stretch target rather than a realistic outcome.

ECONOMIC SUMMARY							
Costs and benefits	Project year	Yr 0	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5
	Financial year	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
(1) COSTS							
Sum of Cashflows							
Capital	-	-	-	-	-	-	-
Recurrent revenue	600,000	50,000	100,000	150,000	150,000	150,000	-
Transitional & non-recurrent revenue	1,038,758	718,363	167,895	152,500	-	-	-
COSTS TOTAL	1,638,758	768,363	267,895	302,500	150,000	150,000	-
(2) BENEFITS							
Cash Releasing Benefits	451,837	-	32,437	105,100	102,100	102,100	110,100
Non-cash Releasing Benefits	13,061,606	-	1,451,290	2,902,579	2,902,579	2,902,579	2,902,579
BENEFITS TOTAL	13,513,443	-	1,483,727	3,007,679	3,004,679	3,004,679	3,012,679
Value for Money Ratio	8.2						

Visual representation of the benefits spread referenced above:



b. Financial summary

FINANCIAL SUMMARY							
Project year	Yr 0	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	
Financial year	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	
(1) COSTS	Sum of Cashflows						
Capital	-	-	-	-	-	-	
Recurrent revenue	600,000	50,000	100,000	150,000	150,000	150,000	
Transitional & non-recurrent revenue	1,038,758	718,363	167,895	152,500	-	-	
TOTAL	1,638,758	768,363	267,895	302,500	150,000	150,000	
(2) CASH RELEASING BENEFITS							
Cash Releasing Benefits, of which:	451,837	-	32,437	105,100	102,100	102,100	
Recurrent revenue benefits	451,837	-	32,437	105,100	102,100	102,100	
TOTAL	451,837	-	32,437	105,100	102,100	102,100	
UNDISCOUNTED TOTAL OF COSTS AND BENEFITS CHANGES	- 768,363	- 235,458	- 197,400	- 47,900	- 47,900	110,100	
RECURRENT REVENUE IMPACT	- 50,000	- 67,563	- 44,900	- 47,900	- 47,900	110,100	
Costs	- 768,363	- 267,895	- 302,500	- 150,000	- 150,000	-	
Savings	-	32,437	105,100	102,100	102,100	110,100	
Cumulative net impact	- 768,363	- 1,003,821	- 1,201,221	- 1,249,121	- 1,297,021	- 1,186,921	
	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26	
Revenue savings	-	32,437	105,100	102,100	102,100	110,100	
Initial Capex	-						
Average annual revenue saving 21/22 - 25/26	68,347						
Payback period	12						

c. Key cash-releasing benefits

Benefit Type	Benefit Description	Ongoing Annual Savings
Postage	Current DCC annual spend (£529,567) less 5% = £29,778.35 (Example: School Admissions 8,000 letters removed = £5,840)	£30,000
Removal of unnecessary ICT Systems	Known are - Room Bookings £9k - Car Share £5k (being procured, so not counted until year 3 onwards) - Highways Portrait Dialogue £5,773	£19,773
Rationalisation of websites	Current 28 hosted sites (cost £1k pa each)	£ -
Cost saving from non-Derbyshire waste disposal	Cost Avoidance of £204k related to the cost of waste disposal from non-Derbyshire residents	£55,000
Income Generation	Room Bookings Paid Advertising Future Highways model - Commercialisation of Services	£ -
Staff Savings	Processing Online Payments (5 min saving for 10% of trans, £5,327 PA)	£5,327
	CASH RELEASING BENEFITS	£110,100

d. Key non-cash-releasing benefits

Benefit Type	Benefit Description	Ongoing Annual Savings
Cost-to-serve savings	Call Derbyshire - Channel shift of Calls - 26% and emails - 78% (equivalent of 19 FTEs)	£492,908
Staff efficiencies	From deep dive covering: First Contact - Adults Adult Social care - rekeying info into MOSAIC Highways – rekeying info and checking Claims - rekeying from e-mails Floods - processing e-mails School Admissions - admin & chasing	£253,563
Cost saving from additional Placements	Shared Lives Derbyshire (2x additional placements PA)	£52,000
Income savings from Event Bookings	Currently Eventbrite charges £1 / ticket (opportunity to bring in-house)	£ -
Cost savings from nondefect visits	Cost of highway crews for non-defects (£105,134)	£105,134
	NON-CASH RELEASING BENEFITS (Excluding additional staff efficiencies)	£903,605
Additional staff efficiencies from automation – Low scenario	Overall efficiency savings (Band 6 and below) at 0% on top of the total non-cash releasing benefits referenced above	£ -
Additional staff efficiencies from automation – Medium scenario	Overall efficiency savings (Band 6 and below) at 2.5% on top of the total non-cash releasing benefits referenced above (and excluding the low efficiency scenarios)	£573,685
Additional staff efficiencies from automation – High scenario	Overall efficiency savings (Band 6 and below) at 5% on top of the total non-cash releasing benefits referenced above (and excluding the low and medium efficiency scenarios)	£1,998,974

e. Qualitative disbenefits

The following potential disbenefits have been identified by stakeholders while discussing the impact of introducing new corporate systems to the Council:

- Staff may feel threatened and concerned about their job security;
- Staff may be worried about changes to their jobs;
- Managers may be concerned about losing control and/or visibility if more work happens online;
- Service-level processes may not be ready for corporate solutions and/or able to handle online transactions (which may increase over time and be submitted 24/7);
- Call volumes may increase if the wrong customers are asked to self-serve online;
- The Council may not be able to support, maintain and develop the new systems due to known pressures on ICT;
- The Council's wider technology may not be ready for corporate solutions and greater investment may, therefore, be needed in ICT (e.g. mobile devices, software upgrades);
- Citizen expectations may rise as a result of new technology and become difficult (or even impossible) to meet;
- Citizens may be concerned about sharing more personal data with the Council, and the Council will need to handle such data in a safe and secure manner;
- The Council may be publicly criticised for promoting online services and be perceived to be excluding citizens who are less digitally-literate.

As stated in Appendix 1, implementing an ambitious Channel Shift Strategy will involve significant cultural change – both internally and externally. For this reason, change management will be placed at the heart of the Channel Shift Programme and change management experts will be employed to ensure that the above disbenefits are considered, planned for and managed appropriately.

f. Constraints

The following constraints need to be acknowledged at this stage of the benefits realisation process. They will directly impact on the size of the benefits realised by the Channel Shift Programme:

Constraint	Description
Service Rollout	The order and pace in which services are to go-live will determine the size and timing of associated benefits.
Activity Levels	An assumption has been made that the volumes of transactions, contacts, services provided etc remain constant. Sizeable changes in activity will impact on size and of associated benefits.
Change Management	The extent in which the benefit opportunities are achieved are reliant on associated change management activities, process redesign and changes in working policy etc.
Benefit Delays	While some benefits are achieved fairly rapidly, others are more complex and require more time to achieve the benefit level anticipated.
ICT Integration not Replacement	When profiling service efficiency, workflows, customer satisfaction etc many ICT applications currently exist and are not currently in scope for replacement e.g. CONFIRM.
New departmental systems	On engagement a number of new ICT applications had or were being procured. For Example; Tribal EBS for Adult Education, new Welfare system, new Claims system, MOSAIC portal. We recognise this and in-turn not accounted for benefits that have been recognised in the corresponding business cases or procurement documents.
Digital Exclusion	There is of course the requirement to identify those individuals/groups whom are digitally excluded and in-turn would not benefit from a Channel Shift.

Derbyshire County Council

Equality Impact Analysis Record Form 2018

Department	Commissioning, Communities & Policy
Service Area	Channel Shift Programme
Title of policy/ practice/ service of function	<ol style="list-style-type: none"> 1. Citizen-facing corporate Customer Relationship Manager (CRM) system 2. Complaints, Comments and Compliments system 3. Room and Events Booking system
Chair of Analysis Team	Nigel Halliwell

Stage 1. Prioritising what is being analysed

- a. Why has the policy, practice, service or function been chosen? (rationale)
- b. What if any proposals have been made to alter the policy, service or function?

Context

In September 2019, the Channel Shift Programme was launched to facilitate the achievement of these objectives by introducing new self-serve options for local residents. Increasing self-serve optionality is one of the Council's key priorities over the next two years. The Council is also committed to expanding the range of communication channels (e.g. face-to-face, online, mobile, SMS, etc.) which citizens can use to access Council services.

The Channel Shift Programme will play a key role in realising this ambition through the introduction of webchat, email blending and other new communication channels, as well as the delivery of a new citizen-facing Customer Relationship Manager ('CRM') system. This will potentially be supported by the delivery of a new 'Complaints, Comments and Compliments' system covering a wide range of citizen services, and a new 'Room and Events Booking' system for both citizens and colleagues in relation to Council buildings and assets. All of this goes hand-in-hand with the Council's revision of the Customer Charter.

The Channel Shift Programme will increase the volume of Council services that can be accessed online, something described as a key measure for success in the Council Plan. This will improve customer experiences, optimise back-end processes and deliver measurable savings for the Council whilst providing better value for money for Derbyshire's citizens.

Digital inclusion

Despite the many benefits of this approach for the Council and for Derbyshire's citizens, it is important that the Council actively considers digital inclusion and that it facilitates multi-channel access to services where required. Citizens who are not digitally-aware or digitally-enabled should not be disadvantaged by the growing trend to move public services online. Indeed, the Council has a statutory duty to make reasonable adjustments for disabled people. This has been effectively highlighted by the UK Consumer Digital Index 2018 (Lloyds Bank) which has identified that disabled people are 4 times as likely to be offline. The 2019 Index reports that only 11% of people with a disability use assistive technology (screen readers etc.) when going online and one-fifth (21%) say there is no suitable technology for their condition to help them go online.

Furthermore, on the matter of digital inclusion generally, the 2019 Digital Index notes that while 31.5 million people (62%) are *Digital First* (i.e. use multiple devices, shop and stream online, and prefer to manage money digitally) the following findings are of particular concern for the Channel Shift Programme:

- 12.7 million people (25%) are *Digitally Competent* (i.e. use digital but prefer face-to-face support);
- 6.1 million (12%) are *Digitally Disengaged* (i.e. have little or no digital behaviours);
- 4.1 million adults (8%) are offline altogether, 3 million of whom (75%) report having no interest in being online;
- Almost half of the offline (48%) are under 60 years old, challenging the assumption that the offline are mostly elderly;
- Nearly half of the offline people (47%) come from a low-income household;
- 11.9 million people (22%) do not have the Essential Digital Skills needed for day-to-day life in the UK;
- People with a disability are 35% less likely to have Essential Digital Skills for life (but in the workplace they are equally skilled);
- More than half of UK employees (53%) do not have the digital skills needed for work

To this end, a high-level Equalities Impact Assessment is being completed at an early stage to help evaluate and identify the likely impact of the Channel Shift Programme upon people (both employees and citizens) with protected characteristics as outlined in the Equalities Act 2010. Further analysis will be required as individual services are targeted for inclusion in the proposed CRM system.

Ultimately, some traditional channels may be 'switched off' for certain services. This was recently the case for our library book renewals service which, since November 2019, can

no longer be done over the phone with Call Derbyshire. Books can still be renewed face-to-face in branch, online and over the phone with local branches. This maintains a range of communication options to citizens while reducing the administrative burden on the Council.

c. What is the purpose of the policy, practice, service or function?

Today, online Council services are accessed in different ways and there is little consistency or visibility between them.

In contrast, the new CRM system will provide a single point of entry for members of the public to engage and interact online with many Council services. Ultimately, once the system is implemented, local residents will, for example, be able to use a wide range of services such as report a pothole, book a room and engage in the school admissions process online **from one and the same place**. They will be able to track the progress of each of these transactions and/or interactions **in the same place**, thus improving visibility, traceability and accountability.

As the Channel Shift Programme progresses from Year 1 (2020 – around 50 services aimed to Go Live) to Year 2 (2021 – approximately 100 more services may Go Live) and Year 3 (2022 – a further 50 services will Go Live), lots of key Council services will become available online. Our expectation is that online transactions will grow as an alternative to more expensive traditional channels.

d. Will the proposals lead to changes in staffing resources/ the organisation of staffing? If Yes, please outline.

Current colleague experiences

A key driver of the Channel Shift Programme is to enhance colleague experiences of working at the Council. It is difficult to get a 360-degree view of residents' needs and this prohibits proactive service provision and currently limits the ability of Call Derbyshire staff to address resident queries (for example, they are unable to respond to detailed questions about the status of some types of transactions). The lack of integration between online forms and back-end systems means that manual re-inputting of data is common. The monitoring and evaluation of complaints is also made more difficult because of inconsistent processes and systems across the Council's four directorates.

Future colleague experiences

The proposed digitisation will improve service quality and efficiency through:

- Improvements in staff morale, well-being and job satisfaction by giving them the tools to reduce administrative effort and focus more exclusively on 'value add' activities. To achieve this, the Channel Shift Programme will seek to streamline existing business processes wherever possible, rather than 'lifting and shifting' current ways of working;
- Greater consistency in service provision across the Council's different services / departments;

- Improved business intelligence, customer data and the ability to predict service need and usage rather than simply responding to incoming work.

The new systems could also be used extensively for colleague-facing processes, as well as the citizen-facing processes that are primary in view with the Channel Shift Programme. For example, processes around the integration of new employees operated by the Shared Service Centre, HR or Finance could use and benefit from the new systems.

As such, the impact on any colleagues with a protected characteristic (especially, but not restricted to, age and disability) and any negative effects or outcomes which might result could be sizeable. These will be understood in more detail as the project develops.

Stage 2. The team carrying out the analysis

Name	Area of expertise/ role
Nigel Halliwell (Chair)	Project Officer, Channel Shift Programme Team
Lee Gregory	Service Partner, Human Resources
John Cowings	Senior Policy Officer, Commissioning, Communities & Policy (Equalities)
Sharon O'Hara	Service Manager, Adult Social Care & Health
Chris Newton	Head of Children & Younger Adults ICT, Children's Services
David Massey	Performance & Engagement Manager, Economy, Transport & Environment
Kirstie Matkin	Access & Inclusion Manager, Libraries
Wendy Kurcewicz	Senior Librarian

Stage 3. The scope of the analysis – what it covers

Service scope

Increased digital usage by Derbyshire citizens for a range of services, including banking and shopping, means that many citizens expect:

- to access Council services via a diverse range of communication channels, including digital and mobile;
- to seamlessly switch between these channels;
- to access Council services quicker than ever before, at a convenient time for them; and
- high levels of citizen experience and self-serve across all channels.

As such a wide range of Council services are potentially in view for the Channel Shift Programme, such as:

- Make an online payment
- Disabled parking bays
- Pay a parking fine
- Vehicle access and temporary obstruction licences
- Highways permit
- Bus and train timetables
- Bus fares, tickets and passes
- Recycling centres
- Report fly-tipping
- Conservation – grant schemes
- Reporting flooding
- Reporting dog fouling
- Countryside events programmes
- Library events
- Adult care leaflets
- Services for adults with disabilities
- Help to live at home
- Adult Social Care – referral forms for professionals
- Adult Social Care – day services framework
- Apply for, renew or replace a Blue Badge
- First Contact signposting
- Shared Lives Derbyshire
- Funding and grants for older people’s clubs
- Outdoor learning
- Apply for a school place / School Admissions
- Learner financial support (16-19s)
- Safeguarding children training
- Early years pupil premium
- Social care grants for voluntary groups
- Register births, marriages and deaths
- Trusted Trader
- Derbyshire Handy Van service
- Emergency planning
- Community safety
- Complaints procedure
- Derbyshire Discretionary Fund
- Work for us – ways to apply
- Work for us – apprenticeships

While this is not an exhaustive list of Council services, it serves to highlight the diverse range of services which the Council hopes to put onto the new corporate systems.

Service prioritisation

Firstly, the Programme Team will work with the Channel Shift Board, Directorates and individual services to prioritise candidates for Channel Shift. This will involve examining the following:

- Anticipated benefits (both to citizens and the Council);
- Perceived importance to citizens (informed by recent data from the Resident Survey);
- Estimated number of people using the service (informed by Google Analytics and web form volumes);
- Sensitivity: Adult Social Care, Children's Services and environmental services are generally deemed to be more 'sensitive';
- Complexity to change (with information-only pages generally being easier to bring into the CRM).

Anticipated change impact (colleagues)

For services that are already available online (e.g. ETE's reporting portal), there is unlikely to be substantive change to back-end / end-to-end processes. That said, there may be *some* changes to back-end processes to reduce re-inputting of data and to introduce workflow efficiencies. Where services are NOT already available online, there is expected to be more substantive change to back-end / end-to-end processes.

The impact of these changes on colleagues with any of the nine protected characteristics is considered in the scope of this analysis. As stated above, further analysis will be required as individual services are targeted for inclusion in the CRM system.

Anticipated change impact (citizens)

In the short- to medium-term, the new portal will be an optional extra, so traditional channels such as phone and email are likely to be retained alongside the CRM system. As such we anticipate that there will be little impact on citizens with any of the nine protected characteristics. In the long-term, however, it is likely that some traditional channel options will change and will potentially be "switched off". This means citizen choice and access needs to be constantly considered and discussed, both internally and externally, and is essential for embedding a digital-first mind-set wherever possible.

In addition to the nine protected characteristics defined under the Equalities Act 2010, it is important to consider the impact of the proposed changes on citizens who are socio-economically 'disadvantaged' and/or isolated geographically (i.e. rural communities) where uptake of services online is likely to be lower due to poor digital infrastructure. These groups will also be included in this impact assessment.

Stage 4. Data and consultation feedback

a. Sources of data and consultation used

Source	Reason for using
“Internet Users - UK” (ONS, 2019)	<i>Recent statistics on who uses the Internet</i>
“Internet Access – Households & Individuals – GB” (ONS, 2019)	<i>Recent statistics on Internet access by households and individuals</i>
Derbyshire County Council’s Customer Segmentation Model	<i>Data to inform citizen behaviour and potential channel preferences</i>
“Your Council, Your Voice” (DCC, March 2019)	<i>Recent citizen information</i>
https://www.derbyshire.gov.uk/	<i>Derbyshire County Council website</i>
https://observatory.derbyshire.gov.uk/	<i>Data and statistics for Derbyshire</i>
Derbyshire Library Service	<i>Experience of working with citizens who don’t have much experience or confidence in using a computer on jobs and benefits</i>
Derbyshire 50+ Forums	<i>Ilkeston and Long Eaton run computer / tablet training sessions</i>
UK Consumer Digital Index 2018 (Lloyds Bank)	<i>National digital trends</i>
UK Consumer Digital Index 2019 (Lloyds Bank)	<i>Latest national digital trends</i>
Building better websites - Developing for digital inclusion (Good Things Foundation Blog, July 2014)	<i>Best practice on building accessible websites</i>
https://www.sense.org.uk/	<i>Charity supporting people living with complex disabilities (e.g. deafblind)</i>
“Introducing another World: older people and digital inclusion” (Age Concern / Help the Aged / BT, 2009)	<i>Qualitative research on the barriers and enablers to tackling digital exclusion in later life</i>
Adults: Media Use and Attitudes Report 2019 (OfCom)	<i>Recent information on media use and attitude amongst adults</i>
“Digital Inclusion - The Vision, the Challenges and the Way Forward” (University of Edinburgh, 2015)	<i>Academic paper on digital inclusion</i>
Digital Inclusion Strategy & Action Plan (Tower Hamlets Partnership)	<i>Local Authority digital inclusion strategy</i>
“Future Digital Inclusion: delivering basic digital skills for those in need” (Good Things Foundation, July 2019)	<i>Future Digital Inclusion programme run by Good Things Foundation and funded by DfE is the largest digital inclusion programme in the UK. It uses the community reach of the Online Centres Network to support some of the hardest to reach groups in society, engaging them in digital and helping them to progress.</i>

Source	Reason for using
“A checklist for digital inclusion” (HMG 2014)	<i>HMG guidance and best practice around tackling digital exclusion.</i>
“Essential Digital Skills Framework” (HMG Department for Education, 2019)	<i>Government paper defining the essential digital skills needed to navigate the online world.</i>
https://www.ruralactionderbyshire.org.uk/digital-hubs	<i>Explores issues of access, skills, motivation and trust around rural communities engaging with the trend towards signing up for services via the Internet rather than by using more traditional methods.</i>
“Digital Skills for the Hardest to Reach: Literature review” (Reboot UK / Tinder Foundation / Homeless Link / Family Fund / Mind, Jan 2016)	<i>Reboot UK is an innovative digital inclusion project funded by Big Lottery Fund which aims to rebuild the lives of people in poverty through personalised basic digital skills training and community-based support</i>
“Government Digital Strategy: Action 15 – Digital Inclusion” (HMG Cabinet Office, Jan 2015)	<i>How HMG departments plan to carry out action 15 of the 2013 Government Digital Strategy. Action 15 is ‘Collaborate with partners across public, private and voluntary sectors to help people go online’</i>
“National Data Opt-out Equality Impact Assessment” (NHS Digital)	<i>Equality Impact Assessment carried out by NHS Digital on the National Data Opt-Out proposals.</i>
“Building Disability-smart Organisations” (Business Disability Forum)	<i>Disability Forum advice on accessible website construction</i>
https://deafblind.org.uk/what-we-do/digital-inclusion/	<i>Advice and best practice from a charity working alongside the deafblind community</i>
“Bridging the Disability Divide through Digital Technologies” (World Bank Group, 2016)	<i>World Bank paper on addressing the Digital Divide.</i>
“Mobile technology and inclusion of persons with disabilities” (K4D Emerging Issues report from Institute of Development Studies, May 2018)	<i>Report highlighting research and emerging evidence that shows how mobile-enabled services can help increase inclusion of persons with disabilities.</i>
https://www.onlinecentresnetwork.org/	<i>Website of the Online Centres Network which contains resources and articles on digital inclusion for those excluded on the basis of socio-economic, geographical, disability, language, health and well-being.</i>
“I am connected: new approaches to supporting people in later life online” (Good Things Foundation, May 2018)	<i>Advice and best practice around digital exclusion of older people.</i>

Source	Reason for using
“Connecting with Digital” (Good Things Foundation / Mind / Homeless Link, Nov 2019)	<i>The “Connecting with Digital” report is an evaluation of Good Things Foundation’s Community Connectors programme, run as part of the Reboot UK programme, which helps people experiencing homelessness, or mental health issues get online.</i>
“Get Online Week 2019: Post-campaign report” (Good Things Foundation, Jan 2020)	<i>Annual National Get Online Campaign</i>
“Designing Digital Skills Interventions for Older People” (Good Things Foundation, Oct 2019)	<i>One of a number of helpful handbooks produced by Good Things Foundation around digital inclusion for people with a protected characteristic.</i>
“Changing behaviour around online transactions” (Good Things Foundation / Money Advice Service / Toynbee Hall / University of Sheffield, Jan 2019)	<i>Report around value of assisted digital transactions to promote financial inclusion.</i>
“Digital Motivation: Exploring the reasons people are offline” (Good Things Foundation / BT /University of Liverpool, Nov 2018)	<i>Identifies reasons people actively or passively chose not to access online services.</i>
“The economic impact of Digital Inclusion in the UK” (Good Things Foundation, Sept 2018)	<i>Economic case for digital inclusion.</i>
“Helping Rural Businesses Thrive: A toolkit for supporting rural business with digital skills” (Good Things Foundation / Princes Countryside Fund, Apr 2018)	<i>Identifies issues and mitigating actions around digital skills faced by rural businesses.</i>
https://www.learnmyway.com/	<i>Free courses on getting online and how to use the internet (includes a section on using public services online)</i>
https://www.englishmyway.co.uk/	<i>Information and resources for working with adults with no or low levels of English</i>
“The real digital divide? Understanding the demographics of non-users and limited users of the internet: an analysis of Ofcom data” (Good Things Foundation / BT, June 2017)	<i>Understanding why people may not wish to access services online</i>
“Fuller lives, stronger communities: English My Way Phase 3 Evaluation Report” (Good Things Foundation, May 2017)	<i>Looks at those excluded from the life of their local community by supporting people facing significant language barriers and integration challenges, to improve their English language skills</i>
“English My Way Libraries Pilot: Summary of Centre Participation”	<i>Initial findings of the libraries pilot scheme</i>
“ESOL in libraries: A Good Things Foundation handbook” (May 2017)	<i>Includes experiences of delivering pilot schemes in Leeds, Derbyshire, Blackburn & Darwen and Redbridge</i>

Source	Reason for using
DigiLibraries Infographic (Good Things Foundation, Nov 2016)	<i>Infographic showing that there is a new role for libraries in supporting digital inclusion for those in our communities without digital skills,</i>
“Doing Digital Inclusion: Disability Handbook” (Good Things Foundation, Dec 2016)	<i>Helpful handbooks produced by Good Things Foundation around digital inclusion for people with a protected characteristic.</i>
“Doing Digital Inclusion: Libraries Handbook” (Tinder Foundation, Nov 2015)	
“Doing Digital Inclusion: Unpaid Carers Handbook” (Tinder Foundation, June 2016)	
“Doing Digital Inclusion: Rural Handbook” (Tinder Foundation, Dec 2015)	
“Doing digital inclusion with the most excluded: Older People” (Good Things Foundation / Talk Talk, Oct 2018)	<i>Further work by Good Things Foundation around digital inclusion with the most excluded groups.</i>
“Doing digital inclusion with the most excluded: People with Learning Disabilities” (Good Things Foundation / Talk Talk, Oct 2018)	
“Doing digital inclusion with the most excluded: Low income families” (Good Things Foundation, Oct 2018)	
“Connecting with Digital” (Good Things Foundation / Mind / Homeless Link / Family Fund, Nov 2019)	<i>The Community Connector project was the third phase of the four year Reboot UK programme - a significant programme undertaken by Good Things Foundation and partners Mind, Homeless Link and Family Fund to explore the best ways to support vulnerable people to improve their lives through digital.</i>
“Health & Digital - Reducing Inequalities, Improving Society: An evaluation of the Widening Digital Participation programme” (Tinder Foundation, July 2016)	<i>Tinder Foundation’s response to the “Widening Digital Participation” programme</i>
“Dementia and Digital: Using technology to improve health and wellbeing for people with dementia and their carers” (Tinder Foundation, Sept 2016)	<i>Builds on findings from the NHS-funded “Widening Digital Participation” programme to better understand of the role of basic digital skills and community-based support in improving the health and wellbeing of families affected by dementia</i>
“Building Digital Confidence: Evaluating Family Fund’s Digital Skills Programme for parents/carers raising disabled or seriously ill children” (Family Fund, Feb 2018)	<i>Research paper around building digital confidence for carers of disabled children.</i>
https://onedigitaluk.com/	<i>Knowledge Hub information on Developing a Digital Champion project</i>

Source	Reason for using
Web Content Accessibility Guidelines (WCAG) 2.1	<i>Defines how to make Web content more accessible to people with disabilities. Accessibility involves a wide range of disabilities, including visual, auditory, physical, speech, cognitive, language, learning, and neurological disabilities</i>
“Doing a basic accessibility check if you cannot do a detailed one” (HMG, Aug 2019)	<i>First step towards meeting the new accessibility requirements under WCAG 2.1.</i>
“Understanding New Accessibility Requirements for Public Sector Bodies” (HMG, May 2019)	<i>HMG guidance and advice</i>
Digital Nation Infographic 2019 (Good Things Foundation, Sept 2019)	<i>“The 2019 update of our Digital Nation infographic gathers together the facts and stats about non, limited and engaged users of the internet in the United Kingdom.</i>
“Make it Click” (Good Things Foundation)	<i>Derbyshire Libraries are participating in the Make it Click project which uses Learn My Way and other resources on the Make it Click Digital Skills Directory, and is designed to help people grow their digital skills as they get into work, develop their career or build their business.</i>
“Exploring the UK’s Digital Divide” (ONS, March 2019)	<i>This report addresses the implications of putting more public / government services online and argues for traditional channels to be retained for those who are not equipped to take advantage of this technology or are unwilling to do so. It those who have the five basic digital skills in the East Midlands is just below the national average.</i>
“Delivering on Universal Credit” (Citizen’s Advice, July 2017)	<i>A report which includes some discussion of the issues of the Universal Credit online application and account which need to be maintained online.</i>
The Get Digital Heat Map (The Tech Partnership, 2017)	<i>Online map showing the likelihood of digital exclusion in every UK district based on key digital (e.g. broadband / mobile infrastructure, internet use and digital skills) and social (e.g. age, education, income and health) indicators.</i>

Stage 5. Analysing the impact or effects

a. What does the data tell you?

Protected Group	Findings
Age	<p>Older people (aged 65+) constitute 22% of the population of Derbyshire and some Council services are specifically aimed at older people.</p> <p>Internet usage is increasing among older people (and has increased substantially over the past 5 or so years). It should not, therefore, be assumed that older people will not use digital systems, as many already do – particularly with assistance.</p> <p>However, digital exclusion is still an issue for many older citizens, and this should, therefore, be a key consideration of the Council. Lots of older people are not online, and those who are, tend to be online less frequently and/or are less digitally-skilled. From evidence it is known they can also be more prone to online scams than younger Internet users due to their lack of familiarity with technology.</p> <p>ONS data from 2019 says that of the 4 million adults who have never used the Internet, more than half (2.5 million) are aged 75 years and over. This is also the age group with the highest proportion of people who have stopped using the internet.</p> <p>It should also be noted that Internet usage by older people is less ‘transactional’ when compared to other age groups. For example, just 29% of users in the 65+ age bracket undertake weekly transactions compared to 50% of all Internet users in all age groups.</p> <p>This pattern is even more emphasised amongst older disabled people.</p> <p>Reasons for being offline</p> <p>National survey data shows that many older non-Internet users cite a lack of interest to explain why they don’t use the Internet. While this position <i>may</i> be part of a reasonable and well-informed choice, it often obscures an underlying lack of confidence or arises from misinformation about the risks and benefits of Internet use.</p> <p>Published data from Ofcom shows that more than two thirds of non-Internet users over 65 believe that there would be no benefit to going online for them personally, compared to only 40% of under-</p>

65's. Being made aware of the benefits of going online is not enough on its own to persuade someone to try the Internet; the fact that everything and everyone is moving online is a source of distaste and anxiety for some.

Furthermore, being offline is not always a disaster for an individual. In many cases, preferring to do things *offline* may indicate needs that are especially important to older people and cannot be reproduced online, such as the face-to-face interaction or the social aspect of talking to another person on the phone. Having led an offline life, some older people struggle to see how the Internet is relevant to their everyday lives and how it would benefit them.

Direct experience rather than second-hand experience is essential in changing attitudes. When major life changes such as bereavement, retirement and redundancy impact older people's wellbeing and social resources, the Internet can change from being an optional extra to be a vital lifeline to counter isolation and loneliness.

Age and mobile technology (including phones)

While smartphone ownership among adults runs at around 80% nationally, such ownership is unevenly spread. The UK Consumer Digital Report found that there is a clear downward trend in ownership as you approach the older age groups with only 28% of the over 75s owning a smartphone.

People currently aged 50-75 are more likely to use a smartphone and making services accessible by smartphone is likely to lead to more older people preferring such methods in the future.

Security and concerns over data usage

Two key concerns for older people when using online services are security and how their data will be used by others. According to the Tinder Foundation's report "Dementia & Digital" (Sept 2016), this is of particular concern amongst people with dementia as the condition appears to compound these anxieties.

Elderly carers

Age, disability and socio-economic status are big contributing factors to the likelihood of someone being digitally excluded. Many elderly carers also fall into these categories and cannot afford to be online at home. Like the people for whom they care, many lack confidence and are concerned about security online and/or lack personal time to access and develop digital skills.

	<p>If they have a partner, older people are more likely to use combined email addresses. This means security around a single log-in/sign-in needs to be considered by the Council, as do proxy sign-ins for people who either lack the digital skills to log-in themselves or don't have the physical capacity to register for services online.</p> <p>Age and rurality</p> <p>Old age and low income are more prevalent in rural areas, and standard digital awareness-raising strategies tend to be less effective due to the independent and dispersed nature of the population. Fewer services are available locally and reductions in the availability of public transport can reduce access to services. See below under "Rural" for more on these challenges.</p> <p>Young people</p> <p>Around 9% of people in Derbyshire are aged 16-24. The use of technology amongst younger people is huge and young people expect to be able to access information and services digitally. Young people below the age of 18 may also wish to access Council services online (e.g. youth grants / work experience / apprenticeships) so parental permission may need to be considered by the Council as part of the online sign-up process for accessing these types of services.</p>
Disability	<p>According to the Derbyshire Equalities Profile 2017, 20% of Derbyshire residents have a long-term health problem or disability, and 12% of the working age population have a physical disability or health problem which inhibits their mobility. This means disability is a key characteristic that needs to be considered as part of this impact assessment.</p> <p>Among people with disabilities who already use the Internet, according to Digital Nation 2019, 78% have the essential digital skills required to navigate the online world. Of these, 50% use the Internet to access local Council services (2019 UK Customer Digital Index).</p> <p>Positive disabled experiences</p> <p>For many disabled users, there are positives to shifting information and services online. The use of well-structured online forms can help to steer users through complex data entry processes at their own pace, thereby enhancing the user experience and helping to</p>

reduce pressure and/or a sense of being overwhelmed when using more traditional channels.

Website design and flow should, therefore, actively consider certain disability groups when being developed (e.g. people with autism and other cognitive disabilities).

Accessibility and use of technology

Whilst improving the range of services which can be accessed online can aid some disabled people, it can act as a further barrier for others. For disabled people, the lack of reasonable adjustments by service providers limits access to services and information.

Sign language

For Deaf people whose first language is British Sign Language (BSL) there is a general lack of instructions and advice videos. Adult Social Care already have a limited number of BSL videos on the Council's website. The Council is currently consulting with Deaf organisations to expand the amount of information in BSL and to improve ease of use of services and currently has a contract with SignLive to support contact via Call Derbyshire.

Usage

People with a disability are more than twice as likely to be offline than those without a disability, making up half of the 0.9 million lapsed Internet users (those who last used the Internet over three months ago and are significantly less likely to understand the benefits of the Internet (Doing Digital Inclusion – Disability Handbook, Good Things Foundation).

25% of disabled adults have never used the Internet, two and a half times more than non-disabled users.

In their report, Good Things Foundation identified that for many disabled people, common blockages to Internet use include website and device accessibility, financial constraints (it isn't a priority), reliance on proxy users, a lack of trusted support, limited knowledge about or availability of specialist equipment, and low digital skills among support staff.

Reasonable adjustments, aids and adaptations

While there is a wide range of assistive technology out there, one fifth of people with a disability say that equipment/technology is not appropriate to their condition. Those with a physical disability are

	<p>the most likely to agree with this statement and means 66% of disabled Internet users do not use assistive technology when going online.</p> <p>Learning disabilities and autism</p> <p>It is worth nothing that although 61% of people with a learning disability use a smartphone (Ofcom), carers, support workers and/or families often think that they are too vulnerable to use the Internet and, therefore, restrict their access and usage.</p> <p>People with autism may benefit from greater digital access, although this may vary from people to person.</p>
Gender or Sex	<p>According to the Derbyshire Equalities Profile 2017, 51% of Derbyshire residents are female. Anecdotal evidence suggests that more people who contact the Council are female.</p> <p>Any changes may therefore be expected to impact more on women, although this may not be an adverse impact.</p>
Gender reassignment	<p>There is no evidence which suggests that trans people will be additionally disadvantaged.</p>
Marriage and civil partnership	<p>There is no evidence which suggests that married people or those in civil partnerships will be additionally disadvantaged.</p>
Pregnancy and maternity	<p>A number of the Council's services, such as public health services support expectant mothers and new families. It is not anticipated that they will be additionally disadvantaged.</p>
Race	<p>There are differing rates of digital exclusion among ethnic groups. For example, ONS data shows that 10% of White, Pakistani and Bangladeshi ethnicities have never used the Internet, compared to just 2.6% of people of Chinese ethnicity. The NHS BME Network has also expressed the view that digital exclusion is high among elderly people in ethnic minority groups, suggesting that this is a key characteristic that needs to be considered as part of this impact assessment.</p> <p>Compared to other areas in the East Midlands and in England as a whole, Derbyshire has a relatively small population of people from BME backgrounds (4.2% as opposed to 14.6% and 20.2% respectively). Derbyshire residents from BME backgrounds are largely spread evenly across the whole county with statistically significant concentrations in Stenton Fields (18.1%) and an area of Long Eaton (8.5%). Although served by Derbyshire County Council, both these communities are on the outskirts of Derby City.</p>

	<p>Gypsies and Travellers</p> <p>According to NHS EIA on National Data Opt-Out, some Gypsy and Traveller communities distrust where online data is going and find it difficult to verify their identity online. Although reports suggest that Internet use is growing among these communities, Internet access on sites can be poor and many Travellers may have limited or no IT skills. Rates of Internet use in Gypsy and Traveller communities are lower than in the general population, particularly in older age bands who it has been shown are likely to mistrust technology or not have used it before to access services.</p> <p>Non-English speakers, asylum seekers and refugees</p> <p>In Derbyshire, the number of people who do not speak or understand English is small, usually concentrated amongst older people from the Indian sub-continent or amongst newly-settled refugee communities. Demand for the Council’s interpretation and translation services is very low, with Polish being the most requested language, reflecting the higher number of families / couples in some towns in Derbyshire.</p>
Religion and belief including non-belief	There is no evidence which suggests that people will be additionally disadvantaged on the basis of religion, belief or non-belief.
Sexual orientation	There is no evidence which suggests that people will be additionally disadvantaged on the basis of their sexual orientation.

Other

General	<p>In recognition of the complex nature of inclusion and the varying degrees to which residents are digitally included, the Government’s digital service created a digital inclusion scale in 2013 for the whole of the UK population, based on the “BBC Go On” UK survey. It put people into one of nine categories, six of which represent a significant degree of digital exclusion, namely:</p> <ul style="list-style-type: none"> • Never have, never will • Was online, but no longer online • Willing but unable • Reluctantly online • Learning the ropes • Task specific <p>The first three of these are unlikely to ever access Council services online (14% nationally), while the next three (7%) could be nudged</p>
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	<p>online. The remaining 79% considered themselves to have basic digital skills or were confident or expert in going online.</p>
Socio-economic	<p>Many families with children living at home have devices in the household already, including those on the lowest incomes. But whilst 77% of working-age adults in the lowest socioeconomic group (D & E) use a smartphone, this group is less likely to be confident Internet users compared to those on higher incomes. They are also more limited in the kind of things for which they use the Internet.</p> <p>Parents who are more confident in their own ability to carry out online tasks are more likely to have discussions with their children around online safety. Hence helping parents with <u>their own</u> confidence and skill levels can have a direct impact on children's online behaviour.</p> <p>Some poorer households may not be able to afford equipment and/or regular access to the Internet. For this reason, it is important that online Council services can be accessed via other channels as well. The DWP now requires people claiming benefits to register and manage their claim online. Evidence suggests that this can be difficult for some of the country's most vulnerable and excluded people. This has already had a significant impact on the Council's Library and Welfare Rights services.</p> <p>Finally, it is worth noting that life can be chaotic and unpredictable for young families, especially those on limited budgets. This means maintaining attendance on digital skills courses can be a struggle. Even if a parent says he/she will come in at a particular date or time, they may not be able to stick to this commitment if they have problems with sick children, unreliable public transport or demanding employers.</p>
Rural	<p>Nationally, rural areas have the highest incidence of non-Internet use. Only 80% of rural households in the UK have standard broadband availability (vs. 98% for urban areas) and only 21% have superfast broadband (86% for urban areas). The population in rural areas is older-than-average, dispersed and less-well-off than assumed. Mobile phone signals in rural areas can be weak or even non-existent.</p> <p>Rural communities also suffer from out-migration of young people with digital skills. This means peer-to-peer and family support for accessing online services is becoming less likely. Smaller rural settlements have fewer local opportunities for digital skills training;</p>

	<p>having to travel great distances for training - often with poorer public transport services - can reduce motivation to learn.</p> <p>Rural libraries often have shorter opening hours so access to publicly-available computers is limited. The current proposal to transfer the management of a number of libraries to being community-run should be considered in Council's proposals around Channel Shift.</p>
<p>Employees of the Council</p>	<p>The Economic Impact of Digital Inclusion report (Centre for Economics and Business Research) notes the following issues around digital transformation in the workplace:</p> <ul style="list-style-type: none"> • Technological change not only destroys and creates jobs, but it also transforms existing jobs; • there is a visible trend towards having a more digitised workplace and this process involves significant changes and adjustments for workers and companies; • Although the level of digital inclusion amongst Council employees is likely quite high, there are still some groups of employees that remain digitally excluded; • The negative impacts of technological change will be more prominent if workers do not have the necessary skills to adapt to these new tasks and new roles <p>Colleague behaviours and messaging are most likely to change in teams who deal with the public directly (for example, Call Derbyshire). While a general nudge towards self-serve will be expected from Customer Care Advisors (CCAs) when engaging with citizens, they will continue to deliver many services as they do today (for example, when taking adult care, children's services or domestic violence calls).</p> <p>In some cases, CCAs may be required to complete intelligent online forms and work with amended call guides and scripts to avoid duplication and re-inputting data while they are still on a call. This will likely require CCAs to prioritise use of digital and/or online systems rather than paper and pen to record information, necessitating a change in familiar working practices.</p> <p>Inclusion of additional channels like webchat will require additional training and may only be suitable for certain CCAs more comfortable working on digital channels.</p>

What does customer feedback, complaints or discussions with stakeholder groups tell you about the impact of the policy, practice, service or function on the protected characteristic groups?

Role of Derbyshire Library Service

Citizens who are helped in areas of digital exclusion by the Library Service are so wide ranging, that it is worth noting here before looking at each 'protected group' individually, for example:

- Those living on a low income;
- Those experiencing social isolation;
- Those living in rural areas with poorer digital infrastructure and/or limited transport;
- Those with learning disabilities;
- Those with physical and other disabilities including sensory impairment;
- Those living with long-term health conditions including dementia;
- Those with mental health problems including anxiety;
- Those who are homeless or facing homelessness;
- Those who don't speak English as a first language;
- Those with literacy difficulties; and
- Ex-offenders

This list is by no means exhaustive and the Library Service is not the only service working to tackle digital exclusion (others include the Council's Adult Education Service, the National Careers Service, other 'employability' organisations, etc.).

All 45 Derbyshire libraries are part of the Online Centres Network and provide bookable one-to-one computer sessions to help citizens develop digital skills and knowledge including the current "Make it Click" project by Good Things Foundation. In doing this the Library Service is helping to support citizens who may be vulnerable / disadvantaged and/or have no or at least very basic digital skills and knowledge. These sessions enable people to learn how to use digital, often in life critical areas, e.g. searching and applying for jobs, benefits and housing, maintaining Universal Credit accounts, completing online forms, buying goods and services online and assisted digital help that is badly needed by so many. As such, the Library Service's pivotal role in tackling digital exclusion should be highlighted since any move towards putting more Council services online will likely increase demand for the kind of one-to-one support they currently offer.

The Library Service receive feedback from their users to thank them for the one-to-one assisted digital support and access to computing facilities and/or Wi-fi. Anecdotal evidence has highlighted that many had or would have struggled to get things done online and improve their digital skills without their help. Ongoing consultation with library service users who have limited digital skills and/or who are vulnerable or disadvantaged during the process of Channel Shift will help and shape our understanding of how (and what) services can be offered online and ultimately whether switching off traditional channels for certain services will exclude some citizens.

Protected Group	Findings
Age	<p>In 2016, a survey asked 500 people who used Adult Social Care services how they would prefer to get their information and only 12% said online. When the same question was asked of the Derbyshire Citizen’s Panel (2,545 people), 21% said they would prefer information online. Clearly the former group are predominantly older and/or of higher needs.</p> <p>The Government’s Adult Social Care Outcomes Framework (ASCOF) survey asks people how easy they find it to access information about Adult Social Care. Over the past decade, the percentage of residents who said they had found it ‘easy’ or ‘very easy’ to find social care information in Derbyshire has averaged around 75%, rising to 79% in 2018/19 (notably higher than in comparator authorities). Any move to accessing Adult Social Care information online (<i>Digital First</i> rather than <i>Digital Only</i>) should take note of this figure going forward to ensure that performance does not decline.</p> <p>Additionally, alternative video- or chat-bot-based “Help & Guidance” media should be considered (rather than lengthy text-based explanations) to encourage use and uptake by young people.</p>
Disability	<p>Groups and organisations representing disabled people often raise concerns over difficulties in accessing services online. Within the Channel Shift Programme, the Council will need to ensure access for disabled people is easy and possible, such as providing information in accessible formats, additional BSL video assistive software whilst avoiding jargon and overtly technical information.</p>
<p>During consultation, few concerns have been raised by people from the other protected characteristics except for those already highlighted above.</p>	

Other

Socio-economic	<p>During consultation, no further concerns have been raised by people other than those already highlighted above.</p>
Rural	<p>Concern was raised around the reduced availability of broadband and mobile services in rural communities. It is noted in the “Modernising Council Services Through Digital Transformation and Channel Shift” Cabinet paper that the Channel Shift Programme will not consider Internet speeds, or anything associated with Internet/Broadband provision for citizens and colleagues. It should be noted that poor Internet/Broadband access may, in some cases, limit citizen</p>

	<p>engagement with the new systems and is a key prerequisite for Channel Shift Programme success.</p> <p>It also emphasises the importance of the Council’s “Digital Derbyshire” initiative, restating that the Council Plan makes a firm commitment to improving broadband capability and access to 5G across Derbyshire. This will support the Channel Shift Strategy in driving customer contact online. It will also increase confidence in both online and mobile as straightforward, reliable channels for accessing Council services.</p>
Employees of the Council	The Trade Unions have repeatedly highlighted with the Management of the Council the existence of a digital divide for some groups of employees.

b. Are there any other groups of people who may experience an adverse impact because of the proposals to change a policy or service who are not listed above?

None

c. Gaps in data

What are your main gaps in information and understanding of the impact of your policy and services? Please indicate whether you have identified ways of filling these gaps.

Gaps in data	Action to deal with this
<p>The “Your Council Your Voice” survey in 2019 (3,500 residents) demonstrated a public desire for more effective, digital customer services as part of creating a more efficient Enterprising Council. When asked to ‘rank the options that the Council could use to save money or raise additional revenue’, the second most popular option was to ‘put more services online’.</p> <p>Beyond this, little or no direct consultation with local residents has taken place and it is recommended that this begins within the next few months.</p> <p>Further data on the likely impact of putting services online for people with complex</p>	<p>Arrange specific resident survey(s) and/or focus groups about Channel Shift. This is deemed to be a top priority.</p> <p>Consult with subject matter experts in business areas dealing with people with high-priority characteristics. Some input has been provided by panel members from their own business areas as part of this EIA, however, further analysis will likely be needed as specific services are included in the proposed CRM, especially where that service is widely used by people with a protected characteristic.</p>

<p>disabilities (e.g. deafblind) may need to be gathered.</p> <p>Concerns about the potential of creating a two-tier system (online vs. traditional methods) should be further explored, especially if the Council’s online offer proves to be more efficient and quicker than traditional channels. People shouldn’t be able to effectively “jump the queue” by transacting online.</p>	
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Stage 6. Ways of mitigating unlawful prohibited conduct or unwanted adverse impact, or to promote improved equality of opportunity or good relations

<p>The Council collects a large amount of resident data which is currently held in a wide range of disparate systems. In future, we want to be able to share information across the Council quickly, in an appropriate fashion, to help frontline staff; and we expect the new corporate CRM system in particular to facilitate this. At the same time, the Council will need to meet its GDPR and data protection obligations, and to ensure that the right information is only shared with the right people with the right permissions, where legally and ethically acceptable. It is a core requirement of any CRM system that the chosen supplier will help the Council in this regard.</p> <p>Whilst we do not believe that the impact is likely to result in unlawful conduct, the Council will need to take account of the digital divide and the specific needs of older, disabled, young people, people whose first language is not English as well as issues such as rurality and exclusion due to socio-economic circumstances by working to the following principles laid down in the Government’s Digital Strategy checklist on digital inclusion highlights best practice for Channel Shift. It recommends the following approach:</p> <ol style="list-style-type: none"> 1. Start with user needs, not our own. Throwing money at the problem and offering generic support does not help people go online for the long-term. People need tailored support to help them overcome their own particular barriers. Services need to be designed and built with customer needs first; 2. Improve access – stop making things difficult. Going online can be confusing, difficult and costly. Some people in the UK do not yet have access to broadband where they live even if they want to go online. The most digitally excluded are often the most socially and economically excluded and could benefit the most from going online. Making the practical steps of going online easy and affordable makes a huge difference to people who are new to the internet as is maintaining good access for disabled people. 3. Motivate people – find something they care about. Pushing people to do something that doesn’t interest them doesn’t work. Let’s face it, doing government transactions online is not the most inspirational digital activity and is unlikely to be
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the motivator that gets someone to go online. In contrast, keeping in touch with your grandchildren who live abroad might be. Nobody wants to learn digital skills for the sake of it and having an Internet connection is useless unless you have a reason to want to use it.

4. **Keep it safe – build trust.** Going online can be a daunting experience for many as they open themselves up to new risks. To keep people online in the long term, it's vital that they can rely on trusted sources to get the help, support and assurance they need to build their confidence in a digital world. The Internet will never be 100% secure and staying safe online needs to be a basic digital literacy skill. Not enough people know how to look after themselves and others securely and not enough people trust the Internet in the first place.
5. **Work with others – don't do it alone.** Services to help people go online are not joined-up enough. Efforts are duplicated across providers, funding is sporadic and does not always align with users' needs. Better links and coordination are needed between the public, private and voluntary sector, so that their efforts add up to more than the sum of their parts.
6. **Focus on wider outcomes – measure performance.** Reducing digital exclusion is not about the number of people who simply log-on once; how we measure digital inclusion needs to become far better. Equally, being able to go online is not an end in itself, but it does offer one way to help improve wider social and economic outcomes like improved health, employment or reduced re-offending and loneliness.

It is recommended that these points are adopted by the Channel Shift Programme Team and the Council as a whole as it implements Channel Shift.

Building on the above, specific ways to mitigate unwanted adverse impacts and/or to promote improved equality of opportunity for citizens from the nine protected characteristic groups (and the three others identified above) are as follows:

Mitigating Strategies

A common theme in many of the reports reviewed for this analysis concluded the power and value of digital champions and peer mentors in helping and encouraging those who are digitally excluded to bridge the digital divide and become part of the online nation. Consideration should be given to how the Council might identify and recruit a wide variety of people to help in this regard.

Older People

Older people can be encouraged to access Council services online through:

- demystification and practical help to build both digital skills and confidence;
- increasing awareness of the benefits to build motivation;
- the recruitment / training of older-age role models / digital buddies / champions;
- addressing issues of affordability for people whose budgets may already be stretched.

The Council should identify both paid and unpaid carers, and work in partnership with them to promote access to online services both for themselves and for those for whom they care. This may require creative and flexible solutions to training and/or support for carers who themselves may lack the necessary digital skills or confidence and is likely to involve working in partnership with other organisations as part of a joined-up, holistic approach. This is especially important for people with dementia for whom access to online services can help to reduce isolation, to increase wellbeing and personal confidence, and be a lifeline for their carers.

While many people develop digital skills through their work or social groups, digitally-excluded older people are likely to need a compelling reason to find relevance and value in technology. It is important to identify the right moment when someone might be interested, and to be ready to provide appropriate support at that point. For older people with care and support needs, any introduction to digital skills is likely to include discussions about accessibility, ways to keep in touch with friends and family, staying safe online, and managing anxieties about going digital.

As a welcoming non-judgmental community space, libraries are ideally positioned to tackle digital and social exclusion. This means library and community staff should be trained to access a wide range of online Council services and given capacity to support older residents who want to try transacting with the Council online, in a safe space.

Significant thought needs to go into how to appropriately promote and deliver 'courses' to older learners, given that many potential learners may have had negative experiences of formal education. Delivery style could be small groups or even one-to-one, valuing social interaction and encouraging peer-supported learning.

Disability

For most disabled people, technology makes things easier. In Bridging the Disability divide, the World Bank concluded that "The use of multiple ICT channels to deliver services and multiple formats for the content delivered can allow persons with different disabilities to access information and communication in the manner in which they can comprehend and prefer. The Internet and ICT are becoming a key driver of inclusive development because of their growing pervasiveness in the delivery of public and private services coupled and the increasing ability to use everyday consumer ICT devices as assistive devices."

It is a requirement of all three systems being procured that they meet Web Content Accessibility Guidelines (WCAG) 2.1 'AA' standard.

People with a disability and their carers may need access to additional skills training in order to access services online. Whereas non-disabled people may be able to access this through their local library or online centre, consideration should be given to how this might best be achieved for people with a disability and/or their carers in an outreach model (either in homes or centres where people with a disability already gather), in partnership with other organisations (e.g. Online Centres Network founded by Good

Things Foundation) and/or linked in with events like Carer's Week, Disability Awareness events or the annual Get Online week.

Some work may also need to be done around ensuring that any systems we procure are compatible with accessibility equipment and software currently used by Derbyshire residents, particularly - but not limited to - people who are unable to use a mouse to point and click when required to identify the location of something as part of an online service (e.g. pothole, fallen tree, graffiti, etc.). The Council should also ensure that future changes to the design or operability of any digital systems should continue to be compatible with such equipment or software for users (both citizens and employees) with a disability.

Due consideration will also need to be given to the availability of disabled facilities when rolling out the new Room and Events Booking system.

Gender or Sex

The Council should recognise that more female residents engage with the Council than male residents, and this should be reflected in its use of language and inclusive imagery. This may be particularly important for services that protect women, girls and other vulnerable people from abuse.

Gender reassignment

Due consideration needs to be given to inclusive language (including pronouns) and images when providing and promoting services online.

Due consideration should also be given to the availability of unisex facilities when rolling out the new Room and Events Booking system.

Race

Review whether more interpretation and translation services may be needed as more services are moved online. Consideration needs to be given to how this might work to minimise the costs of translating written and printed information.

Culturally-sensitive and inclusive language and images could be used, and attention should be given to cultural norms and assumptions, particularly where services are culturally-sensitive. Derbyshire has a small but diverse range of BME groups who tend to be older, and any new arrivals may need additional help and support around language. Note that Derbyshire has large Italian and Polish communities as well as Syrian refugees who often use library ICT services to communicate with home.

Any Interactive Voice Response (IVR) system that is introduced may need to account for a range of accents.

The Council should consider how translations could be applied to emails that are sent in response to self-service transactions and/or telephony self-service, if introduced.

Socio-economic

Research by Good Things Foundation has shown that some families from the lowest socioeconomic group (D & E) may show little interest in 'courses' that require several weeks of commitment. They suggest running and advertising 'sessions' or 'workshops' which emphasise a less hierarchical environment, and which parents can drop into as and when they're available.

Consideration should be given to how digital-first (not digital-only) can be promoted to people from disadvantaged communities for whom regular or frequent Internet access may be problematic due to dependence on library or other support services. Embedding digital skills support within specialist (non-digital) services can be highly effective in creating positive outcomes. Peer mentoring is a powerful vehicle to supporting vulnerable people to develop digital skills where needed.

Rural

In their *Doing Digital Inclusion – Rural Handbook*, the Good Things Foundation recommends that any digital skills training should be done in partnership with other agencies and should be hosted at a logistically-practical venue with good connectivity, perhaps even using mobile connectivity (dongle / MiFi) where appropriate. Any advertising should prioritise word of mouth as this is a key communication channel in rural communities. Good Things Foundation also recommends targeting specialist groups at the same time as seeking to engage the whole community.

Employees of the Council

For employees who prefer to use paper and pen or who have lower digital skills, consideration should be given to any additional training and support needs to improve their digital skills and confidence in using them in a work environment. The impact on any colleagues from any of the nine protected characteristic groups (especially, but not restricted to, age and disability) should also be considered, especially where this might require specialist workstation adaptation or accessibility software.

Stage 7. Do stakeholders agree with your findings and proposed response?

The Equalities Impact Assessment panel were consulted on all the findings and recommendations and Stages 5 & 6 (above) have been updated to reflect their comments.

Further consultation is being sought with Policy & Research to assess whether the Council's Customer Segmentation model will further inform and shape the process of making more Council services available online or whether the model could be further developed once the next Census data is available.

It is likely that more direct public consultation / survey may be needed when services directly affecting those with a protected characteristic are made available online, although in the short- to medium-term the online channel will be to encourage a *Digital First* approach and not a *Digital Only* one.

Stage 8. Main conclusions and recommendations

In summary, whilst we know that increasing the number of Council services available online through a single CRM system can provide major benefits to the Council and citizens alike, it will be necessary to ensure that groups of people, especially older, younger, disabled, poorer and some BME groups, do not end up with more limited access to the information and services they need and that providing suitable alternative channels and support needs to be factored into how the Council implements the Channel Shift Programme.

Compliance with Web Content Accessibility Guidelines (WCAG) 2.1 'AA' standard is a statutory obligation so will be observed in the delivery of any client- or employee-facing portal or online service. This will need to be kept in view for all future updates to ensure compatibility with any software / hardware / physical adaptations currently in use by Derbyshire citizens. Data may need to be gathered about who uses what adaptations to inform this.

Given the diversity of the services being moved and that we currently don't know which services they will yet be, the following framework will be used to help assess the impact of accessing each Council service online as and when required:

- The potential number of people affected – based on current use / demographics;
- The impact on protected characteristics – are there any particular groups that will be affected?
- The geographical impact – will this affect people in a particular area?
- The non-protected characteristic impact – if it is going to affect people in a more deprived area, is there extra work we need to do on communications, access etc. to support people with the change?

Ongoing partnership should be considered with the Derbyshire Library Service, the Council's Adult Education service and other agencies / support groups to aid with digital skills training and identification/recruitment of digital champions and peer mentors to promote the wider uptake of a *Digital First* approach to accessing Council services. Consideration should be given to the potentially increased demand on these existing services and whether further resources will be needed to deliver this.

It is recommended that a Communications Plan around promoting the new citizen-facing portal be put in place and consideration given to how citizens are kept in the loop as increasingly more services are available online through this portal, including, but not limited to, the proposed citizen-facing Room and Events Booking and Complaints, Comments and Compliments systems in view in this Assessment. Customer experience feedback should be gathered throughout to enable the Council to fine-tune future service roll-outs online.

It is recommended that culturally and gender inclusive language and images be used throughout any new online services and that new interpretation and translation services be considered. It is also recommended that video-based training be commissioned to improve accessibility to online services by those with complex disabilities and/or improve uptake by young people who prefer this medium.

It is further recommended that investigations will need to be undertaken to consider the impact of any change in employee working practices in areas like, but not limited to, Call Derbyshire.

Stage 9. Objectives setting/ implementation

Objective	Planned action	Who	When	How will this be monitored?
All online systems provided by the chosen supplier must conform to Web Content Accessibility Guidelines (WCAG) 2.1 'AA' standard and all updates and/or upgrades assessed to ensure backward compatibility with any accessibility software, hardware or adaptations currently used by disabled people.	To be agreed or designed.			
Further impact analysis (as outlined in Stage 8) should be built into the process for adding each new major service to the Customer Relationship Manager (CRM). This should include a specific audit of access for disabled people where appropriate.	To be agreed or designed.			
Carry out further engagement with stakeholder groups for those with a protected characteristic.	To be agreed or designed.			
Produce a Communications Plan around roll out of different services to be included in the proposed CRM.	To be agreed or designed.			
Explore partnership opportunities with the Derbyshire Library and Derbyshire Adult Education services	To be agreed or designed.			

as well as other organisations already working in Derbyshire to tackle digital exclusion.				
Commission further equality impact assessment specifically around employees affected by changes to working practices brought about by digital transformation in areas like Call Derbyshire and/or Shared Services.	To be agreed or designed.			
Ensure that each implementation is monitored and reviewed in relation to maintaining access for all	To be agreed or designed.			

Stage 10. Monitoring and review/ mainstreaming into business plans

Please indicate whether any of your objectives have been added to service or business plans and your arrangements for monitoring and reviewing progress/ future impact?

This Programme supports the Council's Enterprising Council approach which includes a commitment to working as "One Council", replacing siloed departmental working with coordinated, Council-wide transformational change.

It also aligns with the Council Plan which commits to:

- Introducing digital platforms for service delivery to support more agile and flexible working;
- Measuring the number of services accessed on Council websites; and
- Delivering a five-year Information and Communications Technology (ICT) Strategy by 2023 which aims to streamline service delivery and embed modern working practices.

Stage 11. Agreeing and publishing the completed analysis

Completed analysis approved by _____ on _____

Where and when published?

Decision-making processes

Where linked to decision on proposals to change, reduce or withdraw service/ financial decisions/ large-scale staffing restructures

Attached to report (title): MODERNISING COUNCIL SERVICES THROUGH DIGITAL TRANSFORMATION AND CHANNEL SHIFT

Date of report: 16 March 2020

Author of report: Emma Alexander, Executive Director for Commissioning, Communities and Policy

Audience for report e.g. Cabinet/ date: Cabinet 16 March 2020

Web location of report:

Outcome from report being considered

Permission to move to procurement of three cloud-based systems for:

- Customer Relationship Manager;
- Complaints, Comments and Compliments; and
- Room & Event Booking

Details of follow-up action or monitoring of actions/ decision undertaken

Updated by:

Date:

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PUBLIC
Author: Sara Bains

Agenda Item No.6 (h)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Director of Public Health

**Public Health Localities and Place-based Programme & Investment 2020/21
and 2021/2022
(Health and Communities)**

1. Purpose of the report:

To seek Cabinet approval to:

- invest in the Public Health Locality and Place-based Programme in 2020/21 and 2021/22
- allocate the 2020/21 and 2021/22 investment for the Public Health Locality and Place-based Programme to Locality Health and Wellbeing Partnerships
- adopt the Community Wellness Approach in three localities to enable locality Health and Wellbeing Partnerships to support more community-led projects to improve health and wellbeing
- fund the Raising Aspirations programme for the 2020/21 and 2021/22 academic years
- fund the 5 Ways to Wellbeing approach for 2020/21

2. Information and analysis:

Background

The Public Health Localities and Place-based approach delivers a broad range of locally-developed projects and programmes, which are monitored and reported annually. These are currently agreed through the Health and Wellbeing Partnerships, with an aspiration to further involve people from the communities we serve. There are eight Health and Wellbeing Partnerships across Derbyshire, arranged on a district/borough footprint. Each Health and Wellbeing Partnership works to improve the health of local communities, through promoting health-related behaviours, and addressing the wider determinants of health, such as housing, employment and skills, and financial inclusion.

Membership of the partnerships reflects local variation, but core membership includes elected members from County, District, Parish and Town councils, representatives from Adult Care and Children's Services, district and borough council staff, NHS commissioners and providers,

Police, Fire and Rescue, voluntary sector organisations and representatives from local communities.

Public Health Localities and Place-based work is integral to addressing the wider determinants of health and wellbeing at a local level; in particular, employment and skills, financial inclusion, community cohesion and social isolation experienced by some of Derbyshire's most vulnerable communities.

Outputs of recent investment in Public Health Locality programme

Between 2016/17 and 2018/19, £2.85m of Public Health grant funding was invested in the Public Health Locality Programme. The following headlines demonstrate the impact and reach of the investment through locality Health and Wellbeing Partnerships:

- More than 150 local projects funded to deliver in communities ranging across the following topics:
 - Being Active
 - Mental Health
 - Digital Inclusion
 - Social eating and food banks
 - Employment and workplaces
 - Long Term Conditions
 - Financial Inclusion
- Approximately 105,000 local people participated in and benefited from projects;
- An average of 700 local groups and networks engaged each year and involved in activities to improve health and wellbeing;
- Approximately 40,000 local people supported to adopt healthier behaviours
- Approximately 24,000 people supported to improve their emotional and mental health
- £0.160K provided to smaller community organisations through small grants schemes
- Raising Aspirations programme delivered in 14 secondary schools across Derbyshire

This activity shows how the Public Health Localities and Place-based approach supports the delivery of the Council Plan and the Council's place-based work and local engagement. It also contributes to Derbyshire's Health and Wellbeing Strategy, and the Prevention and Place work streams of Joined-up Care Derbyshire, and district and borough Community Strategies, where appropriate.

Joint working is well-established in the Localities and Place-based approach, and this creates considerable secondary gain across the localities, both in terms of in-kind contributions from partners and also match-funding. The Localities and Place-based budget in 2018/19 enabled additional investment through match-funding of £0.468m to further support investment in the priorities of locality Health and Wellbeing Partnerships.

Activity and achievements for 2020-21 will be collated at the end of the financial year.

Community Wellness Approach

The Community Wellness Approach is a further development of the place based approach and focuses on how we change our relationship with communities to enable better wellness and resilience, leading to improved health outcomes and reduced use on services. The approach has a central belief that all people and communities come with assets and by putting our resources into supporting people to nurture what they value and achieve what they believe in and by removing the barriers to good wellbeing we will see happier and healthier people and communities.

Currently the Public Health locality programme centres on using information to set priorities for each district area, in conjunction with partners to best meet the needs of the local population and establish projects to do this. The shift that the Community Wellness Approach promotes is to support leadership from people and communities in the setting up of community-led projects within the locality programme through building authentic relationships with communities by building trust between the partners and the communities that we serve.

This approach nicely compliments the Thriving Communities work which also aims to build to relationships of trust with communities; both approaches support a cultural shift within the council, our partners and with the people we serve.

In 2020/21 three locality areas, Erewash, Amber Valley and Derbyshire Dales will focus on further developing the Community Wellness Approach within the Health and Wellbeing Partnership working with partners to identify communities and promote the change in practice required for an Asset Based and Community Led Approach. Learning from these initial areas will then be used to further expand the approach across the county in future.

Raising Aspirations

The Raising Aspirations project was initially developed by Bolsover Partnership in 2009, and is a programme of co-ordination and interventions

that addresses barriers relating to aspiration and engagement amongst vulnerable groups of young people.

The strength of the Raising Aspirations project has been the innovative approach to drawing upon existing strategy and provision in order to enhance and strengthen the positive impact on the local community. *The aim of the project is to provide targeted, bespoke and intensive interventions with small cohorts of young people that require additional support and motivation to achieve positive post-16 progressions. They are the young people identified by their respective schools that are vulnerable, having complex needs and/or at risk of becoming NEET (not in employment, education or training) when they leave school.*

Due to their previous experience in commissioning the Raising Aspirations project, in 2017 Bolsover Partnership re-tendered the contract on behalf of the locality Health and Wellbeing Partnerships across Derbyshire. The contract was funded through the allocations provided to Health and Wellbeing partnerships from the Public Health Grant, and allowed the project to be extended into schools across all district and boroughs of Derbyshire.

The contract was awarded to Derbyshire Education Business Partnership (DEBP), who are delivering the programme in 14 schools across Derbyshire. DEBP provide quarterly activity data and other monitoring information, including provision of case studies, to the Raising Aspirations Steering Group, and each Health and Wellbeing Partnership. Performance against specifications requirements continues to be good, with the headline figure that in 2018/19 all year 11 students supported through the Raising Aspirations Programme were successful in achieving their post-16 destination of further education, training provision, apprenticeship or employment. Using a Social Return on Investment tool, it is estimated that to date the Raising Aspirations programme has returned £4.68 of value for every £1 invested. Additional funding will allow for the programme to be recommissioned for the 2020/21 and 2021/22 academic years.

5 Ways to Wellbeing

In 2018/19 an initiative to raise awareness about the 5 Ways to Wellbeing was launched through the locality programme. Each locality was awarded £5,000 to run a local promotional campaign, which was supplemented by £10,000 for a local small grants fund to support delivery of projects. The grants fund continued in 2019/20 and succeeded in the aims of raising awareness and embedding the principles of the 5 ways to wellbeing within locality work. In 2020/21 the next stage is to embed the principles of the 5 Ways to Wellbeing within generic local small grants funds. Each locality will

be awarded £2,500 to supplement their local small grants fund on the condition that the criterion includes the 5 Ways to Wellbeing principles.

Localities and Place-based Investment

The annual Localities and Place-based budget for 2020/21 and 2021/22 is £0.890m and will be apportioned as follows:

- £0.579m of the budget will be allocated to the eight Locality Health and Wellbeing Partnerships, this represents 65% of the overall budget. The allocations will be determined using a fair-share formula; a weighted calculation, taking into account population size, health outcomes, and key determinants of health, to achieve an equitable distribution of resources across the County.
- £80,000 will be allocated equally between Locality Health and Wellbeing Partnerships to facilitate a Health & Wellbeing Community Small Grants scheme in each locality.
- £0.231m will be allocated to the eight Locality Health and Wellbeing Partnerships to work on an agreed overarching approach for the county

An additional £0.231m will be allocated to the re-procurement of the Raising Aspirations programme across schools in Derbyshire.

A further £20,000 will be allocated to the small grants fund across localities to deliver against the 5 Ways to Wellbeing.

Governance and Accountability

All Health and Wellbeing Partnerships will be required to use their locality allocations to deliver the public health priorities set out in their Partnership Action Plan. Local Partnership Action Plans are agreed annually by each locality Health and Wellbeing Partnership. Governance arrangements will ensure that the investment is used to complement and not duplicate other work of the Council, including other public health programmes.

Governance arrangements for the Locality Programme need to be flexible enough to support the diversity of the priorities of the Health and Wellbeing Partnerships, but robust enough to ensure that Public Health maintain oversight of the budget. To further strengthen the governance arrangements, Public Health have established a Locality Programme Performance and Governance Group to provide the Public Health Senior Management Team and the wider Council with assurance around the use of locality funding. This new governance structure aims to fulfil recommendations made by Audit Services following their 2018/19 review of Public Health contracts and grants.

3 Social Value considerations:

A particular strength of the Locality and Place-based Programme is its engagement with partners from the community and voluntary sectors and local communities. It also gives the Council an opportunity to work with communities, encouraging them to lead; building on current assets that in turn creates legacy and sustainability wherever possible. This approach encourages and enables participation of local people in decision making and shaping services, thereby reflecting the principles in the Council's Social Value strategy.

In addition, a systematic monitoring system is built in to the Locality and Place-based approach. Funded projects also promote social value, for example, supporting vulnerable people with employment and skills training, raising aspirations amongst young people, improving cohesion and connectedness both between and within communities, and reducing the impact of poverty.

4. Finance

The annual budget for the Locality Programme is £0.890m, and this money has been identified within the Public Health Grant. An additional £0.231m from the Public Health Grant will be used to re-procure Raising Aspirations for a further 2 academic years. A further £20,000 from the Public Health Grant will be added to small grants funds across localities. Total investment in the Public Health Locality programme for the financial years 2020/21 and 2021/22 will be £2.031m

5. Human Resources:

The funding will enable local providers to deliver projects and services. Derbyshire County Council accepts no employment or future redundancy liability, with all employment and related matters to be managed by the providers.

6. Other considerations:

In preparing this report the relevance of the following factors has been considered: financial, legal, prevention of crime and disorder, equality of opportunity, human resources, environmental, health, property and transport considerations.

7. Background papers:

- None

8. Key Decision:

No

9. Call-in:

Is it required that call-in be waived for any decision on this report?

No

10. Officer's Recommendation:

That Cabinet:

- i. Approve funding of £2.011m for the Public Health Localities and Place-based programme in 2020/21 and 2021/22
- ii. Approve the release of annual investment of £0.890m for 2020/21 and 2021/22 to Locality Health and Wellbeing Partnerships to deliver the priorities set out in the Public Health Locality Plans
- iii. Approve funding of £20,000 to Locality Health and Wellbeing Partnerships to deliver the 5 Ways to Wellbeing for 2020/21
- iv. Approve the transfer of £0.231m to Bolsover Partnership to enable the re-procurement of the Raising Aspirations programme across Derbyshire for the 2020/21 and 2021/22 academic years
- v. Supports the adoption of a community wellness approach by Erewash, Amber Valley and Derbyshire Dales Health and Wellbeing Partnerships
- vi. Note the revised Governance arrangements to be implemented for 2020/21

Dean Wallace
Director of Public Health

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Agenda Item No. 6(i)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Executive Director – Economy, Transport and Environment

**FLOOD RESPONSE POLICY (HIGHWAYS, TRANSPORT AND
INFRASTRUCTURE)**

(1) **Purpose of Report** To seek Cabinet approval for the publication of the Flood Response Policy, attached as Appendix A, on the Council's website.

(2) **Information and Analysis** In 2015, the Local Flood Risk Management Strategy was adopted by Derbyshire County Council. A key action from the Strategy was to 'Publish a Flood Response Policy' and link in with other service delivery stakeholder plans.

This Policy is intended to outline the operational framework within which the Council can make the best use of its resources for flood conditions, so as to offer targeted, timely and prioritised help to Derbyshire residents.

This Policy links with other Council plans, namely the Highways Adverse Weather Implementation Plan, Emergency Planning Severe Weather Plan and Flood Contingency Plan.

This new approach also supports the delivery of empowered and self-sufficient communities, as set out in the [Council Plan \(2019-2021\)](#). It also supports Departmental priorities in the [ETE Service Plan \(2017-2021\)](#), which is to *"Continue to develop and increase our understanding of flood risk to Derbyshire, the impacts of climate change and to work collaboratively with all agencies and councils to ensure a co-ordinated response to flood risk"*.

(3) **Financial Considerations** Allocation of resources for flood response will be prioritised in accordance with the Policy and also be dependent on the scale, location and nature of the flooding event.

Given that every flooding event is different, it is difficult to quantify the amount of resources required and therefore need to be dynamically assessed on a case by case basis.

(4) **Legal Considerations** The Council has a legal duty, under the Highways Act 1980, to maintain the public highway, which will include managing flooding on the highway. It must also ensure that there is a Multi-Agency Flood Plan in place (Civil Contingencies Act 2004) to ensure that the Council can continue to fulfil its functions of flooding occurrences. As part of the Local Flood Risk Management Strategy (Floods and Water Management Act 2010), the Council is required to have a Flood Response Policy in place.

Other Considerations

In preparing this report the relevance of the following factors has been considered: prevention of crime and disorder, equality and diversity, human resources, environmental, health, property and transport considerations

(5) **Key Decision** No.

(6) **Call-In** Is it required that call-in be waived in respect of the decisions proposed in the report? No.

(7) **Background Papers** Held on file within the Economy, Transport and Environment Department.

(8) **OFFICER'S RECOMMENDATION** That Cabinet approves the publication of the Flood Response Policy, attached in Appendix A, on the Council's website.

Mike Ashworth
Executive Director – Economy, Transport and Environment

FLOOD RESPONSE POLICY

October 2019

Document Information

Title Flood Response Policy
 Author: Richard Ward
 Reviewed: Claire Brailsford/Geoff Pickford

Document Issue Status

TABLE OF AMENDMENTS					
NO	APPROVAL DATE	SECTION	PARAGRAPH	DETAILS	AUTHOR
1	xx/xx/20xx	All	All	First Issue	CB/GP

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INTRODUCTION

In 2015 the Local Flood Risk Management Strategy was adopted by Derbyshire County Council. A key action from the Strategy was to ‘Publish a Flood Response Policy’ and link in with other service delivery stakeholder plans.

This Policy is intended to outline the operational framework within which the Council can make the best use of our resources for flood conditions, so as to offer targeted, timely and prioritised help to Derbyshire residents.

The proposed approach is intended to put a greater emphasis on creating more resilient communities and individual households, improving awareness of flood risk, encouraging and helping people to protect their own properties before flooding occurs. This more pro-active approach is also intended to reduce demand on Council resources whilst flooding is occurring (mainly requests for sandbags) to enable a greater focus on managing critical drainage assets such as highway culverts and roadside gullies which in itself helps to reduce the flood risk to properties. It also looks to enhance the overall response during flood events by improved co-ordination with District and Borough Councils.

The Council aims to put the residents and businesses of Derbyshire at the centre of everything we do. However, the challenge of diminishing resources coupled with the potential for flooding to occur more often due to climate change, adverse weather events, and in unpredictable places, means we must look for newer and more innovative ways of doing things.

Furthermore, experience over many years, shows that trying to get help to residents when flooding is occurring is in a high proportion of cases ineffective. This is particularly the case with requests for sandbags to protect property, rarely arriving in time to be useful. It is also the case that filling, loading (onto vehicles) delivering, depositing and the positioning of traditional sandbags is labour intensive, time consuming and costly.

This new approach supports the delivery of empowered and self-sufficient communities, as set out in the [Council Plan \(2019-2021\)](#). It also supports Departmental priorities in the [ETE Service Plan \(2017-2021\)](#) which is to *“Continue to develop and increase our understanding of flood risk to Derbyshire, the impacts of climate change and to work collaboratively with all agencies and councils to ensure a co-ordinated response to flood risk”*

COUNTY COUNCIL RESPONSIBILITIES

Flood risk management is complex and requires a number of stakeholders and organisations to work together to achieve successful outcomes. The County Council has three core roles to play in managing flood risk at a local level as described below:

1. Lead Local Flood Authority (LLFA)

Since 2010, the County Council has been designated a Lead Local Flood Authority (LLFA) under the Flood and Water Management Act. This statutory responsibility for the County Council, relates to local flood risk management (surface water, groundwater and ordinary watercourses).

Along with a range of duties and powers, it is the role of the LLFA to co-ordinate flood risk management with other agencies such as the Environment Agency, District/Borough Councils and Water Companies who are designated as Risk Management Authorities. It is also the County Council's role as LLFA to lead the implementation of our Local Flood Risk Management Strategy (RMA). **Main rivers remain under the jurisdiction of the Environment Agency and public sewers the responsibility for Water Companies.**

2. Highways Authority (Network Planning)

The [Highways Act 1980 – Section 41](#) places a duty on Highways Authorities to maintain roads which are “maintainable at public expense”. [Section 100](#) of the same legislation empowers Highways Authorities to maintain or cleanse drainage systems in the highway. As a Highways Authority, the County Council is also expected by the Department for Transport (DfT) to identify a 'resilient network' to which they will give priority, in order to maintain economic activity and access to key services during extreme weather (including flooding).

3. Category 1 Responder Agency

The [Civil Contingencies Act 2004](#) designates the County Council as a Category 1 Responder. The County Council is required to risk assess a range of hazards to determine where risk is highest, and then to prepare emergency plans according to those priorities. Flooding, from all sources, including main rivers is considered one of our highest risks due to both its high level of likelihood to occur and the serious impacts it causes. The County Council's Emergency Planning Team has a [Multi-Agency Flood Plan](#) in line with [Department for the Environment, Food and Rural Affairs \(DEFRA\) guidelines](#) and approved by the Derbyshire Local Resilience Forum (LRF). The LRF, a body comprising all relevant stakeholders (The Council and other Category 1 Responders) whose joint responsibility it is to ensure that Derbyshire is well prepared and resilient to major incidents and emergencies. The County Council's representative on the LRF is the Executive Director for Economy, Transport and Environment.

THE COUNTY COUNCIL'S CURRENT LEVEL OF SERVICE

Our current level of service is largely driven by the statutory roles described above, and falls within the Economy Transport and Environment Department. This means that efforts to improve outcomes for residents and businesses at risk from flooding are well co-ordinated.

The proposals outlined below are intended to build on current service levels and deliver improvements where possible. The County Council has looked carefully at what it does when flooding is happening in the County and how our response is prioritised, including reactive maintenance, emergency sandbag provision and joint working with other Risk Management Authorities. However, more importantly, is the actions the Council takes before flooding occurs, to foster better preparedness and reduce the flood risk where the County Council's own assets may be a critical factor. Action taken after flooding, such as investigations and engagement with impacted communities and elected members, will also be a key element of our response.

It is important to note that much of what is proposed already happens within the County Council, however, the development of a Policy formalises our approach and meets the requirements of the [Local Flood Risk Management Strategy](#).

COUNCIL'S ROLE WHEN FLOODING IS PREDICTED OR HAPPENING

Derbyshire County Council has a "[Highways Adverse Weather Implementation Plan](#)" which covers Highways response when notification of adverse weather (e.g.; Flooding) is received.

The plan forms part of the wider emergency planning process and details how decisions are made when "Weather Warnings" are received, to ensure that the appropriate response is implemented, and where possible resources are mobilised in readiness to ensure an efficient response by the Highways Department.

In addition to the "[Highways Adverse Weather Implementation Plan](#)", the following plans will be considered when "Weather Warnings" are received, and the appropriate action taken in line with each plan:

- [Emergency Planning Severe Weather Plan](#)
- [Flood Contingency Plan](#)

Table 1 – List of actions when flooding is predicted or happening

Response Action	Who by
The County Council's priority as a Highway's Authority will be to maintain, as far as reasonably practicable, the ongoing safe use of the highway network. This will be achieved by closing flooded roads, organising diversions, responding to road traffic collisions, liaising with the Highways England and Emergency Services regarding access to key services such as hospitals, and where possible to maintain economic activity.	Network Planning
In parallel with its Highways responsibilities, as LLFA, the County Council also needs to monitor known Critical Drainage Assets (a list of these assets are available), particularly those that are owned/maintained by the County Council. In some cases these will be highway culverts and screens with a history of exacerbating flood conditions in a known locality.	Network Planning/Flood Risk Management
As both an LLFA and Category One Responder, the County Council takes the lead in co-ordinating an emergency response to flooding in the County. This is usually undertaken from the Council's Emergency Command Centre at County Hall, Matlock and involves representation from the Environment Agency, Emergency Services, District/Borough Councils, Water Companies etc. This co-ordinating function can be triggered by a diverse set of circumstances, and is instigated by the Emergency Planning Team or Duty Emergency Planning Officer, if out of normal working hours.	Emergency Planning Team/Flood Risk Management/ Network Planning
Regardless of the establishment of a Multi-Agency Co-ordinating Group, the County Council itself must be responsive to the needs of residents requiring information, advice and help if their property becomes vulnerable to flood water, from not just highway water but other sources. This often involves requests for the County Council to provide sandbags or other alternative solutions. Guidelines on Sandbag provision are contained in Appendix A . Based on the current resources allocated to this function, particularly outside normal working hours, this is likely to require more staff on standby in a similar arrangement to that used for winter gritting.	Emergency Planning Team/Flood Risk Management/ Network Planning
The County Council's service can be enhanced further by dedicated Call Derbyshire staff being deployed to the Emergency Centre to take flood enquiry calls, and by regular and timely issue of public information via the media and other outlets e.g. the County Council's own website and Derbyshire Prepared.	Emergency Planning Team/ Communications Team

How can flood calls be prioritised?

It is essential that each call for assistance is assessed and prioritised and in some cases disseminated or signposted to an alternative Agency. It is important to say from the outset that in some circumstances the level of demand for immediate response will exceed our capability and resources. Responding to requests for assistance during flooding should never be on a “first call – first served” basis or geared to those that shout the loudest. It must be based on need, priority and best return from available resources.

NB - This could mean that a resident/householder calling the Council will not receive the help or service they have asked for in the time frame they expect or need. In such phases of high demand it will be important that key prioritising factors are recognised and taken into account, examples being:

- Vulnerable residents, not reasonably being able to take their own protective measures.
- Multiple properties being affected in a locality as opposed to a single property.
- Involvement of a critical asset where reactive maintenance or clearance will alleviate the problem.
- Is a critical utility at risk which may affect a whole area or community?
- Has the property/householder access to a local community based resource?*
- Is it already too late to help - can anything be achieved?
- Has the homeowner received our help before or are they located in one of our Flood Warden Scheme communities?
- Is the relevant District/Borough Council better able to assist?

*The County Council are promoting and aiming to utilise more local community based resources in the future, given the anticipated increase in flooding events due to climate change and also taking into account the council's limited resources.

COUNCIL'S ROLE BEFORE FLOODING OCCURS

As indicated previously, a key element of the County Council's overall response policy on flooding is to support the delivery of empowered and self-sufficient communities, as indicated in the Council Plan. Many communities and residents have some level of awareness of their flood risk, either through experience or previous flood awareness campaigns. The County Council should offer assistance to those communities and residents willing and able to take measures to prepare for flooding. This, over time should reduce the number of calls for assistance when flooding is occurring.

Table 2 – List of actions before flooding occurs

Response Action	Who by
The County Council will actively engage with Flood Risk Management partners, communities, businesses and individual householders to achieve a better understanding of flood risk (where we know of it), particularly to property.	Flood Risk Management/ Emergency Planning Team
The County Council will work closely with the Environment Agency and District/Borough Councils to promote joint flood warden schemes and community resilience stores for sandbags and/or other equipment.	Flood Risk Management/ Emergency Planning Team
On becoming aware of potential flood risk management problems, the County Council will advise riparian landowners in respect of ordinary watercourses and their responsibility to maintain flow of watercourses, and to remove debris and obstructions.	Flood Risk Management
The County Council will provide flood packs containing approximately 10 empty sand bags and numerous helpful information leaflets to encourage and help people to protect their own homes. These are also available from most local libraries and District/Borough Council Offices. This should continue and be enhanced further by providing a supply of lightweight synthetic sandbags (which inflate on contact with water) particularly to high risk property and/or vulnerable older residents who would find traditional sandbags too heavy. This part of the service should be viewed as continuous and proactive but targeted at known risk and/or previous victims of flooding. It would benefit from supporting PR campaigns.	Flood Risk Management/ Emergency Planning Team/ Communications Team/ Libraries and Heritage
Regular and active promotion of flood risk information and measures to help limit the impact, such as the Flood Risk Teams Guidance Notes which support the Local Flood Risk Management Strategy .	Flood Risk Management/ Emergency Planning Team/

COUNCIL'S ROLE AFTER FLOODING

Flooding to property can cause damage costing tens of thousands of pounds and in most cases is subject to insurance claims. However, in many instances property owners and communities feel their case should be reported to an appropriate Authority or a public body should take responsibility to ascertain the cause and/or take action to prevent future similar events.

Table 3 – List of actions after flooding

Response Action	Who by
As LLFA, the County Council has a duty to investigate flooding (from non-main river sources) to the extent it considers necessary. Criteria for instigating such investigations have been established and approved as part of the Local Flood Risk Management Strategy. It is important that the County Council advises residents and communities as to what action it can take or where appropriate to direct to other agencies.	Flood Risk Management
Blocked roadside gullies and culverts are often perceived as being a cause of local “flash flooding”. However, flood conditions and extreme rainfall often cause these drainage systems to be full to capacity and therefore flooding in these situations is difficult to prevent. However, where a County Council asset, whether a roadside gulley or screened culvert has potentially contributed to or exacerbated flood conditions, it is essential that the County Council, as soon as practicable, checks, maintains and/or repairs the asset involved.	Network Planning
Where possible, follow up contact should be made to individuals who have experienced a level of flooding to their property or a near miss. The purpose of this would be to advise and help with future property protection measures. The service the County Council will offer ranges from advice, providing empty sandbags/synthetic sandbag packs or a combination of the two.	Flood Risk Management/ Emergency Planning Team
Where formal investigation (as outlined above) is underway, it is important to keep those affected informed of progress. This should be undertaken with the Parish Council (as primary contact for the community) and offers the opportunity to encourage and develop community resilience measures for the future.	Flood Risk Management
Where it becomes apparent that flooding to property is occurring repetitively and that simple property protection measures (such as sandbags) are proving ineffective, then the Flood Risk Management Team should assess and where potentially viable, initiate processes to explore other solutions (this may include applications for external funding through the Regional Flood and Coastal Committee). Keeping communities and residents informed on progress is essential.	Flood Risk Management

<p>Where an asset is found to have a significant effect on local flood risk, this should be added to the County Council's Asset Register. The County Council should also liaise with the District/Borough Council to ensure that the asset is monitored if it is not a Highway asset.</p>	Flood Risk Management
<p>It is also important that the County Council continues to build up knowledge of the condition of drainage assets within Derbyshire (within the Highway and private land) including structures and smaller culverts etc and make this available to all teams.</p>	Flood Risk Management/ Network Planning

APPENDIX A

SANDBAG POLICY

STATUTORY FRAMEWORK

The County Council is a Lead Local Flood Authority (LLFA) under the [Flood and Water Management Act](#) and a “Category One” responder under the [Civil Contingencies Act](#). However, there is no obligation under legislation that requires the County Council to provide sandbags to the public as a means of flood protection.

Effectiveness of Sandbags

Sandbags, if laid correctly, offer some protection against flood water entering a property or can divert water away from more vulnerable parts of a home. They are however, heavy and time consuming to put in place. Sandbags can be used most effectively if you already have them filled and stored at or close to your property in readiness for worsening conditions. Experience shows that no Local Authority, particularly a large rural Authority such as Derbyshire can guarantee to deliver sandbags “on demand”, in time to protect a property when flooding is actually occurring.

Policy Objectives

- To make the most effective use of the County Council’s stock of sandbags, including synthetic absorbent sacks (designed for flood protection).
- To help and advise residents at known flood risk to take proactive measures to protect their own property.
- To work in partnership with any Parish/Community at known flood risk to develop a local sandbag repository. (This may also be in conjunction with the Environment Agency).
- By taking the measures outlined above, to minimise the demand for sandbags during flood conditions, to enable resources to be focussed on Highway Safety and Flood Critical Asset Maintenance.

Policy

- The County Council’s main priority on sandbag provision will be to contribute to self-help resources in advance of floods occurring.
- Householders known to be at risk of flooding from any source will be provided with a free of charge, “Self-Help Starter Pack” containing a minimum of 10 empty sandbags, on request or directed to a local stock at a Library or District/Borough Council.
- Synthetic water absorbent sacks will be supplied in addition to or as an alternative for higher risk property or to more vulnerable residents who would not be able to

deploy traditional sandbags. This type of contribution to property protection would be seen as a one-off and recorded.

- Any community who feels like they could be at risk of flooding, will be provided with a maximum of 500 **empty** sandbags to develop a local sandbag store. Collaboration and support from District/Borough Councils (and in some cases the Environment Agency) will also be sought in these cases.
- All calls made to the County Council to report flooding will be assessed to ascertain the potential/likely cause, the involvement or otherwise of a drainage asset and the most effective response with the resources available at the time.
- Calls requesting sandbags will be advised of the County Council's Highway Safety and Critical Drainage Asset priorities, and that no commitment can be given on timescales for sandbag delivery.
- All calls requesting sandbags will be prioritised and screened as far as reasonably practicable to ensure the most vulnerable are given the highest priority.
- The County Council will try to provide filled and/or synthetic sandbags to properties reporting imminent flood risk.
- The County Council will liaise with partners, particularly District/Borough Council's to ensure their resources are deployed effectively and to avoid duplication.
- The County Council will try to make post flooding follow-up calls to those who requested sandbags to offer starter packs and advice for future self-protection measures.
- Sandbags will not be collected after a flood, disposal is the responsibility of individual householders.

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Author: Jill Beacham (x36549)

Agenda Item No.6 (j)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Executive Director for Children's Services

**CHILDREN'S SERVICES CAPITAL PROGRAMME 2019-20 JOINT MATCH
FUNDING INITIATIVE (YOUNG PEOPLE)**

Purpose of Report

To seek approval to a schedule of joint-funded projects submitted by schools as a charge on the budget approved in the 2019-20 Children's Services Capital Programme.

1. Information and Analysis

Cabinet agreed on 11 July 2019 (minute number 132/19) as part of the 2019-20 Children's Services Capital Programme to allocate £500,000 from the School Condition Allocation to continue with the Joint Funding Initiative.

The initiative enables schools to bid for 50% funding support from the Authority to undertake priority schemes which will improve the condition of their school site/buildings, or to improve the safeguarding of children or to enable former classrooms now used for other purposes to be brought back into classroom use. The initiative helps to reduce the backlog of school condition improvement works which is a national and local priority for capital investment.

Bids must be for projects with a minimum value of £10,000 with the Authority matching 50% of the Schools contribution up to a maximum of £15,000.

Appendix A details bids for projects at 25 schools which meet the criteria for funding and for which full supporting information has been received. If

approved these would require a contribution from the Authority of £273,254.

Bids have also been received for projects at 13 schools for which full supporting information is either not yet available or which are deemed lower priority condition works. It is proposed, subject to the availability of funding, that these projects be considered for inclusion in a future paper. A further 5 requests have been received after the closing date for bids of 25 October 2019.

2. Financial Considerations

A budget of £500,000 was approved in the Children's Services Capital Programme School Condition Allocation 2019-20. There remains an unallocated balance of £33,612 from the 2018-19 Joint Match Funding allocation giving a total of £533,612. If the allocations detailed in this paper are approved this would leave a balance of £260,358 for future allocations.

3. Social Value Considerations

Schools presenting bids have the option of either using County Property or managing their own scheme. Where the works are procured and delivered by County Property social value will be addressed by their established procedures. If the works are delivered by the schools themselves they will follow their own financial regulations.

4. Other Considerations

In preparing this report the relevance of the following factors has been considered:- prevention of crime & disorder, equality of opportunity, environmental, health, legal & human rights, human resources, property and transport considerations.

5. Key Decision Yes

6. Call-in

Is it necessary for the call-in period to be waived in respect of the decisions being proposed in the report? No

7. Background Papers

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

8. Officer Recommendation

That approval be granted to the joint-funded projects as detailed in the Appendix, with funding being split between the schools and the Authority, resulting in a charge of £273,254 against the Children's Services Capital Programme.

Jane Parfremment
Executive Director for Children's Services

Appendix A:

School Name	Project	Project Cost	School Contribution	LA Contribution
Ashover Primary School	Replacement cladding and kick boarding and repairs to gables and windows	£30,934	£15,934	£15,000
Bamford Primary School	Roof repairs and toilet refurbishment.	£18,318	£9,159	£9,159
Barlow CE Voluntary Controlled Primary School	Replace stone steps and new access controls	£13,291	£6,645	£6,646
Brampton Primary School	Toilet refurbishment	£20,962	£10,481	£10,481
Cotmanhay Infant School	Toilet Refurbishment	£17,600	£8,800	£8,800
Creswell CE Infant and Nursery School	Window replacement	£19,010	£9,505	£9,505
Dallimore Primary School	Resurface external entrance area	£21,743	£10,871	£10,872
Dronfield Henry Fanshawe School	Replacement CCTV system	£31,190	£16,190	£15,000
Fairfield Infant and Nursery School	Staff room refurbishment and video access system	£14,851	£7,426	£7,425
Grassmoor Primary School	Toilet and store refurbishment	£25,300	£12,650	£12,650
Holmesdale Infant School	Kitchen refurbishment	£27,000	£13,500	£13,500
Killamarsh Infant School	Playground resurfacing	£42,387	£27,387	£15,000
Ladycross Infant School	Water heater replacement	£14,309	£7,154	£7,155
Ladywood Primary School	Replacement flooring	£16,000	£8,000	£8,000
Matlock Bath Holy Trinity CE (Controlled)	Toilet Refurbishment	£28,000	£14,000	£14,000

Primary School				
Melbourne Infant School	Toilet refurbishment	£30,000	£15,000	£15,000
Northfield Junior School	Playground resurfacing and IT Infrastructure upgrade	£22,500	£11,250	£11,250
Parkside Community School	Window and door replacement	£35,000	£20,000	£15,000
Penny Acres Primary School	Door replacement	£10,000	£5,000	£5,000
Pilsley Primary School (Chesterfield)	Classroom and toilet refurbishment	£20,000	£10,000	£10,000
Ripley Infant School	Door replacement and drive and playground resurfacing	£34,116	£19,116	£15,000
Scarcliffe Primary School	Toilet refurbishment and path renewal	£20,100	£10,050	£10,050
Simmondley Primary School	Boiler replacement and asbestos removal	£23,750	£11,875	£11,875
Swanwick Primary School	Toilet refurbishment	£14,199	£7,100	£7,099
William Rhodes Primary and Nursery School	Toilet refurbishment	£19,575	£9,788	£9,787
	Totals	£570,135	£296,881	£273,254

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Agenda Item No.6 (k)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Executive Director for Children's Services

**INSPECTION OF LOCAL AUTHORITY CHILDREN'S SERVICES ("ILACS") –
POST ILACS ACTION PLAN AND SUMMARY FOR YOUNG PEOPLE**

(YOUNG PEOPLE)

1. Purpose of Report

The purpose of this report is to:

- i) Share with Cabinet the action plan which has been developed to address the five areas for improvement identified in Derbyshire's ILACS inspection;
- ii) Seek Cabinet agreement to publish a summary version of the Ofsted report and action plan for children and young people.

2. Information and Analysis

In July and August 2019, Ofsted carried out an inspection of Derbyshire County Council's Children's Services under the ILACS inspection framework. The inspection report is available on Ofsted's website at the following address:

<https://reports.ofsted.gov.uk/provider/44/830>

The inspection identified that senior leaders in Derbyshire have a sound understanding of the strengths and areas for improvement across the service. Inspectors highlighted a sustained trajectory of improvements in many children's services, and commented positively on:

- An improved response to children in need of protection, as a result of effective work by senior managers. Children now benefit from clearer, more focused planning and timely intervention, which safeguards their welfare.

- Most social workers are well supported, receive regular supervision and oversight. Service remodelling and significant investment has led to increased capacity in social work and supervisory roles.
- Strategic leaders' actions to strengthen performance management and quality assurance arrangements have been successful in ensuring more effective oversight of practice.
- The preventing family breakdown team provides a high-quality service and adds significant value by supporting children on the edge of care
- Children in care live in homes that meet their needs. They build positive relationships with dedicated social workers, who spend time getting to know them.
- Permanence is planned for children at an early stage.
- Children in care receive effective support from the virtual school.
- Audits demonstrate an improving trajectory in respect of the quality of practice and the effectiveness of operational management oversight, which is helping to improve children's outcomes.
- Unaccompanied asylum-seeking children in Derbyshire receive an excellent and responsive service to meet their needs.
- The local authority fostering service is a strength.
- Adoption timeliness for children has shown sustained improvement since 2017, and adopters are positive about the services and help they receive. Life appreciation days are held for every child, and this provides adopters with the opportunity to meet with significant people in their child's life and enhances their knowledge of children's life histories. Adoption workers go to extraordinary lengths to facilitate this impressive service

The inspection also identified that further work is needed to address some remaining areas of pressure and/or inconsistent practice. The specific areas for improvement identified in the report are:

- The timeliness with which Starting Point progress decision-making on contacts when there are no child protection concerns.
- The quality and timeliness of assessment and planning for children in need, including disabled children, those in private fostering arrangements and young people who present as homeless.

- The consistency of the quality of recording of strategy discussions.
- The timeliness of initial personal education plans (PEPs) and initial health assessments for children newly into care.
- The consistency of practice, including the effectiveness of front-line management oversight and supervision

The Care Leavers' service in Derbyshire was commissioned to an external provider for a 12 year period up to 1st July 2019, and transferred back to the Council on the day inspection was notified. At the time of inspection, Ofsted agreed that support for care leavers needed to improve and endorsed the steps already taken by the Council, commenting that:

“the new service provides a secure basis for a streamlined and coordinated service for care leavers and there are early signs of some improvements. However, it is too early to demonstrate positive impact, as this service was only just launched at the time of the inspection.”

Ofsted requires all local authorities (other than those judged to be 'outstanding') to submit an action plan following inspection. Since August the senior management team in Children's Services, together with relevant lead officers and elected members, have considered the above improvement priorities. A post-ILACS action plan has been developed, which focuses on how the pace of change can be accelerated to ensure a swift and robust response to the inspection findings.

A copy of the post-ILACS action plan is at Appendix 1. The plan is underpinned by more detailed project plans for each priority.

The action plan was submitted to Ofsted in December 2019. Ofsted do not have a role in approving the plan, however they have indicated that it covers all the areas they would expect.

Work is underway to deliver the actions, with progress being monitored regularly by a Quality Assurance Board chaired by the Executive Director and the Practice Improvement Board, which includes senior managers and elected members. Improvements have already been achieved in several areas, including the timeliness of decision-making in Starting Point where there are no child protection concerns, and the timeliness of initial PEPs for children in care.

Young People's Summary Version

Ofsted require that a summary version of their inspection report is made available to young people locally. The draft at Appendix 2 has been developed by the Participation Team with input from the Derbyshire Youth Council. It summarises the main findings of the inspection and explains how the Council is working to improve services further.

If Cabinet approves the draft at Appendix 2, it will be shared with the Youth Council and with all Derbyshire children in care and care leavers. Copies will be provided to social workers to share with families, and it will also be made available in children's centres and social care offices.

3. Financial Considerations

The investment required to deliver current improvement plans for Children's Services, and to address ongoing areas of pressure, is detailed in the Council's budget plan and will be met from existing approved budgets.

4. Social Value Considerations

This report and action plan seeks to further strengthen the quality and consistency of help and protection for vulnerable children.

5. Legal Considerations

The Framework, evaluation criteria and inspection guidance for the inspection of local authority children's services November 2017 (updated December 2019) requires that the local authority should write an action plan that responds to the findings in the report.

6. Other Considerations

In preparing this report the relevance of the following factors has been considered:- prevention of crime & disorder, equality of opportunity, environmental, health, legal & human rights, human resources, property and transport considerations.

7. Key Decision No

8. Call-in

Is it necessary for the call-in period to be waived in respect of the decisions being proposed in the report? No

9. Background Papers

These are held on file in the Children's Services Performance, Quality and Participation Section.

10. Officer Recommendation

It is recommended that Cabinet:

- i) Notes the content of the action plan at Appendix 1; and
- ii) Approves publication of the summary version for children and young people at Appendix 2

Jane Parfremment
Executive Director for Children's Services

**INSPECTION OF LOCAL AUTHORITY CHILDREN'S SERVICES (ILACS) – 1st July to 12th July
 and 5th August to 8th August 2019**

PRIORITY AREAS FOR ACTION

What needs to improve	Action	By Who	By When
The timeliness with which Starting Point progress decision-making on contacts when there are no child protection concerns	Finalise and launch new thresholds document, supporting active roll-out by all agencies to support consistent understanding of thresholds	Rachel Harrison Head of Service, Starting Point	January 2019
	Review and strengthen call handling processes within Call Derbyshire to improve initial signposting and reduce inappropriate/poor quality referrals.		March 2020
	Re-design 'Pod' model within Starting Point to ensure the most efficient response to all contacts received at the appropriate threshold		Already in progress with improvements to timescales as below <i>September 2019 performance:</i> CP 1 working day CIN 4 working days EH 2 working days
	Embed new 'Early Help' front door processes within Starting Point		March 2020
	Explore further improvements to live performance dashboard reports		March 2020
The quality and timeliness of assessment and planning for children in need, including disabled children, those in private fostering arrangements and young people who present as homeless	Private fostering lead to offer advice and support to allocated workers for all private fostering cases and review the quality of assessments and plans	Rod Duncan Senior Team Manager	November 2019
	Audit programme to incorporate an annual audit of all private fostering cases	Emma Steeples Assistant Head of QA	November 2019
	Launch new joint protocol and pathway with District and Borough councils for 16/17 year olds who present as homeless	James Gracey Commissioning Manager	February 2020

	Leads within Social Care ensure pathways are understood and followed consistently across the county, ensuring young people presenting as homeless receive an appropriate and timely response in order to meet their needs.	Ann Coverley Head of Service, Chesterfield & Louise Ryan Team Manager, Erewash	February 2020
	Homelessness leads to regularly audit the quality of casework and adherence to the pathway	Ann Coverley Louise Ryan	February 2020
	Review team structure within Disabled Children's Service to strengthen management oversight of case work	Diana McKenna Head of Disabled Children's Service	December 2019
The consistency of the quality of recording of strategy discussions	Specific training for Team Co-ordinators on minute-taking for strategy discussions	Sharon Elliott Business Services Manager	January 2020
	Monthly sampling of quality of strategy discussion records	Emma Steeples Assistant Head of QA	January 2020
The timeliness of initial personal education plans (PEPs) and initial health assessments for children newly into care.	Implement manual system to identify new entrants to care on a daily basis.	Helen Moxon Headteacher, Virtual School	Achieved - with early improvement in % of PEPs initiated within 10 days as below: <i>July 2019 – 14%</i> <i>Sep 2019 – 73%</i>
	Introduce and embed longer term arrangements for initiation of PEPs following implementation of ePEPs		January 2020
	Children in care health outcomes group to oversee root and branch review of the process, performance managing and accountability for health assessments for children place in and outside of the area. SMART Targets to be set for each stage of the initial health assessment process. LEAN methodologies to revise the current administrative processes. Additional scrutiny to be included in the performance reporting to the Corporate Parenting Board.	Isobel Fleming Service Director, Commissioning & Transformation	March 2020
	Increase clinic capacity for initial health assessments	Derby and Derbyshire CCG	March 2020

The consistency of practice, including the effectiveness of front-line management oversight and supervision	Commission external peer challenge, diagnostic and support to improve consistency of practice, potentially via the 'Partner in Practice' programme	Alison Noble Service Director Early Help & Safeguarding	March 2020
	Review respective roles and embed clear expectations of Senior Team Managers, Team Managers and Practice Supervisors	Pete Lambert Assistant Director Early Help & Safeguarding	March 2020
	Principal Social Worker role to focus specifically on practice improvement and consistency	Tracey Hyslop Principal Social Worker	November 2019
	Develop and implement team level performance and quality 'scorecard'	Sara Lewis Assistant Head of Performance	March 2020
	Organise regular, Locality-wide practice development days for all social work staff. The first sessions to take place early spring 2020 and to focus on analysis and assessment.	Pete Lambert Assistant Director Early Help & Safeguarding	By March 2020 (rolling programme thereafter)

APPENDIX 2: DRAFT SUMMARY FOR YOUNG PEOPLE

What Ofsted said about the Derbyshire County Council services that help and look after children and young people

In July 2019 the Office for Standards in Education (Ofsted) inspected the Children's Services provided by Derbyshire County Council.

This is a summary of what the Inspectors said and our plans to help children and young people who receive our support.

Question 1: How well does Derbyshire County Council support its social workers to care for children and families?

The Inspectors rated Derbyshire as 'Good' at doing this.

Senior managers know which services are working well and what needs to improve.

We have increased the number of social workers and made changes to social work teams to give workers more time to spend with children and families.

Managers and workers really want to make a difference to children's lives, make sure that they feel safe and are achieving their best.

Managers really listen to children and young people and make decisions based on their views.

The Virtual School helps children in care develop social skills and confidence.

Question 2: How do we help children who need our support and protection?

The Inspectors rated Derbyshire County Council as 'Requires Improvement to be good' at doing this.

Everyone is working hard to help and protect every child and young person. Sometimes it takes us too long for children to get the help that they need.

Workers are doing a great job working with children and their families but sometimes they need to be clearer about what help is needed and keep a better record of their decisions.

When children go missing workers need to understand why, and work with them to make plans to keep them safe.

Great work is done to safely keep families together. The Virtual School also helps young people access their learning and build their social and cultural experiences.

Question 3. How does Derbyshire County Council help children in care and care leavers?

The Inspectors rated Derbyshire as 'Requires Improvement to be good' at doing this.

Children in care receive good support from social workers who are dedicated to helping them, and want them to achieve their best.

Following widespread consultation with care leavers and a comprehensive service review the service for care leavers has been changed so it's provided by the council now instead of another organisation.

This will provide a better service and there are early signs of some improvements. However, it is too early to demonstrate positive impact as this service was only just launched at the time of the inspection.

What more is Derbyshire County Council doing to help children and young people?

- We've changed how teams work together to help children and recruited more social workers so workers can spend more time listening to children and working with them on their plans for the future.
- We're providing more training and support for social workers so that all children and families get the right help quickly.
- We've changed our Leaving Care Service to help young people from age 16 and to provide better support after listening to their views.
- We're finding out quickly what help children need to be healthy when they come into care and what help they need for their emotional health.
- We're working really hard to support children in care with their education through the Virtual School.
- We will listen to children and young people and design services to help them be the best they can be.

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Author: Chris Allcock (x36514)

Agenda Item No.6 (I)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Executive Director for Children's Services

**EARLY YEARS FUNDING SETTLEMENT 2020-21
(YOUNG PEOPLE)**

1. Purpose of the Report

To inform Cabinet of the Early Years settlement of the Dedicated Schools Grant and the related decisions of the Schools Forum, and to seek approval to the Early Years funding formula for 2020-21.

2. Information and Analysis

2.1 Early Years Settlement

The Early Years Dedicated Schools Grant (DSG) funding rates for 2020-21 were confirmed by the DfE on 19th December 2019. Most LAs will see a flat rate increase of £0.08 per hour with a national minimum rate of £4.38. However, 12 LAs, including Derbyshire, whose current rates are protected at a level above the national minimum rate, will receive no increase. Derbyshire's funding for 2020-21 will therefore remain at £4.39 per hour as this is above both the national minimum rate (£4.38) and our updated pure funding rate under the Early Years National Funding Formula (£4.24).

The funding rate for 2 year olds for all LAs has increased by £0.08 per hour, Derbyshire's figure will rise from £5.20 to £5.28 (+1.54%). The DfE have also confirmed that the national funding rate for the early years' pupil premium is 53 pence per eligible child per hour, and the Disability Access Fund is £615 per eligible child per year. Both of these rates are unchanged from 2019-20.

Finally, the announcement provides Derbyshire with a Maintained Nursery Schools Grant of £1.000m for 2020-21, £0.086m less than in 2019-20 due to a slightly reduced level of provision.

No other technical changes have been announced and hence LAs will continue to have to meet the 95% passporting test i.e. 95% of the universal and additional hours funding for 3 and 4 year olds must be delegated to providers, with a maximum of 5% to be retained for central early years functions. LAs' formulae must continue to include a basic hourly rate and a deprivation indicator, in addition LAs can include indicators for rurality/ sparsity, flexibility, quality and a lump sum for nursery schools.

The December announcement included indicative figures based on January 2019 census data; the actual 2020-21 allocations will be based on a combination of January 2020 (5/12^{ths}) and January 2021 (7/12^{ths}) census information.

Table 1 – Early Years Settlement 2020-21

Item	2020-21	2019-20	
Early Years Block:			
No. 3&4 year olds – universal prov'n (PTE – part time equiv)	9.975.29	10,149.37	
Universal entitlement - 3 & 4 year old hourly rate	£4.39	£4.39	
Sub total universal hours 3&4 yr old funding (£m)	24.961	25.397	
No. 3 & 4 year olds - add'l 15 hours for working parents (PTE)	4,099.92	3,730.66	
Additional entitlement - 3 & 4 year old hourly rate	£4.39	£4.39	
Sub total additional hours 3&4 yr old funding (£m)	10.259	9.335	
Total hours led 3&4 yr old funding - passporting baseline	35.220	34.732	a
Other Early Years allocations:			
Maintained Nursery School (MNS) Grant (£m)	1.000	1.086	
Funding for disadvantaged 2 year olds (£m)	4.371	4.630	
Early Years Pupil Premium (£m)	0.298	0.284	
Early Years Disability Access Fund (£m)	0.149	0.145	
Sub total – Other EY allocations	5.718	6.145	b
TOTAL EARLY YEARS BLOCK (£m)	40.938	40.877	c=b+a

2.2 Early Years – Delegated funding

One of the key issues facing providers will be the increases to the national Living and Minimum Wage rates which take effect from April 2020. Most employees paid on these rates will see increases of between 6.2% to 6.5%.

These increases, which are significantly above the rate of inflation, will add pressure on the early years sector, particularly private, voluntary and independent providers.

Given that Derbyshire's 3 and 4 year old funding rate is unchanged for 2020-21, the scope for increasing the rates paid locally to providers is a challenge. However, the Schools Forum, which is responsible for setting central early years budgets, agreed to reduce the level of central spend for 2020-21 to help facilitate an increase.

Accordingly, it is proposed that Derbyshire's universal rate paid to all providers should rise from £4.08 per hour to £4.11 from April 2020. The enhanced hourly rate for nursery schools (£0.54), the nursery schools' lump sum (£89,813.79) and the deprivation multiplier (£1.31 per hour) within Derbyshire's local early years formula would remain unchanged, the only other increase being in respect of funding for nursery schools' rates bills.

Cabinet is asked to approve these rates for 2020-21. The estimated cost of the delegated allocations is provided in Table 2 below.

Table 2 – Early Years Delegated Allocations 2020-21

	Nursery schools	Nursery units	PVI	Total	
Proposed Universal hourly rate	£4.11	£4.11	£4.11	-	
Proposed Enhanced hourly rate	£0.54	£0.00	£0.00	-	
Proposed Overall hourly rate	£4.65	£4.11	£4.11	-	A
3&4 year olds universal hrs	564.33	3,448.70	5,962.26	9,975.29	B
3&4 year olds additional hrs	185.92	730.35	3,183.65	4,099.92	C
Delegated funding	£m	£m	£m	£m	
Universal allocation	1.496	8.079	13.968	23.543	=AxBx570hrs
Additional hours allocation	0.493	1.711	7.458	9.662	=AxCx570hrs
Sub total - hourly rate allocations	1.989	9.790	21.426	33.205	
Formula supplements:					
Lump sum	0.719	0.000	0.000	0.719	
Deprivation	0.054	0.508	0.325	0.887	
Rates	0.072	0.000	0.000	0.072	
Sub total - formula supplements	0.845	0.508	0.325	1.678	
Contingency – treated as delegated	0.005	0.000	0.000	0.005	
Total delegated funding	2.839	10.298	21.751	34.888	

2.3 Early Years – Centrally held funding

Decisions on the level of central early years spend are a matter for the Schools Forum. At its last meeting on 20th January 2020 the Forum agreed the budgets set out in Table 3 overleaf.

Table 3 – Central Early Years Budgets 2020-21

	Approved 2020-21	Approved 2019-20	Comment
Service	£k	£k	
Early Years Imp. Service	1,184	1,339	Support & quality review of PVI settings
Early Years SEN service	145	468	2020-21 figure reflects transfer to High Needs Block
Every Child a Talker	-	14	
Early Help Offer	-	50	
Nursery school licences	3	2	
2019-20 adj	-	(136)	19-20 figure - to keep within 5% limit
Total	1,332	1,737	

The reduction in central spend includes the transfer of £0.323m to the high needs block relating to the Early Years SEN service, a lower level of planned spend on the early years improvement service and cessation of support from the DSG for the Every Child A Talker (ECAT) programme. The ECAT programme will in future be met from separate DfE Early Years Professional Development Programme funding.

The reduction in central spend will fund the increase in universal rate funding in section 2.2 above whilst ensuring the early years grant is not over-committed.

Cabinet is asked to note the decisions of the Schools Forum in respect of central early years spend for 2020-21.

2.4 Early Years – Overall funding and passporting tests

The overall cost of the allocations in sections 2.2 and 2.3 fully allocate the grant.

Table 4 – Summary of estimated income and proposed spend 2020-21

	Cost
	£m
Delegated Allocations per Table 2	34.888
Central Budgets per Table 3	1.332
Total spend	36.220
Universal/additional hours grant – Table 1	35.220
Maintained Nursery School grant	1.000
Total grant	36.220

The proposals also meet the government's 95% passporting test, as shown in Table 5 overleaf.

Table 5 – Estimated impact of allocations on passporting test

	£m
Delegated Allocations per Table 2	34.888
Less funded by MNS grant	(1.000)
Delegated spend for passporting purposes	33.888
Universal/additional hours income – eTable 1	35.220
Delegated percentage	96.2%

3. Other Considerations

In preparing this report, the relevance of the following factors has been considered: - prevention of crime & disorder, equality of opportunity, and environmental, health, social value, human rights, human resources, property and transport considerations.

4. Background Papers

Files held within Children's Services Finance.

5. Key Decision

Yes.

6. Call-in

Is it required that the call-in period be waived in respect of the decisions being proposed within this report? No

7. Officer's Recommendations That Cabinet considers this report and:

- (i) Notes the Early Years Block settlement for 2020-21;

- (ii) Agrees the increase in Derbyshire's universal rate to £4.11 from April 2020;
- (iii) Agrees that the enhanced rate for nursery schools, nursery school lump sum and deprivation multipliers remain unchanged for 2020-21;
- (iv) Notes the central early years budgets approved by the Schools Forum as set out in section 2.3; and
- (v) Notes that the proposals meet the government's early years passporting test as set out in section 2.4.

Jane Parfremment
Executive Director for Children's Services

Author: Chris Allcock (x36514)

Agenda Item No.6 (m)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Executive Director for Children's Services

**CENTRAL SCHOOL SERVICES BLOCK AND
PUPIL GROWTH FUND SETTLEMENT 2020-21
(YOUNG PEOPLE)**

1. Purpose of the Report

To inform Cabinet of the Central School Services Block (CSSB) and Pupil Growth settlements for 2020-21 and the decisions of Schools Forum regarding their allocation.

2. Information and Analysis

2.1 Central School Services Block (CSSB)

Details of LAs' 2020-21 CSSB allocations were published on 19th December 2019.

This block of the Dedicated Schools Grant was introduced in 2018-19 to fund local authorities for the statutory duties that they hold for both maintained schools and academies. The CSSB brings together:

- funding previously allocated through the retained duties element of the former Education Services Grant;
- funding for ongoing central functions; and
- historic commitments previously held within the Schools Block.

The determination of budgets funded by the CSSB is a matter for the School Forum rather than the County Council. The Schools Forum considered the allocation of funding for 2020-21 in October 2019 on the basis of provisional settlement figures, as it was not expected that the final settlement in December 2019 would be significantly different.

In October 2019 the estimated grant was calculated to be as follows:

Table 1 – Provisional CSSB Allocation 2020-21

	2020-21	2019-20
NFF multiplier	£29.80	£29.23
October 2018 pupil census count	97,700.00	97,700.00
Total ongoing responsibilities	£2,911,072	£2,855,771
Historic commitments	£1,389,600	£1,737,000
Total Central School Services Block	£4,300,672	£4,592,771
Net decrease	-£292,099	

The key changes of note were a 1.95% increase in the per-pupil funding rate for ongoing responsibilities and a 20% reduction in the historic commitments element. The DfE's intention to reduce LAs' historic allocations had been trailed for some time, although the scale of the reduction was only made clear in October 2019.

The report to Schools Forum set out proposals to allocate the 2020-21 grant, as shown in Table 2 below.

Table 2 – Proposed Central Schools Block spend

	2020-21	2019-20	
<u>Item</u>	£m	£m	Note
<u>Ongoing responsibilities</u>			
Admissions	0.559	0.538	
Schools Forum	0.042	0.041	
Former ESG Retained duties	1.652	1.620	
Licences	0.620	0.602	Forum approval not req'd
Ongoing responsibilities sub total	2.873	2.801	
<u>Historic commitments</u>			
Contribution to combined budgets	1.390	1.737	20% reduction
Historic commitments sub total	1.390	1.737	
Total Central Services Schools Block	4.263	4.521	

These proposals were agreed and the allocations left £0.038m of the estimated grant unallocated, to be used to contribute to the expected DSG deficit at 31 March 2020 of approximately £3.5m. The actual settlement in December resulted in a slightly higher CSSB settlement of £4.319m with the extra £0.018m also contributing to the deficit.

Cabinet is asked to note the decisions of the Schools Forum in respect of the CSSB for 2020-21.

2.2 Pupil Growth Fund

Local authorities' DSG allocations now include pupil growth funding as an element of the Schools Block. The distribution of this funding is also a matter for the Schools Forum rather than the County Council. Historically, the fund has been used to support schools with in-year increases in pupils, including new free schools, as well as contributing to the extra costs of meeting national Key Stage 1 class size requirements.

Allocations for 2020-21 were announced on 19th December 2019 and based on a formula which looks at increases in pupil numbers as measured at Middle Super Output Area (MSOA) level: net reductions at MSOA level would be ignored. The allocations for 2020-21 have been based on the increases between October 2019 and 2018 pupil census data with each additional primary pupil attracting £1,425 and each secondary pupil £2,130. In addition LAs will receive £67,000 for each new institution registered for the first time on the October 2019.

Derbyshire's Pupil Growth funding for 2020-21 is shown in Table 3 below:

Table 3 – Pupil Growth allocation 2020-21

	Pupil Increase	2020-21 Rate	Pupil growth funding
Primary	500.0	£1,425	£712,500
Secondary	1,212.0	£2,130	£2,581,560
Sub total			£3,294,060
New Institutions - The Mease/Chellaston Fields			£134,000
Total allocation			£3,428,060

The allocation in Table 3 is significantly higher than that for 2019-20 (£2.352m) as the 2020-21 allocation has not been capped. Whilst the increase is welcomed, it must be noted that this level of funding is only guaranteed for 2020-21, separate calculations will be performed annually to determine future years' allocations based on future pupil number changes.

The allocation of this grant was considered by the Schools Forum at its meeting on 20th January 2020. The backcloth to the Forum's decisions was the anticipated £3.5m accumulated DSG deficit at 31st March 2020. Given the need to address this deficit, the Forum was keen to ensure that the pupil growth fund made a significant contribution to this shortfall. In summary the Schools Forum agreed the following allocations:

Key Stage 1 Class size (£1.128m) – this supports infant and primary schools to meet national infant (Key Stage 1) class size requirements. The current (2019-20) budget for this purpose is £1.1m and this was increased to £1.128m to cover the impact of pay awards. No other changes were made to the operation of this budget.

In year pupil increases (£0.250m) - the need for support arises from the lagged nature of schools and academies' funding. For example, children admitted in September 2019 would not generate additional funding until the start of the 2020-21 financial year (LA maintained schools) or 2020/21 academic year (academies). This leaves the school and academy having to support any in-year additional costs for seven and twelve months respectively. N.B. DfE guidance only allows support to be provided where in-year increases in numbers arise as a direct consequence of a basic need issue i.e. where the Authority requires the school or academy to admit a significant number of children. The guidance specifically prohibits supporting general growth due to popularity as this should be managed through lagged funding.

The 2019-20 budget for this purpose is also £0.250m of which £0.113m has been allocated to date. In order to minimise the budget requirement in 2020-21 the Forum approved that the 2019-20 underspend be earmarked for in year pupil increases in 2020-21. This was felt to be necessary given the increasing number of academies, which generally require a longer period of support.

New Free Schools (£0.725m) - Two new primary free schools The Mease at Hilton and Chellaston Fields opened in September 2019 with a further two, Highfields Farm and Boulton Moor, planned for September 2020 and 2021 respectively.

Under the national academy framework LAs are responsible for funding the pre and post opening set up costs and formula support of free schools. Pre-opening support provides funding for the free school to meet some initial costs in advance of the school opening e.g. employing key staff. The amount of support ranges from £0.172m to £0.212m, the lower figure is more usual where a single Trust opens more than one school in the same local authority in the same academic year and reflects an expectation that there will be some economies of scale in the planning stages.

Post-opening support recognises that in the initial years after opening, the mainstream formula allocation is unlikely to provide sufficient resources to run a school. Post opening support comes in two forms. The first, Leadership, provides an average of £13,500 per empty cohort per annum, the maximum a school could claim would be £0.283m during the first six years. The second element is to help provide additional resources

and is a flat rate £250 per additional pupil, a total cost of £52,500 for a 210 pupil school.

In terms of formula support, children starting a free school for the first time in September would only trigger DSG resources from the following April. In the interim the Authority is required to fund the formula budget of the school relating to these children for the period September to March from the pupil growth fund.

The precise level of support, particularly the post-opening and formula support, will depend upon the schools' admission profiles, the pupils' characteristics i.e. the levels of deprivation and prior attainment and the formula multipliers used by the local authority to fund its schools and academies. Typically it estimated that around £0.950m will be required over a number of years for each new free school.

In order to ensure resources are in place to provide this additional support the Authority holds a reserve within the DSG to cover the above costs. Currently £2.402m has been set aside for this purpose and the Schools Forum agreed to set aside a further £0.725m from the 2020-21 pupil growth fund for this purpose: a similar figure is expected to be required in 2021-22. The 2020-21 budget will be used to add to the existing reserve with funds only being drawn down when required.

2.3 Implications of the allocations

The above budgets utilise £2.103m of the grant leaving £1.325m unallocated and thus available to contribute towards the forecast DSG deficit.

3. Other Considerations

In preparing this report, the relevance of the following factors has been considered: - prevention of crime & disorder, equality of opportunity, and environmental, health, social value, human rights, human resources, property and transport considerations.

4. Background Papers

Files held within Children's Services Finance.

5. Key Decision

Yes.

6. Call-in

Is it required that the call-in period be waived in respect of the decisions being proposed within this report? No

7. Officer's Recommendations That Cabinet considers this report and:

- (i) Notes the Central School Service Block and Pupil Growth settlements for 2020-21;
- (ii) Notes the decisions of Schools Forum regarding the allocation of these grants; and
- (iii) Notes the contributions these grants are expected to make towards the anticipated DSG deficit at March 31st 2020.

Jane Parfremment
Executive Director for Children's Services

Author: Chris Allcock (x36514)

Agenda Item No.6 (n)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Executive Director for Children's Services

**HIGH NEEDS BLOCK FUNDING SETTLEMENT 2020-21
(YOUNG PEOPLE)**

1. Purpose of the Report

To inform Cabinet of the High Needs Block (HNB) settlement of the Dedicated Schools Grant for 2020-21 and seek approval to its allocation.

2. Information and Analysis

2.1 High Needs Settlement

Details of LAs' 2020-21 high needs allocations were published on 19th December 2019. Derbyshire's high needs funding will increase by £9.799m (+14%) from £69.972m to £79.771m, a summary of the allocation is provided in Appendix 1. The increase is slightly greater than expected due to a higher number of pupils in special school provision.

The additional funding, which is substantial, is largely driven by increased national formula multipliers and provides scope to address at least some of the pressures currently facing the Authority, schools and providers.

2.2 High Needs Places

There are two types of places, the first is pre and post 16 SEN places in academies and post 16 places in LA maintained mainstream schools and special schools, college places and post 16 Charitable and Commercial Providers (CCPs). These are all funded by the Education and Skills Funding Agency (ESFA) by deducting monies from LAs' gross HNB allocations. The second type covers pre 16 places in LA special schools, Enhanced Resource provision in LA maintained schools and LA Pupil Referral Units.

Work has been ongoing for several weeks with providers to establish the number of places required. As a result of this work the places which the LA expects to fund from the gross HNB are shown in Appendix 2. The total cost is estimated to be £14.672m, an increase of £0.314m compared with 2019-20 with the majority of the increase being for additional places in LA special school provision.

2.3 Top up funding [also known as Element 3]

These sums, which are over and above the place values, are paid to providers for children and students for which the LA is the “home” Authority. Top up rates vary depending on the type of institution and the individual child’s needs being met

Mainstream schools receive top up funding for children supported either by an Education Health and Care Plan (EHCP) or Graduated Response for an Individual Pupil (GRIP) arrangement. It is proposed that the funding rates associated with these plans be increased by 3% from April to cover the costs of inflation, including a potential increase in the employer’s superannuation contribution.

Special schools, pupil referral units and enhanced resource schools receive Element 3 funding on top of their place led resources. It is proposed that these funding rates be increased by 5%, details of the current and proposed rates are set out in Appendix 3. The percentage increase is higher than for mainstream schools as it recognises that a significant proportion of these institutions’ resources is derived from the number of places. In 2020-21 each of these places will continue to be funded at the nationally-set £10,000 rate with no increase for inflation.

Element 3 payments will also be required for Derbyshire SEND children attending schools in other LAs as well as independent and non-maintained provision.

The estimated cost of top ups is summarised in Table 1 below.

Table 1 – Estimated Element 3 top ups 2020-21

Item	£
Early years	516,600
Primary schools and academies	9,274,600
Secondary schools and academies	6,936,700
Post 16 Colleges and ESPs	3,846,600
Special schools and academies	15,035,500

PRUs incl SEN	1,992,800
Other LA, Ind. & Non Maintained Special Schools	10,800,000
Contingency	235,800
Total	48,638,600

2.4 High Needs Services and other budgets

In addition to the monies delegated to providers in 2.2 and 2.3 above, funding is held centrally to enable some services to be free to schools and academies at the point of delivery. These central budgets also fund a range of other costs including contingencies, contributions to LA-funded services e.g. education psychology services, contributions to high cost complex placements and some limited transport costs. The estimated allocations for 2020-21 total £16.460m, figures for each service area are set out in Appendix 4.

Included within the total spend is a high needs contingency of £0.500m, an increase of £0.150m on the budget for 2019-20. The increase will provide greater scope for supporting schools with significant numbers of children with either an EHCP or GRIP, an issue which has been discussed recently at Council. A report on the proposed allocation of this fund will be provided to Cabinet early in 2020-21.

2.5 Summary of allocations

The total allocations in this report would fully allocate the high needs block grant for 2020-21.

Table 2 – Summary of allocations

Budget	£m
Places - Appendix 2	14.672
Top ups – section 2.3.	48.639
Centrally held budgets section 2.4/Appendix 4	16.460
Total budgets	79.771
HNB grant - Appendix 1	79.771
Balance	-

2.6 Special Schools De-delegation

Funding in respect of redundancy costs and services previously funded by the Education Services Grant (ESG) have been top-sliced from LA mainstream schools' budgets. With regard to the equivalent services for LA special schools, decisions on whether or not to top-slice is a matter for the special school LA-maintained sector representative on the Schools Forum. The proposed top-slice rates for special schools for 2020-21 are set out in Table 3.

Table 3 – Top-slice charges for Special Schools 2020-21

	Per Pre 16 Place		
Sector/multiplier	Redundancy	Frmr ESG Services	Total
Multiplier	£28.90	£20.55	£49.45

At the meeting of the Schools Forum in June 2019, the special school representative agreed that funding should be top-sliced for their sector for 2020-21. The decision to accept responsibility for costs funded from top-sliced resources is a matter for Cabinet. It is recommended that Cabinet agrees to the Forum's request for 2020-21 in respect of special schools.

3. Other Considerations

In preparing this report, the relevance of the following factors has been considered: - prevention of crime & disorder, equality of opportunity, and environmental, health, social value, human rights, human resources, property and transport considerations.

4. Background Papers

Files held within Children's Services Finance.

5. Key Decision

Yes.

6. Call-in

Is it required that the call-in period be waived in respect of the decisions being proposed within this report? No

7. Officer's Recommendations That Cabinet considers this report and:

- (i) Notes the High Needs Block settlement for 2020-21;
- (ii) Agrees the places to be funded as set out in Appendix 2;

- (iii) Approves the top up budgets in section 2.3 and the associated top up rates in Appendix 3;
- (iv) Approves the centrally held budgets in Appendix 4;
- (v) Notes that a report on the allocation of the high needs contingency budget will be presented to a future meeting of Cabinet; and
- (vi) Agrees to top-slice funding for LA maintained special schools in respect of redundancy costs and former ESG funded services as set out in section 2.6.

Jane Parfremment
Executive Director for Children's Services

	2020-21	2020-21	2020-21		2019-20	2019-20	2019-20
	Count	Multiplier	Allocation		Count	Multiplier	Allocation
	£	£	£m		£	£	£m
Population aged 2-18	145,998	155.85	22.754		145,415	117.17	17.038
Health & Disability – No. children with bad health	670	4,145.10	2.777		670	3,086.40	2.068
Health & Disability – No. children claiming DLA	5,527	651.95	3.603		5,250	509.71	2.676
Deprivation – Free school meals (current)	16,744	286.30	4.794		13,609	245.33	3.339
Deprivation –*IDACI Band F	15,404	45.20	0.696		15,220	34.04	0.518
Deprivation – IDACI Band E	7,618	58.79	0.448		7,604	44.21	0.336
Deprivation – IDACI Band D	8,939	80.24	0.717		8,964	60.30	0.541
Deprivation – IDACI Band C	8,430	85.87	0.724		8,378	64.50	0.540
Deprivation – IDACI Band B	8,182	94.01	0.769		8,172	70.63	0.577
Deprivation – IDACI Band A	766	126.74	0.097		780	95.58	0.075
Low Attainment Key Stage 2	1,384	2,590.23	3.585		1,426	1,761.36	2.512
Low Attainment Key Stage 4	1,842	1,904.34	3.508		1,824	1,446.66	2.639
Historic spend	-	-	33.0320		-	-	33.032
Funding floor	-	-	0.000		-	-	0.617
Hospital Education	-	-	0.055		-	-	0.050
Basic entitlement	1,084	4,000.00	4.336		984.5	4,000.00	3.938
Additional high needs allocation 2019-20			0.000				1.600
Total pre import/export adj.			81.895				72.096
Import/export adjustment	-354	6,000.00	-2.124		-354	6,000.00	-2.124
Total High Needs Block			79.771				69.972
Increase on 2019-20 (£m)			+9.799				

* IDACI – Income Deprivation Affecting Children Index

High Needs Places 2020-21			Places 2019-20		Places 2020-21		Budget		Appendix 2
DfE	School	Type	April	Sept	April	Sept	2019-20	2020-21	Change
ERS									£
2025	SPRINGFIELD JUNIOR	Academy	12.00	8.00	8.00	8.00	58,000	48,000	-10,000
2026	NEW WHITTINGTON PRIMARY	Academy	10.00	9.00	9.00	9.00	56,500	54,000	-2,500
2036	DUNSTON PRIMARY & NURSERY ACADEMY	Academy	6.00	6.00	6.00	6.00	36,000	36,000	0
2037	LANGLEY MILL ACADEMY	Academy	5.00	6.00	6.00	6.00	33,500	36,000	2,500
2116	ALDERCAR INFANT AND NURSERY	Academy	8.00	8.00	8.00	6.00	48,000	41,000	-7,000
4004	OUTWOOD ACADEMY NEWBOLD	Academy	16.00	16.00	16.00	16.00	96,000	96,000	0
4052	THE LONG EATON	Academy	10.00	11.00	11.00	11.00	63,500	66,000	2,500
4500	QUEEN ELIZABETH'S GRAMMAR	Academy	4.00	0.00	0.00	0.00	10,000	0	-10,000
5410A	THE PINGLE (AREA)	Academy	29.00	29.00	29.00	29.00	174,000	174,000	0
5410C	THE PINGLE (AUTISTIC)	Academy	15.00	15.00	15.00	15.00	90,000	90,000	0
4111	HOPE VALLEY (POST 16 ONLY)	Academy	22.00	22.00	22.00	18.00	132,000	116,000	-16,000
2011	BRAMPTON PRIMARY	Maintained	14.00	14.00	14.00	14.00	84,000	84,000	0
2013	CHAPEL-EN-LE-FRITH C E (VC) PRIMARY	Maintained	19.00	19.00	19.00	19.00	114,000	114,000	0
2190	PILSLEY PRIMARY (CHESTERFIELD)	Maintained	9.00	9.00	9.00	10.00	54,000	57,500	3,500
2268	WHALEY BRIDGE PRIMARY	Maintained	10.00	10.00	10.00	8.00	60,000	53,000	-7,000
2333	HILLTOP PRIMARY	Maintained	5.00	5.00	5.00	5.00	30,000	30,000	0
2356	ELMSLEIGH INFANT AND NURSERY	Maintained	16.00	16.00	16.00	16.00	96,000	96,000	0
4019	CHAPEL-EN-LE-FRITH HIGH	Maintained	36.00	34.00	34.00	34.00	209,000	204,000	-5,000
4074	THE WILLIAM ALLITT	Maintained	3.00	1.00	1.00	0.00	11,000	2,500	-8,500
4089B	ALDERCAR COMM. LANG COLLEGE (HI)	Maintained	9.00	10.00	10.00	8.00	57,500	53,000	-4,500
4089D	ALDERCAR COMM. LANG COLLEGE (PHYS)	Maintained	0.00	1.00	1.00	1.00	3,500	6,000	2,500
4173	TIBSHELF COMMUNITY	Maintained	17.00	19.00	19.00	18.00	109,000	110,500	1,500
	Total ERS		275.00	268.00	268.00	257.00	1,625,500	1,567,500	-58,000
	Special								
7001	Holbrook	Academy	120.00	120.00	120.00	127.00	1,200,000	1,240,833	40,833
7006	Ashgate Croft	Maintained	138.00	139.00	139.00	139.00	1,385,833	1,390,000	4,167
7014	Bennerley Fields	Academy	87.00	88.00	88.00	88.00	875,833	880,000	4,167
7017	Peak	Academy	52.00	55.00	55.00	60.00	537,500	579,167	41,667
7019	Stanton Vale	Academy	85.00	85.00	85.00	93.00	850,000	896,667	46,667
7000	Holly House	Maintained	43.00	43.00	43.00	43.00	430,000	430,000	0
7005	Brackenfield	Maintained	72.00	72.00	72.00	82.00	720,000	778,333	58,333
7009	Swanwick Sports	Maintained	82.00	82.00	82.00	82.00	820,000	820,000	0
7012	Stubbin Wood	Maintained	132.00	135.00	135.00	150.00	1,337,500	1,437,500	100,000
7018	Alfreton Park	Maintained	85.00	85.00	85.00	87.00	850,000	861,667	11,667
	Total Special		896.00	904.00	904.00	951.00	9,006,667	9,314,167	307,500
	PRU								
1106	South Derbyshire	Academy	16.00	16.00	16.00	26.00	160,000	218,333	58,333
1102	Amber Valley	Maintained	156.00	156.00	156.00	156.00	1,560,000	1,560,000	0
1111	North East Derbyshire	Maintained	100.00	100.00	100.00	100.00	1,000,000	1,000,000	0
	Total PRU		272.00	272.00	272.00	282.00	2,720,000	2,778,333	58,333

High Needs Places 2020-21			Places 2019-20		Places 2020-21		Budget		Appendix 2
DfE	School	Type	April	August	April	August	2019-20	2020-21	Change
Post 16									£
4000	SWANWICK HALL	Academy	1.00	1.00	1.00	0.00	6,000	2,000	-4,000
4004	OUTWOOD ACADEMY NEWBOLD	Academy	0.00	0.00	0.00	1.00	0	4,000	4,000
4034	TUPTON HALL	Academy	2.00	0.00	0.00	0.00	4,000	0	-4,000
4052	THE LONG EATON	Academy	1.00	1.00	1.00	1.00	6,000	6,000	0
4111	HOPE VALLEY COLLEGE	Academy	0.00	0.00	0.00	0.00	0	0	0
4196	BROOKFIELD COMMUNITY	Academy	2.00	1.00	1.00	1.00	8,000	6,000	-2,000
4500	QUEEN ELIZABETH'S GRAMMAR	Academy	0.00	0.00	0.00	3.00	0	12,000	12,000
5400	NETHERTHORPE	Academy	3.00	0.00	0.00	1.00	6,000	4,000	-2,000
5401	THE ECCLESBOURNE	Academy	2.00	0.00	0.00	6.00	4,000	24,000	20,000
5408	HEANOR GATE SCIENCE COLLEGE	Academy	1.00	0.00	0.00	0.00	2,000	0	-2,000
5409	FRIESLAND	Academy	1.00	0.00	0.00	0.00	2,000	0	-2,000
5410	THE PINGLE	Academy	4.00	2.00	2.00	2.00	16,000	12,000	-4,000
5413	ST MARY'S CATHOLIC HIGH	Academy	3.00	2.00	2.00	2.00	14,000	12,000	-2,000
4089	ALDERCAR HIGH	Maintained	24.00	25.00	25.00	13.00	148,000	102,000	-46,000
4174	HIGHFIELDS	Maintained	1.00	3.00	3.00	2.00	14,000	14,000	0
4191	GLOSSOPDALE COMMUNITY COLLEGE	Maintained	1.00	1.00	1.00	1.00	6,000	6,000	0
4505	ANTHONY GELL	Maintained	2.00	3.00	3.00	2.00	16,000	14,000	-2,000
4509	DRONFIELD HENRY FANSHAWE	Maintained	0.00	1.00	1.00	2.00	4,000	10,000	6,000
4510	BUXTON COMMUNITY	Maintained	0.00	1.00	1.00	0.00	4,000	2,000	-2,000
5404	BELPER SCHOOL & SIXTH FORM CENTRE	Maintained	0.00	0.00	0.00	0.00	0	0	0
5411	LADY MANNERS	Maintained	2.00	1.00	1.00	3.00	8,000	14,000	6,000
	Total Post 16		50.00	42.00	42.00	40.00	268,000	244,000	-24,000
	FE								
	Chesterfield College	FE	67.00	67.00	67.00	67.00	402,000	402,000	0
	University of Derby	FE	46.00	61.00	61.00	61.00	336,000	366,000	30,000
	Total FE		113.00	128.00	128.00	128.00	738,000	768,000	30,000
	Total DCC		1,606.00	1,614.00	1,614.00	1,658.00	14,358,167	14,672,000	313,833
	File MTFP 2020-21 to 2022-23 version 17 for March Cabinet.xls								

Special School Profile	Descriptor	Proposed 2020-21 £	Actual 2019-20 £
MSI	Multi-Sensory Impairment	51,726.12	49,262.97
ECB	Extremely Challenging Behaviour	51,726.12	49,262.97
HD	High Dependency	25,362.63	24,154.89
SEMHD	Social Emotional & Mental Health Difficulties	25,362.63	24,154.89
ELD	Extreme Learning Difficulty	18,189.21	17,323.06
SEBD	Severe Emotional & Behavioural Difficulty	17,045.64	16,233.94
ECOM	Extreme Communication Difficulty	16,195.78	15,424.55
COM	Autism/Communication Difficulty	11,837.92	11,274.21
EBD	Emotional & Behavioural Difficulty	11,566.58	11,015.79
SSI	Severe Sight Impairment	6,139.61	5,847.25
PHYS	Severe Physical Impairment	6,139.61	5,847.25
SHI	Severe Hearing Impairment	6,139.61	5,847.25
SLD	Severe Learning Difficulty	6,139.61	5,847.25
OLD	Other Learning Difficulty	1,798.04	1,712.42

PRU Profile	Proposed 2020-21 £	Actual 2019-20 £
Kirk Hallam	12,732	12,126
Sawley	2,303	2,193
Bennerley	10,000	9,524
Alternative Provision Team	3,314	3,156
Newhall	19,448	18,522
Barrow Hill	7,518	7,160
Hasland	3,033	2,889
Chapel	5,114	4,870
Buxton	21,851	20,810
ER School Profile	£	£
A – Area ERS (W' Bridge Prim, Chapel High, William Allitt, Glossopdale, Pingle, Hope Valley, QEGS)	6,849.26	6,523.10
B – Deaf/Hearing Impaired ERS (Aldercar Inf, Langley Mill Jnr, New Whittington Prim, Aldercar Language College)	8,248.53	7,855.74
C – Autism ERS Brampton Prim, Chapel Prim, Pilsley Prim, Springfield Jnr, Elmsleigh Inf, Tibshelf., Pingle, Outwood Newbold, Long Eaton	9,564.08	9,108.65
D – Physical Impairment ERS (Dunston Primary, Aldercar Language College, Hilltop)	20,731.70	19,744.48

	2020-21 Budget
Budget	£
Access and inclusion	644,000
Behaviour Support	1,283,728
Positive Play	208,657
Derbyshire Nurture	309,613
Integrated Pathways	3,822,979
Excluded Pupils claw-back	-436,000
Hospital tuition	55,000
Virtual school	1,028,699
PRU transport (PRU to provision)	505,273
Contribution to education psychology service	400,000
Specialist SEN services	7,269,383
Vulnerable Children's Fund/SEN contingency	700,000
Other	589,000
Contribution to SEN transport	80,000
Total	16,460,332

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PUBLIC

Agenda Item 6o

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Executive Director for Adult Social Care and Health

**HOME CARE FEES 2020-21
ADULT CARE**

1. Purpose of report

To seek Cabinet approval;

- to make an inflationary increase of 4.80% for independent sector home care provision from 1 April 2020
- to increase travel/visit rates by an average of 3.09% from 1 April 2020;
- to increase the fee rate for in-house home care and extra care provision from 1 April 2020 by 4.80%
- to make an inflationary increase of up to 4.80% for specialist home care placements where evidence is provided of inflationary pressures;

2. Information and Analysis

There are approximately 4,200 people currently in receipt of home care support from up to 50 independent sector home care providers, which is equivalent to 90% of the commissioned home care market, the other 10% of long term packages being provided by the Council's in-house service.

The Derbyshire Homecare Association ("the Association") represent many of the independent home care providers. It has requested, on behalf of their members, that the Council consider an increase in fees for 2020-21 to assist with meeting costs associated with the continued promotion of the National Living Wage. Adult Social Care has also received additional requests from other providers not represented by the Association for a fee increase to reflect inflationary pressures.

The Association were invited to a meeting held on the 14 January 2020 with the Council to discuss the sector's views about current market conditions and inflationary pressures. The views shared at this meeting have assisted the Council in detailing 2020-21 fee proposals described in this paper.

2.1 Costs Highlighted by Home Care Providers

National Living Wage

Providers have identified that the National Living Wage is due to increase by 6.2% for staff aged 25 and over from 1 April 2020 (from £8.21 per hour to £8.72 per hour a 51p increase). They note that they have very few staff aged under 25 and that they do not want a two level pay system, as this would be detrimental to recruitment and retention of under 25's to the industry.

Council response

In responding to the providers' request for an inflationary fee increase, the Council has identified the main budget headings that need to be considered when setting home care fee rates. Appendix 1 details these headings and proposed inflationary increases as set out below.

To reflect the National Living Wage the Council has decided to apply a 51p increase on the calculation of hourly home care wages equivalent to 5.1% wage increase for all staff costs including staff aged under 25.

Auto pension enrolment

The required auto pension enrolment was another area that provider representatives requested that the Council should continue to build in to the fee rates.

Council response

The auto-enrolment pension scheme has been subject to a national introduction over the past few years. It has been nationally accepted that the additional costs to a provider will be in the region of an additional 1% on top of the 2% already charged against their staffing bill. It is therefore proposed that the fee model used by the Council should reflect the auto pension enrolment value of 3% for all staff costs from 1 April 2020.

Travel time

The Association have highlighted that when Her Majesty's Revenue and Customs (HMRC) undertake checks of payment of wages by home care providers they are focused on ensuring that providers pay their home care staff at least the minimum wage for their travel time between calls. The Association would like the Council to ensure that the travel rates paid reflect journey time and allow them to meet their national minimum wage obligations.

Council response

The Council makes an additional payment per home care visit to assist providers in paying staff travel time and to meet the costs incurred by staff. The National Minimum Wage rules require home care providers to count travel time between visits towards the calculation of working time. The impact of the National Living Wage means that providers should have to pay staff more to compensate for the travel time element.

Travel payments

As noted the Council pays an additional amount to providers for each home care visit to assist providers to meet costs associated with travelling from one call to the next. There are currently four values as shown in the table below:

Value per Home Care Visit	April 2019-20	Proposed 2020-21	Increase %
Urban	£2.15	£2.30	6.98%
Semi-Rural	£2.93	£3.03	3.41%
Rural	£3.94	£3.98	1.02%
Extra Rural	£5.86	£5.90	0.68%
Average			3.09%

The values are linked to population density at ward level and the likely travel time between calls. The highest travel payment is meant to encourage take up of new work in the more rural parts of the county where travel time between calls and impact of weather and isolated nature of the calls can be difficult to cover. It is noted that encouraging providers to take on new work in isolated rural areas is always challenging. Difficulties in covering these home care calls can often result in delayed hospital discharge.

The Association explained that the urban travel rate does not necessarily reflect the true cost of travel. Often urban areas have heavier traffic, particular at certain times of day, more one way systems and difficulty parking near to a client's home. In these areas staff will sometimes use public transport as this may be quicker than using a car.

Council response

The Council accepts the comments made by the Association and will apply a higher percentage increase to the urban travel payment when compared against other travel rates.

Training

The Association has previously challenged the number of training days allowed for in the Council's assumptions used when calculating the fee rates. The Council previously funded up to 3 days training in the fee model and following feedback from The Association the number of training days was increased from 3 to 5 days in the fee calculation.

The Association have welcomed the additional contribution detailed above but have noted that the cost of the national Quality and Credit Framework for Care level 2/3 is now £3,000 per worker and level 5 is £9,000. They note that it is possible to utilise the apprenticeship levy but they then have to spend 20% of their paid time off rota which providers argue is neither affordable nor possible due to workforce constraints.

Council response

The Council notes the feedback from Providers about the apprenticeship levy but is unable to respond beyond the support already available within the fee modelling and will continue to offer free access to Council run training courses many of which contribute towards the Care Certificate. The Council is also leading an initiative to promote and support workforce development.

Staff recruitment and retention

Providers continue to report that recruitment and retention of Home Care workers is extremely difficult. They highlight concerns about how low wages in the sector coupled with low unemployment in parts of the county and poor status of a career in social care impact on their ability to recruit and retain sufficiently well trained staff.

Council response

It is nationally recognised that there are particular problems with encouraging people to consider a career in providing care. In response to these difficulties there has been a national awareness campaign launched by the Government to promote a career in care work. Joined up Careers Derbyshire (previously known as The Derby City/ Derbyshire Talent Academy Programme) worked closely with Communication Leads and DWP/Job Centre Plus to ensure maximum impact locally. The Skills for Care "State of the Adult Social Care Sector and Workforce in England" (September 2019) noted that the national staff turnover rate is 30% and East Midlands region have a workforce vacancy rate of 8.8%, and this coupled with increased demand for services makes it difficult to respond to requests to provide services.

This is no different in Derbyshire with providers regularly alerting us to their problems with recruiting and retaining staff. The workforce has a high level of turnover locally and although some of this movement may be between jobs in the sector, providers frequently lose staff in whom they have made a

considerable investment in terms of training and development. This volatility in the workforce creates instability in the market with Providers having to hand back work to the Council when they lose staff.

The recruitment and retention of staff is particularly problematic in the more rural parts of the county. The impact of the difficulties in recruiting staff is that Adult Care is unable to arrange packages of care which can impact for instance on delaying hospital discharge.

In response to the workforce challenge Adult Care and the local NHS have established Joined Up Care Derbyshire (JuCD). JuCD is co-ordinating a range of activities designed to meet the three Programme themes:

- Attraction and Recruitment
- Traineeships and Apprenticeships
- Retention and Progression

Both Derbyshire County Council and Derby City Council have recruited project staff to specifically work with social care providers with a focus on attraction and recruitment.

Increase in Care Quality Commission registration fee, business rates and other cost increases.

Providers have also expressed concerns about other inflationary pressures including concerns about a proposed increase in their yearly Care Quality Commission (“CQC”) registration fee alongside general inflationary pressures.

Council Response

In order to assist providers with meeting these overhead costs it is proposed to increase head office costs as shown in Appendix 1 by 1.5% in line with inflation.

2.2 Council Proposals

The Council is constantly reviewing how the Home Care Market can be supported to be more efficient and effective to promote the availability of high quality safe provision. The following details proposals and current service developments to enhance the market. Areas for development include:

Introduction of a new recording system.

The Council is currently introducing a new recording and scheduling system. It is the Council’s intention to use the recorded information to pay for each call

made. This will result in cashable savings following the removal of paper invoicing system. This new initiative would only start once it is tested with Provider representatives to ensure that provider cash flow is not disproportionately impacted.

Provider Response

Providers have expressed support for this new system although there have been some initial problems with transitioning to this new system.

Direct Care

The Council's Direct Care Service continue to shift priority from provision of long term to short term care. The Direct Care service will focus more on provision of short term care with an emphasis on assisting people who may have been unwell to regain skills. Direct Care will no longer take on new long term care packages unless there is no alternative provider available. Private Providers will have to increase their own workforce capacity to facilitate this shift to ensure this change in priority is a success.

Providers Response

Providers are encouraged by the opportunity to expand their service offer but have asked for it to be noted that they are restricted by difficulties with recruiting and retaining staff which limits their opportunities to grow their service.

Refresh the Provider List following a Procurement Exercise

The Council intends to undertake a procurement exercise to renew the provider list. The intention is to undertake this exercise to minimise any impact on the current market and our clients. This will be only undertaken once the new recording system has been fully implemented. It is likely that the Council will continue to operate a long list of providers who will bid for work as now, supplemented by some targeted block contracts in areas of the county where there are the greatest concerns about market supply.

Provider Response

Providers have expressed satisfaction with the Council's intention to undertake a Procurement exercise that is likely not to restrict provider numbers. They are especially supportive of the proposal to introduce targeted block contracts.

Hospital Discharge Incentive

The Council intends to continue to offer an enhanced rate of double time for a short period to home care providers to promote timely and safe hospital discharge when the in house Direct Care short term service is at full capacity.

This enhancement is predominantly only available over Christmas, New Year and Easter when Acute Hospitals are under pressure to manage hospital bed numbers. It is also possible to offer these enhancements to assist hospital discharge when and if a hospital faces unprecedented pressure on bed availability.

Provider Response

Providers acknowledge that this additional funding assists them to encourage their workers to take on additional work at short notice outside of their normal timetabled work.

2.3 Proposals

The home care fee rate proposals for 2020-21 have taken account of the feedback received from Home Care providers about inflationary pressures as detailed earlier in this report. Appendix 1 details how these inflationary pressures impact on the standard cost headings used in Derbyshire Home Care fee model to give a proposed inflationary uplift of 4.80% for 2020/21.

The proposed inflationary value of 4.80% on the hourly rate for the provision of Independent Sector Home Care is also used as a standard inflationary value for the other service types as shown in the table below.

Service Type	Rate 2019 /20	Rate 2020/21
Independent Sector Home Care Hours	£15.00 per hour	£15.72 per hour
Independent Sector Sleep In (10pm-7am)	£78.03 per night	£81.81 per night
Independent Sector Living In Carer	£1,329.02 per week	£1,392.79 per week
In-House Home Care Hours	£22.32 per hour	£23.40 per hour
In-House Extracare (Day)	£14.64 per hour	£15.36 per hour
In-House Extracare (Night)	£18.12 per hour	£18.96 per hour

3. Impact of the Proposals on Independent Sector Specialist Fees

The proposals made in this report, and summarised in Appendix 1, focus on the basic fee rates for the provision of home care. The Council also funds specialist home care services for people who live in supported living care settings.

Supported living is an alternative to residential care, providing home care support and accommodation to people who are assessed as eligible for adult care services. In a supported living service, the housing provider and support provider are separate, and the client is a tenant with their accommodation

costs being met by Housing Benefits. Accommodation is homely not institutional with clients contributing directly to daily tasks around their own home.

Specialist home care providers receive higher hourly fee rates than those recorded above which reflect the greater investment in staff and training to meet an individual's needs. It is proposed that an increase in payments of up to 4.5% can be agreed with providers that provide specialist home care provision in supported living care settings where they can evidence that their costs have increased.

4. Financial Considerations

The proposed increase of 4.80% on home care fees and 3.09% on travel rates from 1 April 2020 would cost £2.080m per annum.

The proposed increase of up to 4.80% from 1 April 2020 on specialist homecare fees for Supported Living Schemes will cost £1.526m per annum.

The total costs of £3.607m per annum can be met from the budget growth allocated for Adult Care fee increases as approved by Council on 5 February 2020.

5. Legal Considerations

The Care Act 2014 places a duty on the Council to promote an efficient and effective market, with a view to ensuring that any person in its area wishing to access services in the market:

- a) has a variety of providers to choose from who (taken together) provide a variety of services;
- b) has a variety of high quality services to choose from; and
- c) has sufficient information to make an informed decision about how to meet the needs in question.

In performing that duty, the Council must have regard to the importance of ensuring the sustainability of the market. Sufficient inquiries should be undertaken, to ensure the Council is properly informed of the local market conditions.

The Care and Support Statutory Guidance further details the duties on local authorities to facilitate markets that offer a diverse range of high-quality and appropriate services. The Council must assure itself that the fee levels do not compromise the provider's ability to (1) support and promote the wellbeing of people receiving care and support; (2) meet the statutory obligations to pay at

least the national minimum wage; and (3) provide effective training and development of staff.

The Council is satisfied that the methodology used in calculating the proposed fee increase properly reflects the increased cost pressures highlighted by the providers

6. Other Considerations

In preparing this report the relevance of the following factors has been considered: environmental, prevention of crime and disorder, equality and diversity, human resources, health, property and transport considerations.

7. Key Decision

Yes

8. Is it necessary to waive the call-in period?

No

9. OFFICER'S RECOMMENDATION

That Cabinet agrees:

- to introduce a new flat rate homecare fee for independent sector home care from 1 April 2020 of £15.72 per hour (equivalent to an increase of 4.80%);
- to increase all travel/visit rates by an average of 3.09% from 1 April 2020
- to make an inflationary increase of up to 4.80% for specialist home care placements where evidence is provided of inflationary pressures;
- to increase the fee rate for in-house home care and extra care provision from 1 April 2020 by 4.80%.

Helen Jones
Executive Director – Adult Social Care and Health
County Hall
MATLOCK

Appendix 1

Proposed Home Care Fee Rate 1 April 2020

	Actual 2019/20	Proposed 2020/21	Change	
Wages	9.51	10.02	0.51	5.36%
Employers NI 13.8% (Based on 30 hr contract)	0.47	0.51	0.04	8.51%
Pension 3%	0.28	0.30	0.02	5.36%
Hourly Cost	10.26	10.83	0.57	
Holiday Pay 4 weeks	0.80	0.83	0.03	4.00%
Sickness pay assume 2 weeks per year	0.39	0.41	0.02	4.00%
5 training days per year	0.20	0.21	0.01	4.00%
Bank holidays 8 days per year	0.31	0.32	0.01	4.00%
Net Hourly Rate	11.96	12.60	0.64	
Head office and profit	3.07	3.12	0.05	1.50%
Total Hourly Rate	15.03	15.72	0.69	4.59%
<u>Rounded Rate</u>	15.00	15.72	0.72	4.80%

Assumptions Used in Calculating Fee Rates for 2020-21

The following considerations are made to ensure Home Care Providers are able to recruit and retain staff.

- Contribution towards hourly wage has been increased by 51p to reflect the increase to National Living Wage threshold of 6.2% from 1st April 2020
- Employers pay of 13.8% National Insurance at pay above £183 per week.
- Holiday Pay is calculated at 4 weeks plus an additional 8 days bank holiday entitlement. This is equivalent to 5.6 weeks statutory minimum annual leave entitlement.
- 3% Pension Contribution
- Training day funding allocation at 5 days
- Head office costs - increased by 1.5%

Hourly Rate

It is practicable to ensure the hourly rate is divisible by 12 to allow for payments to be made in 5 minute blocks. The Council is currently implementing a new recording and scheduling system which will likely facilitate a change in how fees are set from April 2021.

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Agenda Item No.6 (p)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Executive Director for Adult Social Care and Health

CARE HOME AND DAY CARE FEES 2020-21

ADULT CARE

1. Purpose of the Report

To seek Cabinet approval to:

- increase the rate paid to independent sector residential care homes for the financial year 2020-21 by 4.75% per week;
- increase the rate paid to independent sector nursing homes for the financial year 2020-21 by 4.83% per week
- make an inflationary payment of up to 4.75% for specialist care home placements where evidence is provided of inflationary pressures;
- set a rate of £41.72 per session (from £39.82 per session) for a day care placement in a care home;
- increase the rates for in-house day care and residential care by 4.75%;
- increase the dementia fee rate to £46.62 per week (from £44.52)
- make an inflationary payment of up to 4.75% for well-performing block contracts in specific circumstances.

2. Information and Analysis

2.1 Background

The Council has contract arrangements in place with over 174 independent sector care homes for older people that provide support to approximately 2,469 people as detailed below:

- 909 people in nursing placements where the person needs constant involvement of, or supervision of, a qualified nurse;
- 1,784 residential placements.

A further 419 people are supported in Council run Care Homes

2.2 Fee Levels

A comprehensive review of fee levels for independent sector care services is undertaken annually. To assist with this review representatives of the Derbyshire Care Providers Association (“the Association”) were invited to meet with Councillor Jean Wharmby, Cabinet Member for Adult Care and Julie Vollar, Service Director for Adult Social Care and Health on the 21st January 2020 to set out particular business pressures affecting the care market and their costs.

The Association continue to express its view that the detailed fee analysis and consultation previously undertaken by the Council was flawed and the fee rates do not cover their actual costs. The Association have requested that the Council undertake a new study to better understand their costs.

The views shared at this meeting have assisted the Council in detailing 2020-21 fee proposals described in this paper. See Appendix 1 for a copy of the paper presented by the Care Association at this meeting. The Council has also received additional requests from other Care Home providers not represented by the Association for a fee increase to reflect inflationary pressures.

3. Financial Considerations

Care Home providers highlighted a number of additional cost pressures for 2020-21 at the meeting held on the 21 January 2020 and in the paper attached in Appendix 1 these concerns include;

Wage and pension pressures

Providers have identified that the National Living Wage is due to increase by 6.2% for staff aged 25 and over from 1 April 2020 (from £8.21 per hour to £8.72 per hour a 51p increase).

Council response:

For the increase of the National Living Wage, the Council has decided to use the 6.2% minimum wage increase for all staff costs including staff aged under 25 to assist with maintaining wage differentials.

Nursing provision

The Association has requested that the Council respond in the fee setting exercise to concerns in respect of sustainability of Care Homes with Nursing and the Council’s own Older People Accommodation and Housing Strategy

which references the need for more Nursing provision over the next 15 years. The Association has highlighted that they experience extreme difficulties with recruitment and retention of nursing staff. This directly impacts on the continuity of provision and requires Providers to cover staff vacancies with privately sourced relief staff at an unsustainable cost. They advise that people have more complex needs in nursing care and therefore require higher staffing ratios than provided for in residential care and that occupancy is potentially shorter in time spent in the home.

Council response:

The sustainability of the Nursing Care Home market is of great importance to the Council as it assists with ensuring that there are suitable places for people to live following a period of admission in hospital.

The fee contribution made by the Council towards placements in a Care Home with Nursing is currently £39.90 per week. This is paid on top of the standard fee paid by the Council to Care Homes to reflect the complexity of the service. It is paid alongside the NHS Funded Nursing Care Payment of £165.56 (2019-20 rate) per person per week.

The Council as part of its responsibility to promote a sustainable market proposes to increase the Nursing Care fee contribution (the difference between the residential and nursing rate) by 6.00% to £42.28 from £39.90 per week.

Additional Cost Pressures

Providers have highlighted that in their view the Council has undervalued a number of the costs in the fee model and have asked that the costs for food, waste, insurance and provision of agency staffing are also reconsidered.

3.1 Fee Rate Methodology

The method for identifying the proposed fee rates builds on the work previously undertaken to identify a basic care home fee rate as detailed in the paper presented to Cabinet on the 9 September 2014. As part of this work the Council asked care home providers to complete a questionnaire to evidence their costs. The Council then used standard cost headings to analyse the returns before identifying values against each cost head - see Appendix 2.

To develop fee rate proposals for 2020-21, the amount paid under each cost heading has been increased based on a set of assumptions about inflationary pressures – see Appendix 2. These proposals have taken account of the feedback received from Care Home providers. Based on this analysis, it is

proposed to increase fee rates for basic care home provision by £27.93 per week which is equivalent to a 4.75% increase on the fee rate for 2019-20.

This methodology has been consistently challenged by the Association and a request has been made in correspondence for the Council to commission an independent review of the actual costs of care. The Council is satisfied that its analysis and methodology is correct and so such a review is not necessary.

As part of their challenge the Association has also argued that the Fee Model used by the Council which assumes that there is a 90% bed utilisation rate across the market is inaccurate. Representatives of the Association have stated that homes are now operating at an occupancy level of 80%.

Council Response:

The Council has reviewed the information available on bed vacancies that are shared by the Care Homes with the Adult Care Brokerage Team. Currently it is reported that as of 14 January 2020 there were 478 vacant beds out of a total of 7600 regulated care beds as reported by the Care Quality Commission. This equates to bed utilisation of 90%. The Council will continue to monitor the referral rates into Care Homes as part of our duty to manage the market and will take this in to account alongside other factors when considering future fees.

Direct Care Provision

The Association has also expressed concern about the Council's own Care Home provision and the fees paid for the beds in the Community Care Centres. They have argued that the rates paid for Direct Care provision is greater than the Council is prepared to pay for equivalent provision in the independent sector.

Council Response:

In each of the Community Care Centres and in some of the other residential Care Homes the Council operates provision where there is substantially higher levels of staffing available to match the assessed need of the client. In some cases staff are responsible for working with clients as part of a specialist reablement programme. The Council is satisfied that these fee levels match the needs of people using the services.

3.2 Impact of the Proposals on Care Home Fees for other Client Groups and Specialist Placements

The proposals made in this report, and summarised in Appendix 2, focus on the basic fee rates for older people. It is proposed to also increase the base fee rates for Residential Care Home by 4.75% and Nursing Homes by 4.83% for other client group placements. This includes care home provision for people with a physical disability, people with learning disabilities and people with mental ill health- see Appendix 3.

The changes proposed to the basic fee rates for other client groups will not change the level of funding already paid against specialist care home placements where fee rates have been individually negotiated to ensure that the needs of people who require complex support/care arrangements are met. The fees for specialist placements are often substantially more than the standard care home fees.

The additional funding (top-up) paid for a specialist placement reflects the greater investment in staff and training to meet an individual's needs. It is proposed that up to 4.75% can be agreed with providers in receipt of specialist placements where they can evidence their increase in costs.

3.3 Dementia Fee Rate

An additional payment of £44.52 per week is currently paid towards supporting people with a diagnosis of dementia would be payable to homes that meet set criteria of dementia-friendly provision. It is proposed this payment is increased by 4.75% to give a new rate of £46.62 from April 2020.

The Dementia fee was introduced to encourage homes to demonstrate that they have the skills, experience, environment and organisational culture in place to provide high quality dementia care. The Council introduced this criterion as many providers describe their service as being able to meet the needs of people with dementia but are unable to evidence that staff have adequate training, that the culture of the service is dementia friendly or that the environment has been adapted to be suitable for someone with a diagnosis of dementia.

The process used to determine which homes can provide dementia specific provision had been developed with care home representatives. Following feedback from these same providers the paperwork application has been rationalised and remains subject to review to ensure effectiveness. A number of providers have successfully applied for this status and others are currently being assessed for their suitability. The importance of this award will continue to be promoted with care home providers to increase the take up.

3.4 Day Care Placements in Care Homes for Older People

Some people who are supported to live in their own homes are able to use day care places in care homes for older people. The care home is often situated close to where an individual lives and they frequently help with transport to and from the home and provide meals. In some cases homes will also provide a bathing service and are very flexible with places being made available at weekends and evenings, which can help Carers to get a break. The standard fee rate paid by the Council for day care placements in independent sector care homes is currently £39.82 per day. It is proposed for 2020-21 that this fee level to be paid to providers is increased by 4.75% to provide a new daily fee of £41.72 per day.

4. Block Contracts

Adult Care has a small number of block contracts with independent sector profit and not for profit organisations. A number of these agreements were established before the introduction of the National Living Wage. A small number of providers have requested an inflationary increase to assist them with meeting this additional unforeseen cost. It is proposed that payments of up to 4.75% can be agreed with providers who operate block contracts on behalf of the Council where they can provide detailed evidence of their increase in costs relating especially to the increase in minimum wage rates as well as showing that they are meeting their agreed targets for activity and performance.

5. Financial Considerations

The estimated cost of this proposal to increase fee rates from 1 April 2020 is £6.182m per annum and can be met from the budget growth allocated for Adult Care fee increases.

6. Legal Considerations

According to case law and guidance from the Department of Health, "Building Capacity and Partnership in Care" (2001) the Council should take steps to ensure that fee setting reflects the actual costs of care. The rates should also take into account the legitimate current and future costs, and the potential for improved performance and most cost effective ways of working.

In accordance with the Care Act 2014, the Council is under a duty to promote diversity and quality in the market of care and support provision. The Association has put forward an argument that the Council, in failing to increase the fee rates more, is in breach of this statutory duty. The Council is satisfied that the methodology used in calculating the proposed fee increase is equitable and properly reflects the increased cost pressures highlighted by the providers.

7. Equality and diversity Considerations

Providers are required to adhere to Derbyshire County Council's Equal Opportunities policies. The Council also encourages Providers to gain the Derbyshire Respect and Dignity award.

8. Other Considerations

In preparing this report the relevance of the following factors has been considered: human resources, health, environmental, transport, and crime and disorder considerations.

9. Key Decision

Yes

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

No

11. Officer's Recommendation

That Cabinet agrees to:

- increase the rate paid to independent sector residential care homes for the financial year 2020-21 by 4.75% per week;
- increase the rate paid to independent sector nursing homes for the financial year 2020-21 by 4.83% per week
- make an inflationary payment of up to 4.75% for specialist care home placements where evidence is provided of inflationary pressures;
- an updated fee rate of £41.72 per session (from £39.82 per session) for a day care placement in a care home;
- increase the rates for in-house day care and residential care by 4.75%;
- an updated dementia fee rate of £46.62 per week (from £44.52)
- make an inflationary payment of up to 4.75% for well-performing block contracts in specific circumstances.

Helen Jones
Executive Director – Adult Social Care and Health
County Hall
Matlock

APPENDIX 1

The following is a copy of a letter submitted to the Council by the Derbyshire Care Providers Association. Some of the layout has been lost in the transfer to this document, however all of the content remains the same.

Derbyshire Care Providers Association Ltd. Springwood Gardens, Belper, Derbyshire, DE56
1RT Phone: 0800 020 9554 | Email: secretary@derbyshirecare.org.uk | Website:
www.derbyshirecare.org.uk



Derbyshire Care Providers Association (formerly known as Derbyshire Care Homes Association)

Colin Selby
Derbyshire County Council
County Hall Matlock DE4 3AG
Date: 11/02/2020

Dear Colin,

Re: Care Home Fees 2020/21

I'm writing to you on behalf of the DCPA in relation to the independent sector care home fee levels.

Concerns about the sustainability of the sector

Over the last few years there have been no investment into local authority funded areas by the independent sector solely because of the lack of funding by the Derbyshire County Council. On the contrary, some homes have either de-registered nursing services or closed down.

In its commissioning strategy 2019-2035, the Council highlights that (page 4):

- "the resilience and sustainability of the care home sector in Derbyshire is a concern"

At the same time statistics show that (page 4):

- "recruitment is an ongoing challenge"
- "an increase of 53% in people with dementia by 2030"
- "aged 90 and over will more than double by 2035"

The Council is also concerned about “affordable provision of nursing and residential care in some parts of the county”.

These issues are however not addressed in the commissioning strategy. There will clearly be a great need for independent sector care homes with more provision for complex needs as people stay in their own homes for longer.

To create a sustainable care home sector there must be sustainable fee levels, something the Council has a duty to have regard to under the Care Act.

Duty of the Local Authority under the Care Act

In performing its duty to promote the efficient and effective operation of the market, the Council is required to have regard to “the importance of ensuring the sustainability of the market”. The Department of Health’s guidance on this point highlights the impact that a local authority (as a significant purchaser of care) has on the sustainability of the market. Specifically, the guidance states:

“Local authorities **must not** undertake any actions which may threaten the sustainability of the market as a whole, that is, the pool of providers able to deliver services of an appropriate quality – for example, by setting fee levels below an amount which is not sustainable for providers in the long-term.” (paragraph 4.35 of DoH ‘Care and Support Statutory Guidance’)

The Guidance also states that:

“Local authorities should understand the business environment of the providers offering services in their area and seek to work with providers facing challenges and understand their risks.”

In areas such as Nottinghamshire where the Council fee to the independent sector is significantly higher there have been an influx of investment in new care homes in Council funded areas, which has stabilised the market and made it more future proof.

Current Fees for the independent sector:

There is overwhelming evidence that prove that the fees to the independent sector for Council funded clients is far below actual costs.

Laing & Buisson studies show that the actual costs are over £700 per week for residential care, showing underfunding by nearly £200 per week by the Council.

Equally the funding to the Council’s own care homes (£1500 per week) shows an enormous additional cost to the tax payer for a service that often provides for less complex needs (independent residential care homes have admitted clients from Council run residential care homes for years as they have too complex or too high needs for the Council).

DCC Fee Model pays below the National Living Wage

The DCC provided a fee model for the independent sector based on figures which are now 9 years out of date. Flaws of the model have been shown to Council every year with evidence showing that the fee is well below actual costs.

A new study is required to understand the costs, as per the responsibility of the Council under the Care Act.

The most obvious and concerning issue is that the Council's fee model, even in its flawed state, is asking the independent sector to pay all staff (apart from the manager) below the National Living Wage at £6.92 per hour.

This is clearly a failure to comply with the Care Act by the Council.

Staff Costs in DCC model (excl management) £277.59
Divided by rota hours per resident per week (national average) 32.1
= Wages per Hour (excluding on costs, holiday pay etc) £6.92

Recruitment and retention

In the Commissioning Strategy the Council has recognised that “recruitment of quality staff is an ongoing challenge and there is a high level of vacancies”. This is also evidenced in the Council's own costs which shows that they Council is spending nearly £34 per resident per week on Agency staff alone. Yet the Council does not account for Agency Costs in the fee model to the independent sector.

In effect, the Council is expecting that the independent sector:

1. receives only 1/3 of the fee that the Council pays for its new care homes;
2. pays below the National Living Wage, and;
3. have no problem with recruitment so they don't need to spend nothing on Agency Fees.

It's very concerning that the Council has recognised the issue but is still not addressing it (“resilience and sustainability of the care home sector in Derbyshire is a concern” (p4 Commissioning Strategy)).

The sector continues to face substantial cost increases, such as the 6.2% National Living Wage increase. To help address some of the recruitment and retention issues, the sector needs a fee that gives them the opportunity to pay more than the National Living Wage and to offer incentives for higher qualifications.

Nursing Fees

The sustainability of nursing services continue to be a significant issue.

The DCC is predicting an increase in the need of these services, yet the trend shows a decline in the supply in Council funded areas.

In summary the cost issues related to nursing care are (as previously highlighted):

- Manager (nurse qualified – higher salary)
- Lower occupancy due to shorter length of stay, which means higher risk and lower revenue
- Higher risk – clinically (health and safety)
- Recruitment fees – mainly recruit via recruitment agents at £4000 per candidate
- Additional care staff, well above residential care
- Additional equipment (special beds, mattresses, chairs, medical products etc)

Considering that the Council is expecting to require additional nursing beds, how is the Council going to encourage investment? The current level of funding does not allow for any new investment into council funded areas and even encouraging de-registration and closures in the independent sector.

Additional cost pressures

- Recruitment costs – only £1400 allowed for 40 bed home. Recruitment agent charge £4000 for one nurse alone.
- Agency staff to cover for recruitment difficulties in Derbyshire – half the DCC cost required.
- Food - why does the DCC ask the independent sector to pay less for food than its own homes? It's not realistic and should be adjusted.
- Trade Waste and Clinical Waste (DCC Model £1.75, actual is over £3 – invoices can be provided)
- Insurance- the DCC Model allows for £2.54 yet insurance brokers are offering deals over £4 for a no claims home (Nottingham study showed £4). Invoices can be provided.

DCC in-house care homes – to get some perspective!

- The cost of operating the in-house Community Care Centres for residential clients is above £1,500 per resident (adjusted council's cost per bed to cost per resident plus overheads and cap ex costs).
- Yet the charge to self funding clients is £986 per week. That means the public is subsidising 'self funding' clients by over £500 per week. We understand that the council is obliged to charge out the full cost under the law and wish to understand what is being done about this?
- Considering the difficulty the Council has to provide a safe and quality service, coupled with a substantial extra cost to the tax payer, how can it justify building new homes?

- The excessive cost of the in house provision could instead be used to fund:
 - Independent sector fees to incentivise new nursing provision as that is what the Council has said is required
 - A stable independent sector as per the requirement of the Care Act
 - Additional quality / contracts monitoring team
 - Provide significant savings to the tax payers.

Did you know that the Council is spending double the capital on their new care homes compared to the independent sector (£200,000 per bed compared to £100,000 per bed) with no more space or facilities for residents?

To sum up:

1. What is the Council proposing to do in order to comply with the Care Act? In other words, what does it propose to do with fee levels for 2020/21, and in the future, to address the concern about sustainability of the independent care home which it has recognised in the commissioning strategy paper? We kindly request a detailed response to deal with all of the above cost issues.
2. How will the Council address the issue that the tax payer is still subsidising private fee payers in the Council's own homes? We understand that full cost recovery (including overheads etc) is required by law, but also by tax payers.

We look forward to hearing from you.

Yours sincerely,

P.Falleth

On behalf of the Derbyshire Care Providers Association Committee

Summary of Costs

APPENDIX 2

PERSONAL CARE ONLY FOR FRAIL OLDER PEOPLE	Fee (£) 19/20	2020/21 Inflation	Fee (£) 20/21
A) STAFF, INCLUDING EMPLOYERS' ON-COSTS			
TOTAL CARE ASSISTANTS (inc senior) STAFF	222.57	6.2%	236.37
Catering, cleaning and laundry staff cost per resident	50.17	6.2%	53.28
Other Staff Costs (excluding management and admin)	4.82	6.2%	5.12
Management, administration, reception staff cost per resident	69.33	6.2%	73.63
Pension Cost (3% of above)	10.41	6.2%	11.06
TOTAL STAFF	357.30		379.46
B) REPAIRS AND MAINTENANCE			
Maintenance capital expenditure	17.50	1.7%	17.80
Repairs and maintenance (revenue costs)	9.93	1.2%	10.05
Contract maintenance of equipment	1.96	1.2%	1.98
TOTAL REPAIRS AND MAINTENANCE	29.39		29.83

C) OTHER NON-STAFF
CURRENT COSTS AT HOME

Food	24.00	1.8%	24.43
Utilities (gas, oil, electricity, water, telephone)	22.43	3.1%	23.13
Handyman and gardening (on contract)	9.17	1.5%	9.31
Insurance	2.54	4.4%	2.65
Total medical supplies and continence products	2.60	1.5%	2.64
Trade and clinical waste	1.75	1.5%	1.78
Registration fees (including DBS checks)	3.49	1.5%	3.54
Recruitment	0.75	1.5%	0.76
Direct training expenses (fees, facilities, travel and materials) net of grants and subsidies	10.31	3.0%	10.62
Other non-staff current expenses	21.35	1.5%	21.67
Equipment Costs	3.74	1.5 %	3.80
TOTAL NON-STAFF CURRENT EXPENSES	102.13		104.33
TOTAL EXCLUDING CAPITAL	488.82		513.62
Return on capital	49.30	1.5%	50.04
Summary Weekly Fee	538.12		563.66
Divisible by 7	538.09		563.64

Percentage Increase **4.75%**

NURSING HOME	2019-20		2020-21
Residential rate	538.09		563.64
Nursing Top-Up	39.90	6.0%	42.28
Nursing Rate	577.79		605.92
Percentage Increase 4.83%			

Inflation Assumptions used by Derbyshire County Council to Identify Fee Rates for 2020-21

In considering the budget lines in the fee cost model in Appendix 1 the Council took account of the Office of National Statistics' Consumer Price Inflation (CPI) report for November 2019 as a proxy for understanding the costs in care industry.

Some of the budget lines used in appendix 1 do not have a direct corresponding goods or services division in the CPI report in such cases individual judgements have been made about how inflation may contribute to the costs of running a care home. The CPI report noted that standard inflation across all activity was 1.5% which is used as default in this fee modelling tool.

Staffing

From April 2020 Providers will be required to pay all staff over 25 at least the national living wage of £8.72 which is equivalent to a 6.2% increase on the national living wage rate of £8.21 set in April 2019.

The Council has decided to use the 6.2% minimum wage increase for all staff costs including staff aged under 25.

Auto-enrolment pension scheme has been subject to a national introduction over the past few years, where providers have to offer to sign all staff into a pension scheme. From 1 April 2020 it has been nationally accepted that the costs to a provider should be in the region of an additional 3% on their staffing bill.

Repairs and Maintenance

There are no direct comparisons with CPI available for these areas of cost. The closest comparable areas show inflationary costs of 1.7% for services and maintenance and 1.2% maintenance and repairs. These two inflationary levels have been used in the Council's calculation.

Other Non-Staff Costs

Food is shown across most food types as 1.8% inflation.

For utilities the Council has used the average overall value of 3.1% increase.

There is no direct comparison for Insurance Costs in the CPI tables; the closest comparable cost is an increase of 4.4%.

Registration Fees:

The CQC are continuing with a fee policy that moves them to a full chargeable cost recovery position, so that providers ultimately bear all the chargeable costs, reducing CQC reliance on Grant Aid from Central Government. CQC have not yet shared their increase Care Home registration fees for 20120-2119 so it is proposed to use standard inflation rate of 1.5%.

The Council has decided to use a general increase of between 1.5% for other cost items

APPENDIX 3

Standard Fee Rates – From 1 April 2020

NURSING PLACEMENT	Weekly Standard Rate	Quality Premium per week - £22.75
	£	£
Older People Mental Health/Drug & Alcohol	605.92	628.67
Physical Disability (>65)	639.73	662.48
Learning Disability	576.94	599.69
These Nursing fees do not include funded nursing care contribution which at the time of writing is £155.05p/w		
RESIDENTIAL PLACEMENT	Weekly Standard Rate	Quality Premium per week £22.75
	£	£
Older People/Mental Health/Drug & Alcohol	563.64	586.39
Physical Disability (>65)	643.51	666.26
Learning Disability	581.14	603.89
DEMENTIA CARE PAYMENT	£	
Residential & Nursing	46.62	n/a
DAY CARE	£	
Residential & Nursing	41.72 per day	n/a
IN HOUSE PROVISION	£	
Homes for Older People	587.44	n/a
Community Support Beds	1,082.83	n/a
Community Care Centres	1,082.83	n/a
LD Residential	1,272.32	n/a
Day Care		
Older People	40.80 per day	n/a
Learning Disability	53.56 per day	n/a

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Agenda Item No.6 (q)

DERBYSHIRE COUNTY COUNCIL

CABINET

16 March 2020

Report of the Executive Director for Adult Social Care and Health

DERBYSHIRE SECOND HOMES PROGRAMME

ADULT SOCIAL CARE

1. Purpose of the Report

To seek Cabinet approval for the programme covering the use of the £0.566m Second Homes budget for Amber Valley, Derbyshire Dales, High Peak and South Derbyshire District Councils for 2019–20 and 2020-21.

2. Information and Analysis

The rules on levying Council Tax on people's second homes were changed in 2004. The County Council agreed with the four District Councils most affected: Derbyshire Dales, High Peak, Amber Valley and South Derbyshire that 75% of the additional income raised for the County and District/Borough Councils would be used to enhance housing and support for people with the highest need. Cabinet 8 June 2017 (Minute 177/17) agreed a two year investment programme for 2017-19. The review of the Second Homes programme for 2017-18 and 2018-19 showed the value of delivering services for people with the highest need, reducing demand, and meeting the Borough's, District's and County Council's Housing, Health and Adult Care strategic policy objectives.

3. Second Homes Investment Programme for 2019-20 and 2020-21

Many of the District and Borough Councils' housing customers also receive services from the County Council and vice versa. By supporting people through the services outlined in the Second Homes programme (Appendix 1), Councils are able to reduce demand on their own services by providing enhanced housing and support services to people who are the most vulnerable.

The Second Homes programme and its schemes, as set out in Appendix 1, will assist the County Council to deliver on its strategic plans and priorities as

set out in the Council Plan, Adult Care and Public Health plans, the Health and Well-being and Prevention strategies.

4. Financial Considerations

The projects for 2019-20 and 2020-21 are detailed in Appendix 1. The total costs are £0.566m per annum which will be met from the Second Homes budget.

Amber Valley	£0.080m
Derbyshire Dales	£0.309m
High Peak	£0.115m
South Derbyshire	<u>£0.062m</u>
Total	<u>£0.566m</u>

4. Legal Considerations

The Homelessness Act 2002 requires all housing authorities to have a homelessness strategy that seeks to prevent homelessness and to ensure that sufficient suitable accommodation is available. The County Council must assist with the development of these strategies.

The Care Act 2014 places a duty on the County Council to provide a range of preventative services that it considers will prevent, delay or reduce the care and support needs of adults in its area. The availability of suitable housing, and housing support, via the Borough and District Councils, can assist the County Council in meeting this duty.

5. Other Considerations

In preparing this report the relevance of the following factors has been considered: prevention of crime and disorder, equality of opportunity; and environmental, health, human resources, property and transport considerations.

6. Key Decision

Yes

7. Background papers

Cabinet report of 8 June 2017, Derbyshire Second Homes: Council Tax.

8. OFFICER RECOMMENDATION

That Cabinet approves the programme covering the use of the £0.566m per year Second Homes for Amber Valley, Derbyshire Dales, High Peak and South Derbyshire District Councils for 2019-20 and 2020-21.

**Helen Jones,
Executive Director – Adult Social Care and Health**

Appendix 1

SECOND HOMES PROPOSED INVESTMENT PROGRAMME
2019-21**AMBER VALLEY BOROUGH COUNCIL - £80,000 p.a**

Amber Valley proposes to split the second homes allocation of £80,000 between the provision of extra hours for the Home Improvement Agency Project Worker (£21,000) and the redevelopment of a domestic property in Ripley (£59,000).

The redevelopment will include both provision of temporary accommodation (which could include Adult Care clients) with the provision of a separate purpose built unit designed to provide short term accommodation for households with a disability. This could serve a number of purposes that might be seen as an alternative to residential care including temporary accommodation during redevelopment, provide accommodation after life-changing operations until the home can be adapted or a suitable can be found. The second homes contribution will support the costs of the new extension. The terms of the use of the unit will be subject to negotiations.

The scheme has been approved by the Council's senior management team.

DERBYSHIRE DALES DISTRICT COUNCIL - £309,000 p.a.**Life Time Home Bungalows Scheme**

To increase the number of new bungalows – in line with the Older People's Housing, Accommodation and Support Strategy 2019-2035

Housing Options Service for Older People

The project helps older people to either remain at homes or secure more appropriate accommodation; together with a multitude of other benefits relating to healthcare, hospital discharge, tenancy issues and mental health.

Rural Housing Enabler

This post supports the development of new affordable homes across the district, including the bungalow programme above. This provision supports the construction sector, local jobs and adds to the overall affordable housing stock of the district.

Escape Project

Escape Project provided by Derbyshire Dales CVS. The project supports vulnerable adults, predominately from the Matlock area and helps to provide access to social, sports and educational opportunities. The project complements the work of the Hurst Farm Estate Regeneration Project. The aim is to employ a Community Development worker and support the community with running community assets such as the community centre and social club, helping with the development of bids for projects and generally supporting residents to improve their estate.

Housing Related Support Services Programme

This project will contribute towards funding a number of schemes including: Housing Related Support Services for people with learning disabilities, mental health problems and support services for older people.

Supporting vulnerable adults

Provided by Adullam Housing Association. This project supports vulnerable adults and provides intensive 1:1 support to those who are homeless or facing homelessness to access and maintain accommodation and to support other specialist services. The service helps clients access food banks, the Derbyshire Discretionary Fund, Debt Relief Orders, PIP, ESA, Housing Benefit, Tax Credits, Council Tax Support, support from utilities, budgeting, engaging with housing providers, drug and alcohol issues and rent in advance payments from the district council.

HIGH PEAK BOROUGH COUNCIL - £115,000 p.a.

Abor Project

A supported accommodation project for high risk offenders. Jointly funded by local authorities, Derbyshire Community Safety Partnership and Derbyshire Police and Crime Commissioner, the project supports individuals to develop skills to live independently, establish and manage their tenancy, engage with appropriate health and prevention services, with a high proportion of clients having mental health needs.

Support for families in crisis

Continuation of a project which enables women to access accommodation with intensive and flexible support, including drug and alcohol treatment. The aim of the project is to help women and families in crisis, who are homeless, and need support due to a range of issues ranging from chaotic lifestyles,

substance misuse, alcohol dependency, mental health or are at risk of domestic abuse.

Support given to each women/family varies depending on individual circumstances; this may include the development of support plans, work with family support workers, parenting guidance, participation on group sessions, work skills projects and assistance to find alternative independent accommodation when ready.

Domestic Abuse Project

This project enables the provision of supported accommodation specifically for young women aged 16-24 years and their children who are escaping domestic abuse. In recognition of the age of the young women and their complex needs, a high level of support is provided with workers present 24/7. The refuge is more than just a place of safety - supporting people to develop basic skills, confidence and resilience against future harm, parenting, access training and employment and improve their understanding of healthy relationships.

The project also provides floating outreach support to young women aged 13-24 in High Peak and across North Derbyshire who have experienced abuse or display risky behaviour. The support is delivered through one-to-one sessions and group work based in the community to women who have experienced a variety of abuse issues ranging from forced marriage, sexual violence to domestic abuse within the family. The programme also works to raise awareness in schools across the High Peak, to encourage healthy relationships and safe online behavior. Sessions address what domestic abuse is, how to recognize the patterns of an abuser and how to stay safe. The sessions also look at sexual exploitation including the use of social websites, and the effects of domestic abuse on any children of these young women. The project provides a place of safety and supports girls and young women to make appropriate choices about their well-being, develop basic skills; to stop the cycle of abuse and prevent young women and their children from suffering abuse.

This service addresses the age gap between children and adult services and is the first of its kind in England by specifically providing a tailored refuge and rehabilitation service for younger women. It is acknowledged that while the main support issue the women seeks support for is domestic abuse they often need additional support for a variety of issues including drug/ alcohol dependency, parenting, mental illness (including depression, self-harm and suicide idealization), support into employment or education.

Action Housing Project

A supported accommodation and housing related support project for offenders with a connection to the Derbyshire area and supports key partners, Derbyshire Police and Derbyshire Probation Trust with public protection. National research finds a clear evidenced link between accommodation and reduction in re-offending rates. Jointly funded by local authorities, Derbyshire Community Safety Partnership and Derbyshire Police and Crime Commissioner the project supports individuals to engage with appropriate health and prevention services, develop skills to live independently, establish and manage their tenancy.

Vulnerable adults affected by the welfare reforms

The constantly changing framework around the benefits regime means vulnerable households require additional financial assistance to assist them to successfully retain and manage their tenancies or secure a move to alternative affordable accommodation. Support will be made available to older/younger people, families with children, those with domestic abuse, mental health or drug & alcohol issues, physical or learning disability or engaged with support/ statutory services.

Meeting the accommodation needs of Disabled people including Disabled Facilities Grant (DFGs)

This will provide additional grants to achieve the Lifetime Homes standard in new build affordable homes/ bungalows or adaptations through additional DFGs which will allow vulnerable households to remain and receive care at home for longer.

Debt and money advice and budgeting/ financial capability

The debt and money advice project with financial capability training is delivered to vulnerable households that may be at risk of repossession due to debt, rent or mortgage arrears. The project helps to tackle problems before they reach crisis point and help people to manage their finances more effectively. The project is jointly funded by High Peak borough Council to reflect the ongoing impact of welfare reforms and the growing financial difficulties affecting vulnerable households.

Move-on officer

The role assists people to move-on from supported accommodation (mental health, domestic violence, young people and vulnerable adults) into independent living to avoid silting up of accommodation based services. Move-on guidance is shared with support providers. Homeless, housing and

support provider meetings are facilitated to ensure that any issues are discussed and resolved at the earliest opportunity and good practice is shared, for instance information is delivered about Welfare Reform and the impact that this will have on people moving on from supported accommodation.

Housing Related Support Services Programme

This project will contribute towards funding a number of Derbyshire County Council schemes including: Housing Related Support Services for people with Learning disabilities, mental health problems and support services for older people.

SOUTH DERBYSHIRE DISTRICT COUNCIL - £62,000 p.a.

Homeless support to young people with complex needs

This project provides support to those young individuals across South Derbyshire that are at the risk of homelessness and who have complex needs. The support can include the provision of temporary accommodation, key worker one-to-one support to assess independent living skills, and then work with individuals to assess their suitability for move on accommodation. The project also provides employment support, advice on financial wellbeing and support in managing a tenancy and resettlement. As part of this project up to 15 clients who are either homeless or at the risk of homelessness and have complex needs will be supported at any one time.

The Project will be monitored using the following measures:

- The support provided to under 24's across the district
- Repeat Homelessness / number of people referred to P3 that have previously been accommodated by P3 within the last two years
- Number of clients moved on (in 3 month period) and % of which were planned
- % utilisation of P3 units in district
- Number and % clients accommodated aged between 18-24
- % and number of clients transferred to independent living (in SDDC tenancies)

Housing Options Support for young people

There has been an increase in tenancy turnover that goes against the national trend of tenancy turnover declining

This project would put in place a dedicated resource to address the issue of tenancy sustainment and housing advice for young people in order to prevent youth homelessness, This will be done by bringing in an additional Housing Options Officer to provide support to young vulnerable residents threatened

with homelessness and offer housing advice/support to prepare them for their first tenancy. This post will also work alongside homelessness prevention outlined above and provide support to applicants to find alternative suitable accommodation whether that be in the social or private rented sector or remaining in the parental home.

The impact of this project will be measured relating to under 24's across the district.

- Reduction in the Tenancy Turnover Rate
- Reduction in repeat presentations to the service
- Increase in the number of introductory tenancies sustained
- Number of applicants offered housing advice.

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