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PUBLIC

To: Members of Cabinet

Wednesday, 9 June 2021

Dear Councillor,

Please attend a meeting of the **Cabinet** to be held at **10.00 am** on **Thursday, 17 June 2021** in The Council Chamber,, County Hall, Matlock, DE4 3AG, the agenda for which is set out below.

Yours faithfully

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

Helen Barrington
Director of Legal and Democratic Services

AGENDA

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 15 April 2021 (Pages 1 - 8)

5. To receive non-exempt minutes of Cabinet Member meetings as follows:

5 (a) Health & Communities - 25 March & 14 April 2021 (Pages 9 - 18)

5 (b) Adult Care - 1, 15, & 29 April 2021 (Pages 19 - 22)

5 (c) Clean Growth & Regeneration - 8 April 2021 (Pages 23 - 24)

5 (d) Young People - 13 April 2021 (Pages 25 - 26)

5 (e) Corporate Services - 15 April 2021 (Pages 27 - 30)

To consider non-exempt reports as follows:

6 (a) s Enterprising Council Progress Update (Pages 31 - 46)

To provide an update on progress with the Enterprising Council Strategy and to seek approval to next steps, including investment in the Programme Management Office to provide resources to take the workstreams forward.

6 (b) Update on East Midlands Freeport (Pages 47 - 60)

6 (c) Forward Plan report (Pages 61 - 72)

6 (d) Transfer of the Community Services Division (Pages 73 - 80)

6 (e) Refresh of the Local Outbreak Management Plan (Pages 81 - 136)

6 (f) Universal Funding for Drug Treatment (Pages 137 - 142)

6 (g) Registration Service - Weddings and Civil Partnerships (Pages 143 - 150)

6 (h) Report of the Local Government & Social Care Ombudsman - complaint against the Council (Pages 151 - 176)

6 (i) s COVID Local Support Grant (Pages 177 - 192)

Cabinet is asked to note the urgent decision taken by the Executive Director of Children's Services on 10 May 2021 to approve additional spending plans for the Derbyshire County Council allocation of the COVID Local Support Grant (CLSG).

6 (j) Impact of the National Bus Strategy on the Future Development of Bus Services in Derbyshire (Pages 193 - 202)

6 (k) s Regeneration Kick Start Fund - Management Fund (Pages 203 - 220)

To approve management arrangements for the allocation of funding previously approved by Cabinet

7. Exclusion of the Public

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

PART II - EXEMPT ITEMS

8. To receive declarations of interest (if any)

9. To confirm the exempt minutes of the meeting of Cabinet held on 15 April 2021 (Pages 221 - 226)

10. To receive the exempt minutes of Cabinet Member meetings as follows:

10 (a) Health & Communities - 25 March & 14 April 2021 (Pages 227 - 230)

To consider exempt reports as follows:

11 (a) Corporate Property Joint Ventures update (Pages 231 - 240)

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MINUTES of a meeting of **CABINET** held virtually on 15 April 2021.

PRESENT

Councillor B Lewis (in the Chair)

Councillors A Dale, C A Hart, T King, S A Spencer and J Wharmby

Apologies for absence were submitted on behalf of Councillor A Foster.

Declarations of Interest

There were no declarations of Interest.

75/21 MINORITY GROUP LEADERS' QUESTIONS

There were no Minority Group Leaders' questions.

76/21 MINUTES RESOLVED that the non-exempt minutes of the meeting of Cabinet held on 11 March 2021 be confirmed as a correct record.

77/21 CABINET MEMBER MEETINGS - MINUTES RESOLVED to receive the non-exempt minutes of Cabinet Member meetings as follows:

- (a) Young People – 2 March 2021
- (b) Adult Care – 3 & 18 March 2021
- (c) Corporate Services – 11 March 2021
- (d) Highways, Transport & Infrastructure – 11 March 2021

78/21 BUDGET MONITORING/FORECAST OUTTURN 2020-21 AS AT QUARTER 3 (Strategic Leadership, Culture and Tourism) The Director of Finance and ICT provided Cabinet with an update of the Revenue Budget position/forecast outturn for 2020-21 as at 31 December 2020 (Quarter 3) and seek approval for a number of budget virements in accordance with the Financial Regulations.

The Revenue Budget Position and Financial Summary provide an overview of the Council's overall budget position and forecast outturn as at 31 December 2020 and the report also summarised the controllable budget position by Cabinet Member Portfolio as at 31 December 2020. Further reports will be considered at Audit Committee and Council in accordance with the Budget Monitoring Policy and Financial Regulations.

The forecast outturn for 2020-21 as at Quarter 3 (31 December 2020) by portfolio, compared to controllable budget, was summarised. The Covid-19 pandemic was having a significant impact on the Council's 2020-21 forecast outturn. An overall Council underspend of £15.514m was forecast, after accounting for £45.037m of Ministry of Housing Communities & Local Government (MHCLG) Covid-19 emergency grant funding awarded and additional income of £3.485m compensation for lost sales, fees and charges income estimated to be claimable under the Government scheme announced on 2 July 2020.

A Council portfolio overspend of £0.052m was forecast, after the use of MHCLG Covid-19 grant funding for Covid-19 related costs forecast to be incurred in 2020-21. The table above showed the Covid-19 related costs across the portfolios as £36.986m. This was the forecast additional cost and lost income of the Council's response up to the end of March 2021, including the impact of slippage to the planned programme of savings which could not yet be implemented as a result. This amount allowed for any specific funding to offset the gross Covid-19 related costs which had already been forecasted to be allocated to individual portfolios; these amounts were detailed in Appendix 4 to the report. Budget of £36.986m would be allocated to portfolios from the Risk Management Budget, where the emergency Covid-19 grant funding and reimbursement for lost income from sales, fees and charges received from Government had been temporarily allocated, to match these costs.

There was a forecast underspend on the Risk Management Budget of £13.194m, which represented the funding the Council had received, or was expected to receive, additional to its planned requirements and forecast Covid-19 related costs for 2020-21. However, there was considerable uncertainty about the impact on the Council's finances of the current and future waves of the pandemic and any measures taken to mitigate its effects and the rate of infection, therefore caution was advised when considering this figure. Should costs rise in excess of current and future funding allocations, there would be a drawdown on the General Reserve to fund the overspend. Details of the Risk Management Budget of £66.597m were presented.

The Debt Charges budget was projected to underspend by £2.388m. This was based on forecast interest payments, anticipated Capital Financing Requirement (CFR), a Minimum Revenue Provision (MRP) of 2.5% in keeping with the policy reported to Cabinet on 22 November 2016 and a £3.500m one-off reduction in the Council's Capital Adjustment Account Reserve. This reduction was made on the basis that the amounts set aside to repay debt over the last ten years were well in excess of what was required to ensure the Council can repay its debt.

The Council utilises a range of investments, including pooled funds, to maximise its interest and dividend income. Interest and Dividends received on balances was estimated to breakeven after the allocation of £0.366m of MHCLG Covid-19 grant funding, to address a forecast decrease in income from investments in pooled funds of £0.902m and other lost income due to Covid-19. Interest also accrues to the loan advances to Buxton Crescent Ltd. The interest base rate had remained at an historically low rate of 0.10% since 10 March 2020. The Council's investments in pooled funds were recognised and measured at Fair Value through Profit or Loss (FVPL) in accordance with accounting standard IFRS 9 Financial Instruments. To date there had been no impact on the Council's General Reserve to recognise any gains or losses in the value of these funds because these effects were reversed out as required by the statutory temporary override that MHCLG had issued. The override was effective for financial years 2018-19 to 2022-23. It was proposed to establish an earmarked reserve of £2.500m, as a contingency to fund any losses which may crystallise on these investments after the statutory temporary override issued by MHCLG had lapsed in 2023-24.

Corporate Adjustments were forecast to overspend by £0.016m after the allocation of £1.812m of MHCLG Covid-19 grant funding. The allocation of MHCLG Covid-19 grant funding was to reimburse the cost of both a savings target which could no longer be achieved and an increase in the allowances the Council makes for loans it may not be able to recover. Only £0.601m of the £1.000m savings target allocated was expected to be achieved by the Council paying its Local Government Pension Scheme employer contributions early. This was because of the decision not to pay in advance all the contributions due for the entire period 2020-21 to 2022-23, but rather to make separate early lump sum payments for each year over that period. This decision was made in light of Covid-19, to preserve the Council's liquidity of cash flow amongst other considerations. The Council was likely to increase its allowances for potential credit losses based on a decline in the expectation of the amount it would recover from loans it had made, in light of the current economic climate.

Details of the Council's Earmarked Reserves balances as at 31 December 2020 were set out in Appendix 1 to the report. The Council's response to the Covid-19 pandemic and its effects on the Council's finances were expected to continue into 2021-22. It was proposed to establish earmarked reserves and to contribute any funding received to support Covid-19 impacts, which had not been utilised by 31 March 2021, to these reserves. This would enable this funding to be used for relevant expenditure over the two-year period 2020-21 to 2021-22. It was proposed that delegated authority be given to the Director of Finance and ICT to approve the establishment of any earmarked reserves that were required to support the Council's response to the Covid-19 pandemic, and that any funding received to support Covid-19 impacts, which had not been utilised by 31 March 2021, is contributed to these

reserves, to allow this funding to be used for relevant expenditure after that date. A complete register of funding expected to be receivable to meet Covid-19 related costs is disclosed in Appendix 5 to the report.

A summary of the expected achievement of budget savings targets was provided at Appendix 2 to the report. The budget savings target for 2020-21 was £18.795m, with a further £6.332m target brought forward from previous years. The savings initiatives identified to meet this target currently fall short by £7.742m, therefore further proposals would need to be brought forward to ensure the Council continues to balance its budget. Of this total target of £25.127m, £12.266m was expected to be achieved by the end of the financial year. Therefore, there was a £12.861m forecast shortfall in achievement of budget savings. The resulting base budget overspend was offset to some extent by one-off underspends or was being met from one-off funding from earmarked reserves and additional grant funding received.

The age profile of debts owed to the Council and the value of debts written off is disclosed in Appendix 3 to the report. This information was collected on a departmental rather than a portfolio basis.

The General Reserve stood at £49.845m as at 31 December 2020. The level of General Reserve was currently 9.14% of the Council's Net Budget Requirement for 2020-21. Commitments were held against this General Reserve balance, which were referred to in the Council's 2021-22 Revenue Budget Report. At that time the General Reserve, in a pessimistic forecast, was predicted to decrease to 1.6% (£9.591m) of the Council's Net Budget Requirement by 2025-26. The majority of chief financial officers consider 3% to 5% of a council's net spending to be a prudent level of risk-based reserves. It was recognised that the forecast General Reserve balance over the medium-term was lower that would be preferred, therefore restorative measures would be utilised over the Five Year Financial Plan to build back up the balance of the General Reserve to a reasonable, risk assessed level.

A summary of each individual portfolio positions and forecast outturn for 2020-21 was presented. Whilst budgets were monitored by portfolio, the individual portfolios were not separate entities. All the portfolios operate in conjunction with the others and it was important to consider the Council's budgetary position as a whole in the context of its Five-Year Financial Plan and its overall level of reserves.

RESOLVED to (1) note the update of the Revenue Budget position/forecast outturn for 2020-21 as at 31 December 2020 (Quarter 3);

(2) approve a budget virement of £0.200m from the Commissioning, Communities and Policy department to the Economy, Transport and Environment department, effective from 1 April 2021, to reflect new arrangements in place for leading the Council's response to Climate Change;

(3) approve a budget virement of £3.000m of one-off funding from Adult Care to the Risk Management Budget, as this is no longer required to fund the work taking place to address safety standards in the Council's Homes for Older People;

(4) approve a budget virement to transfer any Transition Funding which had not been utilised by the end of March 2021 from Adult Care to the Risk Management Budget. This was currently estimated to be £0.942m of on-going and £0.316m of one-off funding;

(5) approve an earmarked reserve be established for the purpose of supporting the wider county and the Council's recovery from the impacts of the Covid-19 pandemic and to contribute £15.000m to this reserve from the Risk Management Budget;

(6) approve an earmarked reserve be established as a contingency to fund any losses which may crystallise on investments measured at Fair Value through Profit or Loss (FVPL) after the statutory temporary override issued by MHCLG has lapsed in 2023-24 and to contribute £2.500m to this reserve from the Risk Management Budget;

(7) approve an earmarked reserve be created for pump-priming a countywide Assistive Technology offer that would remove the current fragmentation of the service offer, target improved appropriate use of Assistive Technology and reduce costs incurred supporting people to live safe and independent lives in the community, to complement the Better Lives transformation programme in Adult Care, and to contribute £1.500m to this reserve from the Adult Care Budget;

(8) authorise the Director of Finance & ICT to establish any earmarked reserves that are required to support the Council's response to the Covid-19 pandemic, and agrees that any funding received to support Covid-19 impacts, which has not been utilised by 31 March 2021, is contributed to these reserves, to allow this funding to be used for relevant expenditure after that date;

(9) approve that any of the funding provided in the 2020-21 budget for Quality Assurance SEND & Fostering that has not been utilised by the end of March 2021 is contributed to an earmarked reserve to fund the employment costs of additional Quality Assurance staff expected to be incurred in 2021-22;

(10) approve the transfer of £0.500m from the Change Management earmarked reserve to an earmarked reserve to fund property feasibility studies; and

(11) approve that £1.500m of funding from Public Health in 2020-21 is used to support Children's Centres and the Early Years offer within the Young People portfolio.

79/21 **OUT OF AREA SEXUAL HEALTH SERVICES** (Health and Communities) The Director of Public Health sought approval for the proposed terms and conditions in relation to invoicing for out of area (OOA) sexual health services with effect from 1 April 2021.

The terms and conditions were attached to the report in Appendix 1. They gave details of how Derbyshire County Council would manage non contractual sexual health out of area activity and provided clarity on the conditions and payment terms for cross-charging.

Derbyshire County Council's terms aimed to ensure that there was a consistent and fair approach to cross-charging with non-contracted providers outside of Derbyshire.

The reviewed terms also included the introduction of routine commissioning of HIV Pre-Exposure Prophylaxis (PrEP)

Once approved the Derbyshire OOA 2021-22 terms and conditions would be shared with local and national providers and across the National Commissioners Forum.

These terms would be applied initially for a pilot period, from 1st April 2021 until 31st March 2022. They would then be reviewed and there would be a much clearer picture of the demand and flow associated with the routine commissioning of PrEP.

RESOLVED to approve the proposed terms and conditions for out of area invoicing for sexual health activity from 1st April 2021 to 31st March 2022 as set out in Appendix 1 to the report.

80/21 **URGENT DECISION TAKEN BY THE EXECUTIVE DIRECTOR AND APPROVAL FOR PROCUREMENT PROCESS AND AWARD OF CONTRACT FOR HOLIDAY ACTIVITIES AND FOOD PROGRAMME FUND**

(Young People) Cabinet was asked to note the urgent decision taken by the Executive Director of Children's Services on 15th March 2021 that approved spending plans and other associated proposals for Derbyshire County Council's allocation of the Holiday Activities and Food Programme Fund.

Cabinet was also asked to delegate the award of contract(s) and/or grants in relation to the Holiday Activities and Food Programme to the Executive Director of Children's Services in consultation with the Cabinet Member for Young People on completion of the procurement process.

RESOLVED to (1) note the urgent decision taken by the Executive Director in relation to spending plans and other associated proposals for Derbyshire County Council's allocation of the Holiday Activities and Food Programme Fund;

(2) delegate the award of contract/s and/or for grants in relation to the Holiday Activities and Food Programme to the Executive Director of Children's Services in consultation with the Cabinet Member for Young People on completion of the procurement process.

81/21 URGENT DECISION TAKEN BY THE EXECUTIVE DIRECTOR – CHILDREN'S SERVICES – COVID WINTER GRANT SCHEME -

EXTENSION Cabinet was asked to note the urgent decision that had been taken by the Executive Director of Children's Services on 11th March 2021 that approved spending plans for the extension of the COVID Winter Grants Scheme.

The proposed extension to the scheme had been announced on 26th February 2021 but the clarifying guidance had not been received until 2nd March 2021. This meant that time for that normal decision-making protocols had not been possible.

RESOLVED to note the urgent decision taken by the Executive Director.

82/21 EXCLUSION OF THE PUBLIC FROM THE MEETING

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

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 11 March 2021.
3. To receive exempt minutes of Cabinet Member meetings as follows:
 - (a) Young People – 2 March 2021

- (b) Corporate Services – 11 March 2021
- (c) Highways, Transport & Infrastructure – 11 March 2021

4. To consider exempt reports as follows:

- (a) Portfolio Review with PSP (Derbyshire) LLP – Managing Executive Director Commissioning, Communities & Policy (contains information relating to the financial or business affairs of any particular person (including the Authority holding that information))
- (b) Extension of Block Payments for Derbyshire Integrated Sexual Health Services for Quarter 1 and Quarter 2 for the 2021-22 Financial Year – Director of Public Health (contains information relating to the financial or business affairs of any particular person (including the Authority holding that information))

MINUTES of a meeting of the **CABINET MEMBER FOR HEALTH AND COMMUNITIES** held on 25 March 2021 virtually on MS Teams

PRESENT

Councillor C Hart – Cabinet Member

Also in attendance: Councillor G Wharmby

13/21 **MINUTES** **RESOLVED** that the non-exempt minutes of the meeting of the Cabinet Member for Health and Communities held on 4 February 2021 be confirmed as a correct record.

14/21 **COVID-19 COMMUNITY TESTING PROGRAMME** The Cabinet Member was given an update on the progress of the testing programme which commenced in Derbyshire on 21 December 2020, asked to note the change in approach due to new Government guidance and agree that Director of Public Health and the Director of Legal Services could negotiate terms of and enter into all documentation required to roll out the programme throughout Derbyshire.

Community testing in December focussed activity on defined geographies and populations where there was a higher case rate. The Government guidance at the time was for sites to operate for six weeks before transferring to other locations. Shortly after the January lockdown announcement, the Government re-focused the testing programme with a focus on individuals who could not work from home throughout the lockdown period. Derbyshire was asked to submit a revised proposal and realigned communications activity, messaging and planning to focus on promoting attendance at testing centres. A summary of the number of tests completed to date are summarised in Appendix 1.

The report detailed Derbyshire's testing centres, providing a good spread of locations that people were able to access 7am-7pm, 7 days a week, plus mobile testing sites were provided to target more isolated communities, or workplaces experiencing an outbreak.

Government had agreed a scheme for businesses with 50 or more employees to sign up to take part in a testing programme and local authorities had been asked to support such businesses and was developing a training programme to support the delivery of this. The testing programme would be formally evaluated by Nottingham University and the Public Health team to look at the impact of the testing programme on communities in Derbyshire and ensure that any lessons learnt are identified as the programme develops. The programme was supported by funding of £14 per head for each test completed, a combination of in-kind support and cash allocated to the Council by the Government.

RESOLVED - that the Cabinet Member (1) note the change in approach due to new Government guidance; and

(2) agree that Director of Public Health and the Director of Legal Services can negotiate terms of and enter into all documentation required to roll out the programme throughout Derbyshire.

15/21 **PUBLIC HEALTH COVID-19 EMERGENCY FUND** The Cabinet Member was given an update on organisations supported through the Public Health COVID-19 Emergency Fund.

The on-going response to the COVID-19 pandemic had seen many organisations across Derbyshire working to ensure the basic needs of the most vulnerable residents were met. It had become apparent that a number of community and voluntary sector organisations had insufficient resources to maintain their current level of response and supporting the clinically extremely vulnerable, social isolation and requirement for activities to comply with social distancing guidance had compelled many organisations to quickly adapt their service delivery model to operate within the guidance, often requiring additional resources.

Funding of up to a maximum value of £2,000 was available for constituted groups and £250 for non-constituted groups. As the Public Health COVID-19 Emergency Fund was funded from the Public Health Grant, all applications needed to be linked to the current Public Health work programme to allow the Emergency Fund to run concurrently with other corporate grant schemes, whilst retaining a clear focus on improving public health outcomes.

This was the third quarterly update covering organisations who have received funding from 22 December 2020 to 22 February 2021. Additional applications that had been reviewed and approved for funding, were detailed in the report. The overall value of the Emergency Fund was £0.200m and to date £98,973.52 had been awarded to Derbyshire organisations.

RESOLVED - that the Cabinet Member (1) note the allocation of the Public Health COVID-19 Emergency Fund to date;

(2) continue to delegate authority to the Director of Public Health to approve awards of no more than £2,000 to individual organisations; and

(3) receive details of further recipient organisations on a quarterly basis.

16/21 **CONTAIN OUTBREAK MANAGEMENT FUND** The Cabinet Member was given an update on the Covid-19 Outbreak Management Fund funding allocations from 30 November 2020 to 20 February 2021 and approval was sought for the following use of the fund:

a. £0.150m paid to care home providers in Derbyshire on a per registered bed basis to fund wellbeing activities whilst visiting restrictions remain in place;

b. £210,218 to a range of voluntary sector organisations to deliver the Community Champions scheme, noting the full breakdown of allocations as outlined in the financial considerations section;

c. £26,000 to the University of Nottingham for the evaluation of the asymptomatic COVID-19 community testing programme in Derbyshire;

- d. £0.279m to district and borough councils to fund Environmental Health teams to further support implementation of Derbyshire's COVID Outbreak Management Plan; and
- e. £8,617 to Derby City Council to recruit an Associate Director of Inequalities (COVID19) to work across Derby City and Derbyshire County. for itemised large payments from the fund.

Additional funding from Central Government had been received to support the on-going response to the COVID-19 pandemic as part of the Contain Outbreak Management Fund, in addition to funding received by the Authority in early 2020. The NHS Test and Trace service ensured individuals who developed symptoms could access testing with high-risk contacts being identified and advised to self-isolate. Public Health Authorities were central to this programme and had evolved a function within the programme of work as a Local Tracing Partnership.

As part of the Contain Framework, had received a funding allocation equivalent to £8 per head to support proactive containment and intervention measures. Derbyshire's initial allocation was £6.500m, with further allocations being received due to on-going lockdown and tier restrictions and allowed the development of new, and the extension of existing nonpharmaceutical interventions to manage and mitigate the impact of the pandemic across Derbyshire. This would include children and families, older people and individuals at higher risk due to their health status.

Delegated authority had been given to the Director of Public Health and Cabinet Member for Health and Communities to develop an implementation plan to coordinate the delivery of the different workstreams and, where appropriate, additional approvals would be sought. This was the first of these update reports which gave a thorough and detailed summary of the activity.

RESOLVED - that the Cabinet Member (1) note the update to the Cabinet Member for Health and Communities on the COVID-19 Outbreak Management Fund funding allocations from 30 November 2020 to 18 January 2021; and

(2) approve the following funding allocations: a. £0.150m paid to care home providers in Derbyshire on a per registered bed basis to fund wellbeing activities whilst visiting restrictions remain in place; b. £210,218 to a range of voluntary sector organisations to deliver the Community Champions scheme, noting the full break down of allocations as outlined in the financial considerations section; c. £26,000 to the University of Nottingham for the evaluation of the asymptomatic COVID-19 community testing programme in Derbyshire; d. £0.279 to district and borough council Environmental Health teams to further support implementation of Derbyshire's COVID Outbreak Management Plan; and e. £8,617 to Derby City Council to employ an Associate Director of Inequalities (COVID-19).

17/21 **DERBYSHIRE ADVISORY SERVICES IN FOODBANKS** Approval was sought from the Cabinet Member for the allocation of grant funding to Derbyshire Citizens Advice Services for delivery of advisory services in foodbanks, at a value of £33,600 for a one-year period.

Derbyshire Citizens Advice services had been working in partnership with Feeding Britain and Rural Action Derbyshire to deliver a project across Derbyshire to provide good quality, impartial, free and confidential advice and information to people accessing local foodbanks. The aim was to ensure that people in food crisis had immediate access to quality advice to tackle the issues that made them vulnerable to hunger and enable appropriate support to engender independence and mitigate continued risk of reliance on the foodbank.

Funding for the project had ended but the partnership recognised the value in the project and wished to continue the service until longer term sustainable funding was sourced. Investment in timely advisory services was more cost effective than allowing an individual's financial, physical and mental health to decline to the point that they required more expensive services in the future. Sessions embedded in food bank settings supported those most in crisis and often experiencing emergency situations. Additionally, individuals would feel more able to cope with their situation and would have a greater awareness of where to find early help should it be needed in the future.

A 12-month extension was sought to continue the offer in a number of settings spread across Derbyshire. Citizen's Advice would work in partnership with Feeding Derbyshire and Rural Action Derbyshire to identify areas of highest need, mobilising and moving resources accordingly. The grant would cover project costs and adviser salaries and would be monitored by the Public Health team. Regular monitoring reports would provide number of clients accessing the advice, number of issues, income gained and case stories demonstrating impact.

Work was on-going with Rural Action Derbyshire via the Feeding Derbyshire/Feeding Britain project to secure sustainable longer-term funding. It was anticipated that this would be achieved and enable the project to continue beyond the 12-month period. The report went on to give a breakdown of how the grant would be awarded between the four Citizens Advice organisations in Derbyshire.

RESOLVED - that the Cabinet Member approve the allocation of £33,600 grant funding to Derbyshire Citizens Advice, to enable delivery of an advisory service in foodbank project, over a one year period from date of approval.

18/21 FEEDING DERBYSHIRE NETWORK AND FINANCIAL ACTION ADVICE DERBYSHIRE Approval was sought from the Cabinet Member for the allocation of grant funding to Rural Action Derbyshire to manage and lead the work of the Feeding Derbyshire Alliance and the Financial Action and Advice Derbyshire Partnership and their associated work programmes to a value of £50,000 per annum for a two year period from April 2021 to March 2023.

Public Health's involvement in finding sustainable solutions to alleviate food poverty in Derbyshire was centred around the work of the Feeding Derbyshire alliance. This had been operational since September 2015 and was one of the 12 official pilots of the Feeding Britain strategy. Rural Action Derbyshire were commissioned by Public Health to co-ordinate the Feeding Derbyshire programme and supported the work of foodbanks and community pantries, community cafes, community kitchens, school holiday clubs, and breakfast and after-school clubs

across Derbyshire, as well as being responsible for working strategically to alleviate food poverty. Placement of the co-ordinating function of this work allowed additional funding to be accessed not available to the Council.

Feeding Derbyshire sought to help those struggling with low incomes, debt, poor access to affordable, nutritious food and reduced the negative impact of hunger by working to ensure projects were inclusive and reached the most vulnerable. This gave families and individuals the confidence and capacity to be self-reliant and be able to meet their own and their children's needs. Rural Action Derbyshire co-ordinated a network of 34 foodbanks operating across 41 locations.

In response to Covid-19, Rural Action Derbyshire also set-up a batch cook-delivery scheme involving 12 projects providing ready meals. This scheme was providing a much-needed service to vulnerable people whilst they were shielding or self-isolating. By the end of October, the Batch-Cook Scheme Projects had produced and distributed over 55,000 meals. During the first two months of the Spring Lockdown, Derbyshire food projects doubled the amount of food provided to local people. The Feeding Derbyshire Network of Food Banks and Social Eating Projects were currently supporting more than 3,000 of the most vulnerable people in the county.

As part of their Feeding Derbyshire coordination role, Rural Action Derbyshire also lead liaison with Fareshare East Midlands to ensure that food supply met demand from community programmes in Derbyshire and saw the food weight they supply to Derbyshire projects increase from an average of 41,000kgs per month to over 81,000kgs in April and May 2020. Financial Action and Advice Derbyshire (FAAD) was a partnership of over 50 organisations from the Public, Voluntary and Community sectors and was established in 2013 and hosted by Rural Action Derbyshire, with funding provided by Derbyshire County Council.

There was significant crossover of two agenda areas, so funding one organisation to oversee both partnership agendas offered significant opportunity to align and link work and offered the best long-term opportunity to make a meaningful difference to alleviating food poverty across Derbyshire and improve the health and wellbeing of the local population.

RESOLVED - that the Cabinet Member approve the allocation of £50,000 per annum, for a two year period, from April 2021 to March 2023, to Rural Action Derbyshire, to continue to lead and manage the Feeding Derbyshire Partnership and the Financial Action and Advice Derbyshire (FAAD) Partnership and their associated work programmes.

19/21 **LOCAL AUTHORITY EMERGENCY ASSISTANCE GRANT** The Cabinet Member was given an update on the allocations of the Coronavirus (Covid-19): Local Authority Emergency Assistance Grant for Food and Essential Supplies. Approval was also sought to enable allocation of the final round of grant funding to external organisations and that further contingency identified as a result of underspend on projects was split equally between the projects outlined within the report.

Derbyshire County Council received £0.808m in the form of a Local Authority Assistance Grant for Food and Essential Supplies, provided by the Department for Environment, Food and Rural Affairs (DEFRA) to support people who were struggling to afford essentials due to the impact of Covid-19. Local authorities had the discretion to identify and support those most in need and had been liaising with key partnership groups to develop ideas and seek assurance that the grant was meeting local needs.

Previous reports to the cabinet member set out the background in detail and allocated the bulk of the monies with the 'risks' section stating: *"The impact of Covid-19 on our vulnerable communities is constantly changing, making it hard to predict future needs and pressure points. To mitigate against this, the report recommends that a level of contingency funding is set aside in the budget that can be allocated at a later date to meet any emerging needs that haven't already been considered in the recommendations, or to strengthen ones that require more funding than anticipated"*.

The report proposed expending the remaining contingency budget to meet the conditions of the grant by allocating the fourth and final round of money by 31 March 2021, which, due to Derbyshire Discretionary Fund and the 'Back to Learning Grants' drawing down less money than originally budgeted, the remaining contingency pot stood at £0.180m. The report outlined in further detail the extent of the work of a selection of projects previously approved and the approach set out in the original report of 4 September 2020 recommending contingency funding set aside be allocated at a later date to meet any emerging needs.

RESOLVED - that the Cabinet Member (1) note the information contained in this report relating to the Local Authority Emergency Assistance Grant for Food and Essential Supplies;

(2) approve the recommendations regarding the final allocation of grant funding to external organisations as stated; and

(3) approve that any further contingency identified as a result of underspend on projects is split equally between the projects outlined in this report.

20/21 **FUNDING FOR ARTS AND HEALTH PROGRAMME** Approval was sought from the Cabinet Member for the allocation of grant funding to Arts Derbyshire to employ an Arts, Health and Wellbeing Co-ordinator for a five-year period, at a value of £12,000 per annum, from April 2021 to March 2026.

The Arts and Health programme's aim was to improve health and wellbeing through arts and creativity across the county and especially for those most in need. Arts Derbyshire had been established as a charitable organisation, to work with artists, service providers and the public to provide strategic direction for the arts in Derbyshire and enabling collaborative working for arts development. The Arts and Health Coordinator role had a well-established post-holder in place and had taken proactive steps to improve links between the Arts and Health programme and the Public Health Department and engaged with health service colleagues.

The Programme provided creative interventions through a range of activities, aimed at keeping people well and to support longer lives lived better, through alleviating loneliness, helping improve physical activity and mental health, with particular focus on reaching populations whose health outcomes may be affected by long-term conditions, loneliness, mental health and ageing.

There was growing evidence on the effectiveness of arts programmes for improving health and wellbeing outcomes: the 'Creative Health: The Arts for Health and Wellbeing' report highlighted how the arts could contribute to significant challenges the health and social care services faced; the World Health Organisation European Regional Office published a Health Evidence network synthesis report that concluded there was evidence the arts contributed to the promotion of good health and the prevention of a range of mental and physical health conditions, as well as the treatment or management of acute and chronic conditions across the life course; and the UK Department for Digital, Culture, Media and Sport released a report on Arts and Health in April 2020 that corroborated these conclusions.

Locally, an independent evaluation of the 'A Necklace of Stars' arts project had shown that people were overwhelmingly pleased to take part and offered diversion and discipline; structured time; helped overcome blocks in thinking; took a participants mind off their problems and developed new skills, as well as improved participants' sense of worth and self-esteem. The project has had a sustained and broad impact, with some individuals continuing writing or sewing and becoming involved in other groups after the end of the project.

RESOLVED - that the Cabinet Member approve the allocation of £12,000 per annum, for a five-year period, from April 2021 to March 2026, to Arts Derbyshire, to employ an Arts, Health and Wellbeing Co-ordinator.

21/21 MENTAL HEALTH AND EMOTIONAL WELLBEING OF CHILDREN AND YOUNG PEOPLE Approval was sought from the Cabinet Member for the allocation of £0.100m funding to each of the eight Derbyshire Health and Wellbeing Partnerships, to enable delivery of an approach to support the emotional wellbeing of children and young people, over a two year period from 1 April 2021.

In December 2020, the Public Health Investment Panel supported an application for investment into the emotional wellbeing of children and young people through a locality approach, to help address the increasing rates of mental disorder in England. The proposed grants would support Health and Wellbeing Partnerships across Derbyshire to co-ordinate a preventative approach that enabled the expansion of mental health awareness, promotion of protective factors, early identification, early intervention and support for the emotional wellbeing of children and young people through a community-based approach. It would also build on foundational work in localities that had developed over the last few years, including training, partnership engagement, pathway development and consultation.

The Public Health Localities and Place-based approach delivered a broad range of locally-developed projects and programmes which were monitored and reported annually and agreed through the Health and Wellbeing Partnerships. Each of the eight Health and Wellbeing Partnerships across Derbyshire, arranged on a

district/borough footprint, worked to improve the health of local communities, through promoting health-related behaviours and addressing the wider determinants of health. Membership of each partnership reflected local variation, but core membership included 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.

It was proposed to build on local assets and intelligence with £0.100m being allocated to each of the Partnerships to support and drive work over a 24 month period to deliver against a Young Peoples Emotional Health and Wellbeing Framework, by developing bespoke action plans to address emotional wellbeing within communities. Each programme would be based on the *Thrive* model principles focussing on the delivery of prevention and promotion strategies in a whole-system partnership approach - work would be supported strategically by the Public Health Lead for Mental Health and evaluated internally.

It was anticipated that the project would contribute towards several public health indicators including self-reported wellbeing, emergency hospital admissions for intentional self-harm and children reporting that they had a trusted adult. The report went on to outline total expenditure of £0.800m over a 2-year period from 1 April 2021, which would be met from the Public Health reserve budget and be awarded to Health and Wellbeing Partnerships in line with current locality arrangements

RESOLVED - that the Cabinet Member approve the allocation of £0.100m to each of the eight Derbyshire Health and Wellbeing Partnerships, to enable delivery of an approach to support the emotional wellbeing of children and young people, over a two year period from 1 April 2021.

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 consider the exempt report of the Director of Public Health on the Provision of Adult Integrated Substance Misuse Treatment Services: Additional Funding for Opiate Substitution Therapy (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 **CABINET MEMBER MEETING - HEALTH AND COMMUNITIES** held on Wednesday, 14 April 2021 virtually on MS Teams

PRESENT

Councillor C Hart – Cabinet Member

Also in attendance: Councillor G Wharmby

23/21 NON-EXEMPT MINUTES

RESOLVED - to confirm the non-exempt minutes of the meeting of the Cabinet Member - Health and Communities held on 25 March 2021.

24/21 INITIATIVE THINKING SKILLS GRANT FUNDING

Approval was sought from the Cabinet Member for grant funding over the course of two years, at a cost of £35,000 per annum, for the provision of a Perpetrator Programme with Intuitive Thinking Skills (ITS).

Intuitive Thinking Skills previously delivered a short pilot project for the Community Safety Unit of their joint perpetrator and 'affected others' programmes, funding for which came from the Home Office under their Violence Against Women and Girls Service Transformation Fund 2017-2020.

The projects were favourably evaluated by Derby University with significant improvement being observed in scores for both programmes; identified themes were listed within the report. Derbyshire Constabulary also provided incident reporting data which suggested a significant change in the level of incidents for those who participated in the perpetrator programme.

RESOLVED - that the Cabinet Member approve grant funding over the course of two years, at a cost of £35,000 per annum, for the provision of a Perpetrator Programme with Intuitive Thinking Skills (ITS).

25/21 EXCLUSION OF THE PUBLIC

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

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

1. To consider the exempt report of the Executive Director of Commissioning, Communities and Policy on the variation to the Domestic Abuse Support Services contract to include the additional investment of £367,500 (£122,500 pa for up to three years) (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 – ADULT CARE** held on 01 April 2021

PRESENT

Councillor J Wharmby (in the Chair)

Also in attendance was Councillor C Dale.

Apologies had been received from Councillor S Swann.

15/21 **MINUTES RESOLVED** that the minutes of the meeting held on 18 March 2021 be confirmed as a correct record.

16/21 **REVIEW OF URGENT OFFICER DECISIONS TAKEN TO SUPPORT THE COVID-19 RESPONSE** The Cabinet Member received an update in relation to Officer's Decisions utilising emergency decision making powers and assurance in relation to the reviews which had been made.

The decisions related to short-term temporary arrangements which were subject to regular review. It had been intended that as Cabinet was now able to function by meetings being held 'remotely' the need for officers to make urgent decisions would diminish, however, they would be kept under regular review by elected members and officers. On 4 June 2020, it had been agreed that Cabinet would formally delegate review decisions to the relevant Cabinet Member, with a summary of review decisions made be reported to Cabinet every two months.

The report detailed summary updates on the reviews taken place since the last Cabinet Member meeting on 18 March 2021. All review decisions had been discussed with the Executive Director and Cabinet Member following review by Senior Management Team. A copy of the most up to date version of the Officer Decision Records was attached at Appendix 1.

The Principal Social Worker had been engaged and consulted with over the initial decisions and had reviewed the latest updates. They were satisfied that the original decisions had been made with due regard for the Department of Health and Social Care Ethical Framework, the Care Act easement guidance and were aware of the review processes in place.

RESOLVED that the Cabinet Member note (1) the review of decisions made under urgent delegated powers arising from the COVID-19 Pandemic; and (2) that future review decisions would be made on a fortnightly basis by the Cabinet Member for Adult Care.

PUBLIC

MINUTES of a meeting of the **CABINET MEMBER – ADULT CARE** held on 15 April 2021

PRESENT

Councillor J Wharmby (in the Chair)

Also in attendance was Councillors C Dale and S Swann.

No apologies for absence had been received.

17/21 **MINUTES RESOLVED** that the minutes of the meeting held on 01 April 2021 be confirmed as a correct record.

18/21 **REVIEW OF URGENT OFFICER DECISIONS TAKEN TO SUPPORT THE COVID-19 RESPONSE** The Cabinet Member received an update in relation to Officer's Decisions utilising emergency decision making powers and assurance in relation to the reviews which had been made.

The decisions related to short-term temporary arrangements which were subject to regular review. It had been intended that as Cabinet was now able to function by meetings being held 'remotely' the need for officers to make urgent decisions would diminish, however, they would be kept under regular review by elected members and officers. On 4 June 2020, it had been agreed that Cabinet would formally delegate review decisions to the relevant Cabinet Member, with a summary of review decisions made be reported to Cabinet every two months.

The report detailed summary updates on the reviews taken place since the last Cabinet Member meeting on 01 April 2021. All review decisions had been discussed with the Executive Director and Cabinet Member following review by Senior Management Team. A copy of the most up to date version of the Officer Decision Records was attached at Appendix 1.

The Principal Social Worker had been engaged and consulted with over the initial decisions and had reviewed the latest updates. They were satisfied that the original decisions had been made with due regard for the Department of Health and Social Care Ethical Framework, the Care Act easement guidance and were aware of the review processes in place.

RESOLVED that the Cabinet Member note (1) the review of decisions made under urgent delegated powers arising from the COVID-19 Pandemic; and (2) that future review decisions would be made on a fortnightly basis by the Cabinet Member for Adult Care.

PUBLIC

MINUTES of a meeting of the **CABINET MEMBER – ADULT CARE** held on 29 April 2021

PRESENT

Councillor J Wharmby (in the Chair)

Also in attendance was Councillors C Dale and S Swann.

No apologies for absence had been received.

19/21 **MINUTES RESOLVED** that the minutes of the meeting held on 15 April 2021 be confirmed as a correct record.

20/21 **REVIEW OF URGENT OFFICER DECISIONS TAKEN TO SUPPORT THE COVID-19 RESPONSE** The Cabinet Member received an update in relation to Officer's Decisions utilising emergency decision making powers and assurance in relation to the reviews which had been made.

The decisions related to short-term temporary arrangements which were subject to regular review. It had been intended that as Cabinet was now able to function by meetings being held 'remotely' the need for officers to make urgent decisions would diminish, however, they would be kept under regular review by elected members and officers. On 4 June 2020, it had been agreed that Cabinet would formally delegate review decisions to the relevant Cabinet Member, with a summary of review decisions made be reported to Cabinet every two months.

The report detailed summary updates on the reviews taken place since the last Cabinet Member meeting on 15 April 2021. All review decisions had been discussed with the Executive Director and Cabinet Member following review by Senior Management Team. A copy of the most up to date version of the Officer Decision Records was attached at Appendix 1.

The Principal Social Worker had been engaged and consulted with over the initial decisions and had reviewed the latest updates. They were satisfied that the original decisions had been made with due regard for the Department of Health and Social Care Ethical Framework, the Care Act easement guidance and were aware of the review processes in place.

RESOLVED that the Cabinet Member note (1) the review of decisions made under urgent delegated powers arising from the COVID-19 Pandemic; and (2) that future review decisions would be made on a fortnightly basis by the Cabinet Member for Adult Care.

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PUBLIC

MINUTES of a meeting of **CABINET MEMBER MEETING - CLEAN GROWTH AND REGENERATION** held on Thursday, 8 April 2021 virtually on MS Teams

PRESENT

Councillor T King – Cabinet Member

Also in attendance: Councillor G Hickton and R Mihaly.

5/21 MINUTES - RESOLVED TO CONFIRM THE NON-EXEMPT MINUTES OF THE MEETING OF THE CABINET MEMBER - ECONOMIC DEVELOPMENT AND REGENERATION HELD ON 11 FEBRUARY 2021.

6/21 I STEP UP REQUEST FOR RESERVE FUND

The Cabinet Member was given an update on the successful I-Step Up programme, and requested that outstanding funds be allocated to a reserve account to enable spend on this programme of work in future years.

The programme was developed by Derbyshire County Council to address a gap in existing provision for young people transitioning to work, learning or training at the end of Year 11 by providing young people with the skills and knowledge they need to make a positive progression. The programme had been featured by the Local Government Authority as an area of best practice and had generated interest from outside Derbyshire.

Eligibility for the programme was organised to be delivered in the locality/district/borough where there was highest number of young people at risk of being not in employment, education and training (NEET) and where individuals were identified within schools as being at risk of NEET and had no identified destination at end of years 11 and 13. The programme was delivered by the Council's Adult Community Education Service (DACES) and aimed to encourage young people to identify positive destinations for themselves through a mix of activities, including links with private sector businesses. Delivered over a three/four-week period, young people were required to attend for three days each week, for five hours per day.

Delivery of the programme was impacted by COVID-19 in 2020: the programme therefore piloted an online format which had run for the last 12 months. It was tailored to the needs of the cohort and individuals attending the course developed meaningful relationships throughout the programme. Tutors helped participants not only to navigate the work and support them to address wider issues that were impacting on the prospect of them remaining NEET such as family dynamics, substance misuse and

engaging in antisocial behaviour. It also developed a range of skills, including teamwork and communication, financial planning and budgeting, CV writing and interview skills along with actual work experience.

The advent of online delivery from 2021 meant there were no longer restrictions on geographical locations, thereby making the programme more flexible and widely accessible. Both face to face and online delivery were available to ensure as many young people as possible were involved, especially those in more isolated parts of the County. Moving to online provision meant the course could be offered over more months and in multiple locations simultaneously.

In January 2020, the Employment and Skills Board agreed that the programme would be funded and expanded for a period of three years at the cost of £50,000 per annum. Due to the challenges of the pandemic, course redesign and equipment procurement, only one course was run during 2020-2021 which resulted in an underspend of £50,000. It was proposed this funding be rolled over into a reserve account for use in future years and provide the additional benefit of being able for use as match if external funding became available. Whilst it was planned and expected that funds would be fully spent in future years (including the reserve fund), it was also requested that any underspends from 2021-2022 onwards be rolled forward into the same reserve.

RESOLVED that the Cabinet Member (1) note the success of the I-Step Up programme;

(2) approve the request to create a reserve fund I-Step Up to carry forward the underspend from 2020-21 and support continued delivery of the programme over the coming years; and

(3) approve that any underspends from 2021-2022 onwards be rolled forward into the same reserve.

PUBLIC

MINUTES of a meeting of the **CABINET MEMBER – YOUNG PEOPLE** held on 13 April 2021.

PRESENT

Cabinet Member - Councillor A Dale

Also in attendance – Councillors J Patten and J Coyle

14/21 **MINUTES** **RESOLVED** that the minutes of the meeting of the Cabinet Member for Young People held on 2 March 2021 be confirmed as a correct record.

15/21 **CONFIRMATION OF NOMINATIONS OF SCHOOL GOVERNORS**

The Cabinet member had been asked to confirm the nominations of persons to serve as local authority school governors.

Nominations to school governing boards were proposed as set out below.

Any appointments made by governing boards would be subject to the completion of a Declaration of Eligibility form, a proof of identity check and an enhanced DBS check.

Name	School	Nominating Councillor	Appointment
Bolsover M Hilton	Bolsover Infant & Nursery School	J Dixon	New appointment
Derbyshire Dales M Griffiths	Middleton Community Primary School	I Ratcliffe	New appointment
Erewash A Fletcher	Morley Primary School	C Hart	New appointment
South Derbyshire D Shepherd	Stenson Fields Primary School	N Atkin	Re-appointment
South Derbyshire M Stephens	Melbourne Infant School	L Chilton	New appointment

RESOLVED that the Cabinet Member confirms the nominations for persons to serve as local authority governors as detailed in the report.

16/21 **EXCLUSION OF THE PUBLIC** **RESOLVED** that under Regulation 4 (2)(b) of the Local Authorities (Executive Arrangements) (Meetings

and Access to Information) (England) Regulations 2012, the public be excluded from the meeting for the following items of business on the grounds that in view of the nature of the items of business, that if members of the public were present, exempt information as defined in Paragraph 2 of Part 1 of Schedule 12A to the Local Government Act 1972 would be disclosed to them.

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

1. To confirm the exempt Minutes of the meeting held on 2 March 2021.

17/21 **MINUTES** **RESOLVED** that the exempt minutes of the meeting Held on 2 March 2021 be confirmed as a correct record.

PUBLIC

MINUTES of a meeting of the **CABINET MEMBER FOR CORPORATE SERVICES** held on 15 April 2021.

PRESENT

Cabinet Member – Councillor A Foster

Also in attendance – Councillor P Murray

19/21 **MINUTES RESOLVED** that the minutes of the meeting held on 11 March 2021 be confirmed as a correct record.

20/21 **PERFORMANCE AND BUDGET MONITORING/FORECAST OUTTURN 2020-2021 AS AT QUARTER 3** The Director of Finance & ICT provided the Cabinet Member with an update of the Council Plan performance position and the revenue budget position of the Corporate Services portfolio for 2020-2021 up to the end of December 2020 (Quarter 3).

The report presented both financial and Council Plan performance data. The performance summary set out progress on the Council Plan deliverables and measures led by the Corporate Services portfolio. The remainder of the report gave a summary and detail on the revenue budget position for the portfolio. As an overview, the report showed that progress was "good" for all of the Council Plan deliverables led by the portfolio, however the deliverable "Value for Money board" had been flagged as "requiring review" because of delays caused by Covid-19. After the use of additional Covid-19 funding, the budget forecast position for 2020-2021 was an overspend of £2.314m. It was forecast that £2.513m of savings would have been achieved by the year end. This compared to target savings of £5.866m and the value of savings initiatives, which had been identified for implementation in the current year, of £4.931m. An overview for Quarter 3 of progress on the Council Plan deliverables and measures relating directly to Corporate Services was provided.

Progress was "good" for all of the Council Plan deliverables led by the portfolio. The key areas of success were:

- All departments had agreed to transition contract data onto the central contracts register. When complete, we would have a Council wide view of the contractual landscape to enable better procurement planning;
- The first business cases for asset rationalisation had been approved by the Limited Liability Partnership. Sales of land and buildings had raised over £2.7m so far this year;

- The Council remained on track to achieve its target of 10 days lost per appointment to sickness across the the Council. There was an improvement to 9.4 days in quarter 3 from 10.3 at quarter 2.

Key areas for consideration were:

- Covid-19 had caused delays to the Value for Money Board however progress was now being made and the objectives were on track to be delivered.

Further information on the portfolio's Council Plan performance were included at Appendix A to the report.

The net controllable budget for the Corporate Services portfolio was £44.036m. An additional £3.296m Covid-19 funding would be added to the budget to give a total of £47.332m. The Revenue Budget Monitoring Statement prepared for quarter 3 indicated that there was a forecast year-end overspend of £5.610m. This overspend would be supported by the use of £3.296m of additional Covid-19 funding which had been allocated to the Council to support the costs incurred as a result of the pandemic. After the use of this funding the forecast position was an overspend of £2.314m. The significant areas which made up this forecast were provided and the key variances were highlighted.

Budget reduction targets totalling £5.190m had been allocated for the year. Further reductions allocated in prior years, totalling £0.676m, had not been achieved and were brought forward to the current year. This had resulted in total reduction targets to be achieved of £5.866m at the start of the year.

The value of the savings initiatives which had been identified for implementation in the current year was £4.931m. The shortfall between the total targets and the identified savings initiatives was £0.935m.

The shortfall between the total reductions expected to be achieved and the identified savings initiatives at the start of the year was £2.418m. This included Property's target of £1.893m which would be achieved by introducing PSP Derbyshire LLP (Public Sector PLC Derbyshire Limited Liability Partnership). The LLP had now been established and projects would require reporting and validation before they could commence. It was forecast that £2.513m of savings would have been achieved by the year-end. Details of performance against the target were provided.

There was a risk that Covid-19 could negatively impact on the portfolio's forecast outturn position reported in the Forecast Summary, however, it was difficult to quantify at present.

Earmarked reserves totalling £56.684 were currently held to support future expenditure. Details of these reserves were presented in the report.

RESOLVED that the Cabinet Member notes the report and considered whether there were any further actions that should be undertaken to improve the budget position moving forwards or to address performance, where it had not met the desired level.

21/21 **SUPPLY AND SUPPORT AND MAINTENANCE FOR ELECTRONIC DOCUMENT AND RECORDS MANAGEMENT SYSTEM (EDRM)** (Councillor Tony Kemp, Chairman of the Improvement and Scrutiny Committee - Resources had agreed that call-in should be waived on the basis that the decision proposed was reasonable in all the circumstances and to it being treated as a matter of urgency due to the urgent nature of the decision required) .Approval was sought to use the ComIT 2 Health Trust Europe Framework under Protocol 2A of the County Council's Financial Regulations to procure a contract for EDRM maintenance and support for one year from 1 April 2021 to 31 March 2022.

The existing contract with OpenText had been extended on a number of occasions and it was proposed that the ComIT 2 Health Trust Europe Framework was used under Protocol 2A to award a new support contract for one year. During this time the Data Management Strategy project will have started, and the support and maintenance requirements could be reviewed against progress for a further one or two years. The Framework was a single lot framework which covered hardware, software, security, technology assisted services, and computer science. The Framework also had the option to award to a supplier via a Direct Award, which was the preferred option.

A Business Case for the use of the ComIT 2 Health Trust Europe Framework had been approved by the Director of Finance & ICT and Director of Legal & Democratic Services in accordance with Protocol 2A of the County Council's Financial Regulations. Award of the contract from the Framework was a matter which had been delegated to the Managing Executive Director Commissioning, Communities and Policy in accordance with Protocol 2B of the County Council's Financial Regulations.

RESOLVED to approves the use of the ComIT 2 Health Trust Europe Framework under Protocol 2A for the procurement of a contract for EDRM maintenance and support for one year for a period of 1 year.

22/21 **EXCLUSION OF THE PUBLIC** **RESOLVED** that under Regulation 4 (2)(b) of the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012, the public be excluded from the meeting for the following items of business on the grounds that in view of the nature of the items of business, that if members of the public were

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

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

1. To confirm the exempt minutes of the meeting held on 11 March 2021 (contains exempt information)

23/21 **MINUTES RESOLVED** that the exempt minutes of the meeting held on 11 March 2021 be confirmed as a correct record.



FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

17 JUNE 2021

**Report of the Managing Executive Director (Commissioning,
Communities & Policy)**

Enterprising Council Progress Update

Strategic Leadership, Culture, Tourism & Climate Change

1. Purpose

- 1.1 To provide an update on progress on the Enterprising Council Strategy and to seek approval on the next steps, including investment in the Programme Management Office and Modern Ways of Working programmes to provide resources to take forward the work.

2. Information and Analysis

- 2.1 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 within available resources the services that local people need and want.
- 2.2 During the last four years the Enterprising Council approach, has delivered significant improvements to the way in which the Council operates, in terms of its efficiency and effectiveness and, in the way in which the Council works with partners and communities. Going forward the impacts arising from COVID 19 will lead to further significant change to the way the Council operates and build on the work to strengthen

engagement and collaboration with communities and with partners both locally, regionally and nationally.

2.3 The Council Plan 2021 to 2025 outlines the Council's strategic approach which focuses on three key pillars of activity - Enterprising Council, Thriving Communities and Vision Derbyshire. This approach is fundamental in ensuring an adaptive and dynamic response to the increasingly complex issues facing the Council, partner agencies and local communities, such as the recent coronavirus pandemic and climate change.

2.4 **Enterprising Council**

The Enterprising Council Strategy was approved at Cabinet on 31 January 2019 and since that time Cabinet has received a number of updates detailing progress. The most recent update was considered by Cabinet at its meeting on 10 September 2020 when approval was given to progress Phase 2 of the Enterprising Council Strategy, consisting of the following approach and priorities:

1. To accelerate the delivery of the three cross cutting projects – modern ways of working, demand management and workforce and leadership behaviours, initially focusing on modern ways of working to maximise opportunities and challenges presented by the current pandemic.
2. To take forward organisation, community and economic recovery and renewal through the development of the Council's strategy and roadmap by January 2021.
3. To develop a whole council approach to transformation through the development of a strategic case for transformation and creation of a centralised programme management office.

The following is an update on work that has been taking place since September 2020 and progress made on the delivery of the three priorities.

1. **Cross Cutting Projects**

a. **Modern Ways of Working (MWOW)**

The MWOW workstream was established in September 2020 to focus on the implementation of a cross council approach to new ways of working, capitalising on the significant shift in working practices that have been seen since the emergence of Covid-19, including the rapid implementation and use of new technology across the Council, greater homeworking and more flexible and agile working practices.

In the Autumn of 2020, employees were invited to participate in a series of workshops which considered how the Council could benefit from the opportunities presented by smarter working models. Approximately 170 staff attended workshops which explored the advantages and the challenges of working differently in the future.

The long-term strategic vision for the future model will define the way in which the Council and its staff work. Work undertaken to date across the organisation and with staff involved in workshop activity has revealed that there is the potential to realise huge benefits for the organisation and the services it delivers to the public by enabling a more agile workforce and smarter working practices. Benefits include:

- The creation of a more flexible customer experience
- Enabling more collaborative working and breaking down silos, leading to reduced duplication and more joined up thinking
- A reduction in the Council's operational footprint and savings in organisational operating costs
- The release of inefficient assets, reducing the revenue burden
- Gains in capital receipts from the disposal of surplus assets, which can be used to invest in transformational change
- The creation of space to co-locate with partners and benefit from opportunities to align service delivery across the public sector
- The creation of opportunities for income generation
- An improvement in employee productivity, engagement and retention by enabling our employees to strike a better work / life balance, leading to greater wellbeing.
- Creating resilience in service delivery and minimising any future impacts of Covid on the workforce
- A reduction in our carbon footprint in line with the Climate and Carbon Reduction Strategy

The Modern Ways of Working project will need to be taken forward at pace if the Council is to take maximum advantage of the number of employees currently working from home as a result of covid-19 restrictions and to avoid a wholesale return to the office, with the associated costs and loss of opportunities, once these restrictions are eased.

In the short term, the following key actions have been identified:

Short-Term Action - A short sprint of activity, where colleagues are required to clear desks and offices, leaving spaces available for different use in a more flexible way, will need to be undertaken. The Government's planned roadmap requires staff who can work from home

to continue to do so until June 2021. To deliver the first stage of the Modern Ways of Working project it is proposed instead that those staff who can work from home continue to do so until the Autumn. This extension to the work from home requirement will enable sufficient time to develop and make available more flexible work spaces including hot desking space, informal break out areas and additional meetings rooms. Meeting rooms will be equipped with ICT equipment to facilitate remote and hybrid meetings.

Long-term strategy – In parallel with the short-term action, a long-term strategy for Modern Ways of Working at the Council will be developed. This strategy development will ensure alignment between a number of the other council key policy drivers such the council's ambition to be carbon zero by 2032, the council's digital approach and the planned outcomes from Property 2025, the council's property strategy.

To achieve the benefits listed above a dedicated full-time permanent Programme Manager is required whose role it will be to scope and plan activity, drive and coordinate delivery and manage risks. The post will also research and report on good practice elsewhere, lead the MWOW cohort in their work and prepare the business case for the proposed change to ways of working.

The other resources that will be required to support the delivery of the short-term activity are as follows:

- A property space planning and design officer to focus on the necessary design work, space profiling and zoning, in conjunction with service areas and the move management for significant numbers of staff in a time-limited period.
- A dedicated Property Logistics Officer, along with dedicated technical support to plan and oversee and implement the rolling programme of desk and space clearance, document storage and staff moves, at pace.
- Additional financial investment for IT infrastructure, minor building alterations, moves and file storage, in order to deliver the immediate phase of work. Until specific plans are drawn up, it is not possible to determine the exact amount required in the current financial year, so a figure of up to £250k is requested to provide sufficient scope to get started as soon as the plans are ready and create flexible work spaces for Autumn 2021.

These resources are requested for an initial period of nine months, pending the detailed business case being developed which will identify

the benefits that can be realised from the programme and the investment required to deliver the Modern ways of Working approach.

b. Demand Management

Demand management is a wide and complex approach which will manifest itself in different ways depending on the service or issue. For example, demand for transactional services can be reduced through self-serve and channel shift, whereas early intervention and prevention are key to managing demand for health and social care. The Council already uses the demand management approach in its Thriving Communities work which aims to help residents develop the resilience they need to support themselves and each other and become less reliant on public services. Other programmes such as Better Lives and Achieving Great Futures are also incorporating an element of demand management, and other projects and programmes may also be doing so.

Initial discussions have taken place to explore this area and thinking so far is to focus the Enterprising Council demand management workstream on developing an approach to understanding and measuring demand rather than launching new projects to manage demand. Ideally demand management should be a part of the way we work rather than a separate piece of work. As a first step it would be useful to understand whether our current projects and programmes are geared towards managing demand and if so how.

The Strategic Transformation workstream is currently undertaking a review of all change projects and programmes. Through collecting and analysing this data, the Council will begin to build a picture as to how many of them will help to reduce demand for public services. This data will be used to feed into the future Strategic Transformation Programme and help make decisions about priority projects going forward.

Demand management will also be built into the projects and programmes toolkit that is being developed i.e. PIDs, business cases; pressure bid forms etc, to help inform decisions about resource allocation.

c. Workforce Leadership & Behaviours

Organisational culture, employee values and behaviours are all critical to the Enterprising Council Strategy, its strategic aims, and the associated transformation programmes.

The proposed People Strategy, which is subject to a separate report to Cabinet in July 2021, seeks to outline 'how' the Council will enable and

support its most important asset, our people, to deliver the Council's strategic aims. The aim is that the People Strategy supports the Council Plan, being the 'what' we aim to achieve. It assumes that leaders of the organisation at all levels own the relationship with their people and aligns to the employee journey. Employee engagement is also crucial throughout the employee lifecycle and is central to the People Strategy, with continued focus on 'Our Spirit' ensuring the Council 'Listen and Engage' and 'Shape and Respond'.

The Strategy incorporates a People Vision which is proposed to reflect the Council's ambition as an organisation and emphasises that people are at the heart of the organisation and our future vision for the workforce

In addition to the above, the development of a behavioural framework is key to the success of the People Strategy and work continues to refine and further develop this in readiness for expansion across the organisation, aligned to the Enterprising Council Strategy. The framework development aims to:

- Provide colleagues with a clear understanding of what 'great' looks like, and how to get there.
- Form the basis of all assessment criteria including external hires, assessment for development, performance management and appraisal.
- Help managers to manage and lead teams and individuals more effectively.
- Support colleagues to understand and see what the organisational values look like in practice.
- Guide and inform decision-making at all levels
- Improve customer experience and satisfaction.
- Enable people to plan and manage their own careers, job moves and promotions.
- Connect the Council's brand with the employee experience, aligned to the employee value proposition.

A behavioural framework in isolation will not support and enable the cultural transition required within the organisation, and therefore work is underway to embed this within the revised Performance and Development Review (PDR) approach which will be piloted with senior leaders during 2021/22. In addition, it will identify how, in the longer term, the framework can be incorporated within the Council's recruitment methods and talent strategies.

It is intended to present the final People Strategy to Cabinet in July 2021 for approval.

2. Organisation, community and economic recovery and renewal

At its meeting in September 2020, Cabinet agreed that recovery and renewal would be delivered through the development of a clear strategy and roadmap to be in place from January 2021 onwards to accelerate the delivery of the Council's future ambitions. A number of renewal principles, to drive the development of the strategy and roadmap were agreed. These include:

- Being future focussed and working now on the long term change we would wish to see for our future generations
- Focussing on the four 'E's - economy, efficiency, effectiveness, equity and the 'F' - fairness
- Providing strong leadership and assurance, reimagining the role of the Council, working in partnership with local communities and partners to deliver ambitious change
- Harnessing the potential of people who have mobilised during the current pandemic and identifying opportunities to devolve power to local communities
- Maximising opportunities to drive forward organisational change and reduce our carbon footprint.

With the Covid response extending into 2021, and the prioritisation of the MWOW workstream, it has taken longer than expected to commence activity on this workstream. Consequently, the planned report and update January 2021 Cabinet has been delayed. However, work has now started with an initial meeting of the core officer group held on 25 March 2021 to discuss the scope and scale of project as the Council moves into the recovery phase following the prolonged pandemic response efforts. Initial discussions have generated a number of questions regarding potential overlap and complementarity with Community Renewal activity and Modern Ways of Working.

Baselining activity is now being undertaken along with a review of Economic Recovery priorities to assess the alignment and overlap with other programmes before the scope is confirmed. A programme of meetings has been established for the core group to take this work forward.

3. Strategic Transformation Case & Centralised Programme Management Office (PMO)

On 28 October 2020, Cabinet Member approval was given to commission external consultants to work with the Council in order to develop its organisation wide Strategic Transformation priorities.

This work was designed to enable the Council to:

- Put a transformation function in place which meets the current and future needs of the Council
- Establish a council-wide approach to transformation which will help staff, members and residents understand how the council's vision will be delivered
- Make a clear case for investment in and benefits of transformation activities to deliver the council's transformation ambition through its three strategic pillars: Enterprising Council, Vision Derbyshire and Thriving Communities
- Show tangible progress against the recommendations of the corporate peer challenge review.

This work progressed at pace between November 2020 and March 2021 and in summary the following activity was completed on budget and on time:

- a. **Baseline Report** - Production of a baseline data report to provide the evidence to identify the opportunities and benefits that could be achieved through the Strategic Transformation Case. This has included:
 - o Collation of existing and pipeline transformation projects across the council, identifying key gaps and inconsistencies and linking existing projects to the emerging council-wide themes.
 - o Production of an in-depth FTE baseline using a digital survey (Activity Analysis) to capture data on how all staff split their time against a set of standard local government activities.
 - o Collation of third party spend and outcomes data to supplement the activity analysis.
- b. **Strategic Transformation Case document** - The Strategic Transformation Case outlines: a future vision; current challenges; the approach required to deliver the vision; and the proposed next steps for each theme. From the baseline data and widespread engagement across the organisation, a Strategic Transformation Case document was developed. This pulls together:

- o Suggested priority council-wide transformation themes to support organisational and system outcomes.
- o Explanation of how the Council's vision will be operationalised (i.e. what it will mean in terms of delivering a council-wide approach to transformation).
- o Outline of key council-wide cross-cutting functions and how these could work in future (organisation design).
- o The portfolio/programme of change activity needed to achieve strategic priorities of the Council and inform future organisation design.

Emerging Themes

The transformation themes that have emerged through the creation of the Strategic Transformation Case, based on the data in the baseline report and wide engagement across the organisation. Work will need to continue to develop these further to determine the aspirations and opportunities across the themes and how they fit together to form an overall programme. The themes identified are:

- Customer management
- Technology
- Commissioning, Procurement & Contract Management
- Culture, Behaviours & Change Readiness
- Data & Analytics
- Enabling Services & Business Partnering
- Wider System Working with Partners and Communities

Many of the proposed themes involve a wholesale overhaul of transactional functions, releasing capacity within the workforce, which can either be redirected or captured as a financial saving. Examples included reducing manual intervention in customer management and data entry; simplifying, standardising and sharing processes and data; prioritising and joining up change and transformation projects and programmes to avoid duplication and fragmentation of effort. Additionally, the work to date identified further opportunities for the Council to review categories of spend that span across multiple departments, for example, rationalising and combining contracts for similar products and services; and reducing the number of suppliers and transactions.

Next Steps

Based on the Council's current ambition and experience from other local authorities who have delivered whole council transformation, it will be possible to realise significant benefits, over a multi-year timeframe,

both cashable and non-cashable savings, improved service delivery leading to improved outcomes for residents and communities, if sufficient investment is put into the programme.

Development of a comprehensive business case for the Strategic Transformation Programme, that demonstrates both cash and non-cashable savings as well improved service delivery and improved outcomes to residents will need to be developed. The case will also set out what investment the council will need to make to realise the identified benefits. This will ultimately form the longer-term road map identifying milestones and sequencing for delivering the benefits.

In support of this, a review of all existing change and transformation projects and programmes across the Council is currently being undertaken. This will support the Council to develop and identify a sequenced programme of work in which the Council will continue to move forward alongside a new model of transformation change which will allow us to work more collectively as one council, reduce siloed working and ensure a consistent approach to change is applied

Engagement across all stakeholders within the Council is critical to the success of developing the strategic transformation priorities, new methodology of working and therefore a stakeholder engagement plan will also be developed to support the work

The resourcing required in order to take this next phase of work forward outlined above, it is proposed that an interim Programme management Office (PMO) be put in place to develop the business case and to start to build the council wide approach to transformation. A small team comprising a programme manager and two business analysts are required to scope the issues, identify the costs and benefits, determine the optimum prioritisation and sequencing, and develop this into a long-term road map of activity. This team will be appointed on a temporary basis up to the end of March 2022. The resources required for an established programme management office will be considered as part of the business case and proposals for funding will form part of the revenue budget setting process in Autumn 2022.,

A further report will be submitted to Cabinet in Autumn 2021 to present the business case and outline the level of investment needed to deliver the identified benefits set out in the business case.

2.5 Enterprising Council Programme Governance

The current Enterprising Council governance arrangements will be reviewed as part of the development of the Strategic Transformation Programme, but in the short term, the Enterprising Council will oversee the progress of the workstreams identified in this report .

2.6 Programme Delivery

The work described in the report is currently being managed from within existing resources with only two dedicated posts. The Enterprising Council Programme Manager is an established permanent post and the Assistant Director Business Change is a temporary one-year position until mid-2022.

The following temporary resources are required to take this work forward in the short term in advance of the programmes and business cases being developed further to identify the benefits that will be realised and the investment required:

- Programme Manager – with primary responsibility for the Modern Ways of Working (MWOW) programme
- Property space planning and design officer - MWOW
- Property Logistics Officer - MWOW
- Technical support - MWOW
- Programme Manager – to drive forward the work to develop business cases for the Strategic Transformation Programme
- Business Analysts x 2 – to undertake research and develop evidence to support the business cases for the Strategic Transformation Programme
- Project Officer – to provide support across all workstreams

It is envisaged that external support may be required to develop the Strategic Transformation business cases and roadmap to provide expertise that is not available in house. This will be subject to further exploration, but it would be prudent to identify a one-off sum of up to £150k for this purpose for 2021/22.

The deliverable outcomes from this phase of the work, up to end of March 2022, are as follows:

Modern Ways of Working:

- o Office accommodation repurposed to provide for a transitional phase, post Covid, to enable offices to be used in a more flexible, agile way in advance of longer-term proposals being developed.
- o A business case developed, by the Autumn 2021, for investment in a longer-term programme to achieve a reduction in the

Council's operational footprint and savings in organisational operating costs.

Strategic Transformation Programme:

- o Review of all existing change and transformation projects and programmes and decisions on priorities and alignment with the proposed themes.
- o The one council strategic transformation case is further developed, communicated and embedded across the Council
- o Business case for the longer-term Strategic Transformation Programme, by the Autumn 2021, for consideration as part of the 2022/23 budget setting process.
- o Proposals developed for a Programme Management Office to deliver the Strategic Transformation Case and realigned existing projects and programmes.
- o Development of robust corporate governance arrangements for priority projects and programmes.
- o Development of a clear approach to how benefits (whether financial, capacity release or service improvement) will be identified, delivered and monitored for all projects and programmes.

2.7 Communication and engagement

The Enterprising Council programme could see significant impacts for staff, Members, partners and for residents in terms of delivering an effective and value for money council. Significant work is required to support the delivery of the programme through effective engagement.

Communications work will be led by existing Communications Team, working extensively with colleagues across the organisation and within the 'Communications and Engagement' workstream.

Resource is required to support the creation of materials which will be required for effective engagement: some design work has already been commissioned and further development of animations, graphics and effective content will be required. An annual budget of £30k each year for the life of the programme is expected to be required and will form part of the wider business case. As such this report includes a request for £30k for spend in 2021/22.

3. Alternative Options Considered

- 3.1 The Council, like many other authorities across the country, continues to face significant challenges in providing within available resources the

services that local people need and want. If no action was taken to drive the Enterprising Council Strategy and associated invest-to-save programmes forward, the Council would struggle to meet these challenges more and more as each year goes by

4. Implications

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

5. Consultation

5.1 Engagement has taken place with employees in relation to Modern Ways of Working in the Autumn of 2020. Approximately 170 staff attended workshops which explored the advantages and the challenges of working differently in the future. Further consultation will be undertaken as the programme develops.

6. Background Papers

6.1 None

7. Appendices

7.1 Appendix 1 – Implications.

8. Recommendations

That Cabinet:

- a) Notes progress on the Enterprising Council programme.
- b) Notes the intention to advise all staff who can work from home to continue to do so until Autumn 2021.
- c) Approves the allocation of resources from the General Reserve as outlined in the report in order to deliver the outcomes described for both the Modern Ways of Working and Strategic Transformation Programmes.

9. Reasons for Recommendation(s)

9.1 To enable the Modern Ways of Working and Strategic Transformation programmes to progress.

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Appendix 1

Implications

Financial

- 1.1 Details of the resourcing required to support the ongoing development of the Phase 2 of the Enterprising Council approach is set out in the report and is outlined further below:
- 1.2 Temporary budget for six to nine months up to end of March 2022 for MWOW:
 - Programme Manager (MWOW) – Grade 14 (tbc) £51,322
 - Property space planning and design officer – Grade 12 £39,574
 - Property Logistics Officer – Grade 11 £35,251
 - Technical support – Grade 8 £24,499
 - IT infrastructure, minor building alterations, moves and file storage – up to £250,000
- 1.3 Temporary budget for six to nine months up to end of March 2022 to develop the Strategic Transformation Case:
 - Programme Manager x 1 – Grade 14 (tbc) £51,322
 - Business Analysts x 2 – Grade 12 £79,148
 - External specialist support – up to £150,000
 - Communications and engagement - £30,000
- 1.4 Support across the Enterprising Council programme
 - Project Officer (Enterprising Council) – Grade 9 £26,937
 - Contingency to cover additional costs of agency staff in advance of recruitment to above posts if necessary - £35,000
- 1.5 All salary costs are pro rata for nine months including 30% on costs. The total maximum budget requirement up to end of 2021/22 financial year is £773,053.
- 1.6 The costs can be funded from the General Reserve on an invest to save basis and as such this pump-priming investment will be re-paid once savings start to emerge. The Council has committed to saving just under £5m a year over the next 5 years by reducing the number of

council buildings and using our spaces differently as part of the Corporate Property 2025 programme and additional savings will be identified as part of the Strategic Transformation Case.

- 1.7 A full Benefit Realisation programme will be developed to ensure savings are determined, monitored and captured in a comprehensive manner with a topslice from projects to fund the initial costs highlighted in the report and to provide a long term sustainable basis for pump priming future initiatives and programme office costs

Legal

- 2.1 None

Human Resources

- 3.1 All new posts will be subject to the Council's job evaluation scheme to determine grade. Posts will be recruited and appointed to in accordance with the Council's recruitment and selection policy. The proposals within this report do not affect current employees within the structure and therefore formal consultation is not required.

Information Technology

- 4.1 The Modern Ways of Working Programme will require ICT equipment to facilitate remote and hybrid working, the cost of which has been outlined in this report.

Equalities Impact

- 5.1 None

Corporate objectives and priorities for change

- 6.1 The Enterprising Council Strategy specifically supports the following key priorities:
- High performing, value for money and resident focused services
 - A prosperous and green Derbyshire

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

- 7.1 The property, asset management and environmental implications are set out in the report.



FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

17 June 2021

Report of the Executive Director - Place

Update on East Midlands Freeport

(Strategic Leadership, Culture, Tourism and Climate Change)

1. Divisions Affected

1.1 County-wide.

2. Key Decision

2.1 This is a key decision because it is significant in terms of its effects on communities living or working in an area comprising two or more divisions/county electoral areas.

3. Purpose

3.1 To provide an update to Cabinet regarding recent progress and next steps being taken in the preparation of a full business case for the East Midlands Freeport.

3.2 To seek Cabinet approval for the Council to join the Freeport 'Set Up' Board and the Leader of Derbyshire County Council (DCC) to be the nominated representative.

4. Information and Analysis

4.1 Background

At the meeting on 4 February 2021, the Leader and Cabinet Member – Strategic Leadership, Culture, Tourism and Climate Control agreed to support a bid led by the D2N2 Local Enterprise Partnership to create a freeport in the Derbyshire, Nottinghamshire, Leicestershire area which will bring additional powers and tools to improve the regional economy as we ‘build back better’ from COVID-19 and respond constructively to the opportunities generated by the UK’s exit from the European Union (EU). The Government’s Bidding Prospectus described Freeports as: “... a flagship government programme that will play an important part in the UK’s post-Covid economic recovery and contribute to realising the levelling up agenda, bringing jobs, investment and prosperity to some of our most deprived communities across the four nations of the UK with targeted and effective support.”

The Government proposes a range of benefits will be available to freeports in the following policy areas:

- Customs
- Tax. This includes measures on:
 - Stamp Duty Land Tax (SDLT) Relief
 - Enhanced Structures and Buildings Allowance
 - Enhanced Capital Allowances
 - Employer National Insurance Contributions Relief
 - Business rates
- Planning
- Regeneration and infrastructure: successful bidders will be able to access a share of £175 million of seed capital funding, depending on the submission of an outline business case (OBC).¹⁹
- Innovation

4.2 An expression of interest was submitted to Government on 5 February by the Derby, Derbyshire, Nottingham, Nottinghamshire (D2N2) Local Enterprise Partnership (LEP), supported by Derbyshire, Nottinghamshire and Leicestershire county councils, South Derbyshire, North West Leicestershire and Rushcliffe district councils and a range of private sector landowners, including Toyota Manufacturing UK.

4.3 The bid document set out the vision and ambitions for the East Midlands Freeport, along with an overview of site-specific proposals. These were detailed in the report to the Leader on 4th February but are summarised below:

Vision:

To provide the East Midlands with a once-in-a-generation opportunity to supercharge the local economy and, working alongside the emerging East Midlands Development Corporation proposals, drive a '30-year leap' in regeneration, business development and productivity.

Objectives

- ***To establish and safeguard the East Midlands as a national hub for global trade and investment***
- ***To promote regional regeneration and accessible job creation***
- ***To create a hotbed for innovation in the net zero transition***

Strategic Opportunities

- *The strategic location of the freeport site adjacent the M1, A50 and A38 and major rail network provides a unique selling point with almost 90% of the population and the nation's seaports being within a four-hour drive.*
- *East Midlands Airport, at the heart of the freeport zone, has the unique advantage of being the country's largest, dedicated cargo airport – and 7th largest in Europe. Its 24hour operation (with capacity to grow) provides businesses access to international markets beyond the European Union, including North America, Latin America and the Caribbean, Asia, and the Middle East.*
- *Being home to large, global automotive, aerospace and manufacturing companies such as Toyota, Rolls Royce and Bombardier, along with world-class universities and over £650m of active research projects, the East Midlands offers key sectoral specialisms that support Government's ambitions for freeports, including transport technology, energy and low-carbon technologies.*
- *The Freeport presents a significant opportunity to drive forward the 'good growth' agenda and deliver large scale economic regeneration for Derbyshire, including clear targets for zero carbon activity. This opportunity aligns with the interventions highlighted in the Derbyshire COVID Economic Recovery Strategy and other national policy agendas such as the 10 Point Plan announced by the Government to support green recovery.*

Site Specific Proposals

One 'freeport zone' is proposed focused around the East Midlands Airport as the primary customs site, bringing forward 523ha of largely underdeveloped land across three designated 'tax sites' - one located in each of the three counties. It is expected the tax sites will accelerate development and an investment pipeline of over £600 million, creating jobs across all skill levels and supporting regional and national economic recovery.

Site 1: East Midlands Airport and Gateway Industrial Cluster (EMAGIC)

- *EMAGIC is located in Leicestershire and consists of underdeveloped land within the Airport and East Midlands Gateway estates. The site has direct access to the strategic highway network (M1/A453/A42/A50), the airport apron, and includes Maritime's Rail Freight Terminal opened in 2019.*

EMAGIC is a proven logistics location that will attract investment in high-tech air logistics, smart warehouses, and advanced manufacturing.

- *The site is expected to contribute £600 million in GVA annually, and 9,900 jobs (with £390 million and 5,300 jobs on-site).*

Site 2: Ratcliffe-on-Soar (Ratcliffe)

- *The site is located in Nottinghamshire next to the A453, a mile from the M1 and adjacent East Midlands Parkway Station; as such, it provides easy access to both passenger and freight rail services. The existing coal-fired power plant is due for decommissioning by 2025, leaving the site primed for regeneration.*
- *The site is proposed to be developed as an industrial centre housing advanced manufacturing. It is a key site for a Gigafactory and has potential for advanced manufacturing, including fuel cells and hydrogen production. A network of low carbon energy supply is being investigated and promoted for adoption across the region.*
- *At full build out, the Freeport site is expected to generate 16,900 on site jobs, and another 15,000 through supply chains, and add £1.27bn in GVA annually (£840 million direct and £430 million indirect).*

Site 3: East Midlands and Intermodal Park (EMIP)

- *This is the only part of the freeport zone located in Derbyshire and is adjacent the Toyota plant at Burnaston. The undeveloped site is masterplan-ready and accessible through the trunk road (A38/A50) and rail freight networks.*
- *A strategic rail freight interchange is proposed, representing the next generation of rail-connected distribution parks, with a focus on hydrogen and innovation in green fuel. It will support modal shifts for businesses, including Toyota, Nestle, and JCB, from road to rail freight, reducing carbon emissions.*
- *The site is expected to contribute £910 million in GVA annually and 19,900 jobs (of which £600 million and 10,600 jobs are on-site).*

4.4. The bid document also set out the interdependencies between the proposed East Midlands Freeport and the East Midlands, locally led development corporation (DevCorp) currently being progressed in Nottinghamshire and Leicestershire. Aspects of two of the sites are in both the Freeport and the DevCorp (ie EMAGIC and Ratcliffe Power Station); the third site, the Intermodal Park in South Derbyshire which is of greatest interest to the County Council, sits outside the current DevCorp geography.

4.5 Up to the point of submission on 5th February, 2021, the D2N2 LEP provided the organisational capacity and acted as the 'lead accountable body' in helping drive bid preparation, including chairing a working group of chief/ senior officers and commissioning Vivid Economics to provide detailed support to the bid-writing process.

4.6 Update

Members may be aware that Government confirmed the East Midlands Freeport had been successful in being shortlisted to progress to the next stage in its Budget on 3rd March 2021, one of only eight in England. Other shortlisted locations are Felixstowe and Harwich (referred to as Freeport East), Humber, Liverpool City Region, Plymouth, Solent, Thames and Teesside.

4.7 Alongside the announcement, Government issued additional guidance to help the shortlisted freeport geographies progress through the next stages of the freeport process. This guidance confirmed an ambitious timetable that will see the first freeports formally designated by the end of 2021 – with clear implications for the need to work at pace over the coming months including:

- Detailed governance arrangements, risk register and implementation plan to be submitted by end of April
- Outline business case to be submitted by Summer 2021
- Tax sites and details confirmed by Summer 2021
- Customs sites and details confirmed by Autumn 2021
- Full business case submitted by Autumn 2021

4.8 Government has also advised of the need to work with them closely on: developing a more detailed governance model to provide confidence in our ability to deliver; appropriate measures for the effective management of public funds – including application of capacity support funding; the process for working on, assessing and approving business cases; and, respective roles and responsibilities at each stage.

4.9 One notable shift in emphasis within the guidance was that Government now expects accountable bodies for the freeports to be ‘legally constituted’. Within the current East Midlands partnership this means that leadership of the delivery arrangements has needed to change from the D2N2 LEP to one of the local authorities. Given the primary customs site is the East Midlands Airport and located in North West Leicestershire, Leicestershire County Council (LCC) has confirmed it will fulfil the role of accountable body (AB). Its key roles as AB include being responsible for: Government funding and monitoring/ reporting against the use of these funds; upholding procurement practices; providing effective support to the Freeport Board in delivering its purpose, in achieving formal designation as a Freeport and progressing to delivery; maintaining appropriate project documentation e.g. project plans and risk registers; ensuring the Board operates in line with transparency, propriety and inclusivity standards; publishing relevant

papers, minutes and a register of interests; and acting as a single point of contact for Government officials.

4.10 Since mid March, LCC has been undertaking work to ensure the requirements of the early 'next steps' (outlined in 4.7 and 4.8) have been met. Given the sizeable nature of the task Ernst and Young has been commissioned by LCC to support this work and provide immediate additional capacity. An overview of progress to date is provided in para 4.12 below.

4.11 Alongside the guidance, Government also has provided detailed feedback on the content of the original expression of interest document and confirmed additional (new) areas of work. In summary, over the course of developing the outline and detailed business cases, this will include clarifying and confirming:

- Which policy levers and powers will be utilised to enhance trade and investment in the Freeport area, wider region or nationally
- Alignment to local economic strategies, skills baseline and the full nature of the skills offer within the Freeport, including confirming how deprivation and unemployment will be tackled
- The programme of work to authorise the proposed tax and customs sites and agree a package of practical trade and investment support for the Freeport - including confirmation of site boundaries and verifying that final proposals meet the necessary criteria/ requirements
- A detailed breakdown of seed funding request, including requirements for new physical and digital infrastructure
- A detailed resourcing plan and delivery plan with clear milestones
- A detailed risk register - including the various stages of agreement with key site proposals and land uses (e.g. Gigafactory development)
- Robust adherence to the requisite standards and details on the proposed systems and infrastructure for controlling the movement of goods
- Detailed funding and resourcing plans – including collection and evaluation of data on tax reliefs and modelling growth in future business rate income across the site
- Wider planning stakeholder engagement arrangements – including how local development orders (LDOs) may be used to support delivery
- Plans and mitigations to address equality issues
- Plans for tackling transition around net zero and how reductions in emissions will be monitored and reported

- How the Freeport Regulator Engagement Network (FREN) or regulatory flexibilities will be utilised in relation to the ‘living lab’ demonstrators for alternatives fuels

4.12 Progress to Date

In line with the timetable set out in paragraph 4.7, some key work areas have been progressed, led by LCC and supported by Ernst & Young. These include:

- Confirmation of the title of the Freeport as the East Midlands Global Gateway Freeport (EMGGF).
- A revised vision for the EMGGF to be *‘the UK’s pre-eminent green, multimodal inland freeport and gateway to global trade, economic growth and job creation’*.
- Meetings commenced between Sir John Peace, Chair of Midlands Engine, and relevant local authority leaders and key partners to commence discussions on the full nature of the Freeport ‘set up’ phase.
- Development and submission of governance proposals, including terms of reference for the EMGGF ‘Set Up Board’, an interim governance arrangement for the pre-delivery phase of the Freeport which will ensure the necessary financial and human resources are in place to oversee the coordination of the different strands of activity required for full business case development.
- Development and submission of a strategic risk register for Freeport delivery
- Development and submission of a Diversity Statement
- Development and submission of an Implementation Plan
- Development and launch of a recruitment process to secure an independent Chair for the Set Up Board
- Development of person specification and job role for a dedicated Freeport Programme Manager

4.13 Worthy of note within the body of this report is the overall shape of the governance arrangements for the Set Up Board. It is proposed the Board will have a total of 16 members made up of an independent Chair and up to a further 15 individuals selected from across the private and public sector, including landowners (7 Board members), upper and lower tier local authorities (total of 6 Board members); others, such as representatives from the East Midlands Development Corporation and local members of parliament. It is proposed the local authority representatives are senior elected members.

4.14 In addition to the overarching Board, a number of sub committees are proposed to cover activity such as: Investment & Growth; Innovation &

Net Zero; Nominations; Security and Risk; and Skills. A wider Engagement Network is also proposed to ensure the views of key stakeholders such as LEPs, the Chamber of Commerce, Midlands Engine, Midlands Connects, colleges and universities are secured to inform the detailed development of the Freeport.

- 4.15 Although good progress has been made in developing the overarching decision-making arrangements, more work is required to confirm the delivery arrangements that will drive development at each of the three sites and preparation of the outline business case. The previous working group that had been involved in preparing the initial expression of interest bid has been stood down so putting in place the appropriate officer and project arrangements to drive the necessary work over the coming six months is now essential. It is likely these arrangements will become clear within the next few weeks.
- 4.16 It is likely that Derbyshire County Council, as transport and highway authority for the EMIP area, will need to contribute directly to these arrangements and existing resources within the Economy and Regeneration Service are being prioritised and re-aligned accordingly; additional resources will be procured as necessary.
- 4.17 In addition, Ernst and Young are currently undertaking individual discussions with each of the Freeport partners to ascertain views on critical elements such as ambitions, key principles, issues and key areas requiring clarification. These discussions are due to take place week commencing 24 May and will inform the Council's views of current levels of risk, likely work packages and level of preparedness for progressing the outline business case. Any relevant update regarding these discussions will be reported to the Cabinet meeting on 10th June or will be subject to a future report, as appropriate.

5. Consultation

- 5.1 No public consultation has been required in relation to this decision. However, over the period mid March to end of May, engagement has been undertaken with Government departments, East Midland Freeport partners and with relevant elected members in DCC to ensure progress is being maintained and the proposals set out in this report are in line with expectations.

6. Alternative Options Considered

- 6.1 Cabinet could decide not to agree an elected member representative or agree that a different Cabinet Member should represent the Council on

the Set Up Board. These are not considered appropriate options as other local authority partners are in the process of confirming elected representation at the highest (Leader) level on the Board and Derbyshire County Council's interests would be best served by ensuring comparable representation.

7. Implications

7.1 Implications of this decision are set out in Appendix 1.

8. Background Papers

8.1 None

9. Appendices

9.1 Appendix 1: Implications

10. Recommendations

That Cabinet:

- a) Notes that Government confirmed the East Midlands Freeport (EMGGF) has been successful in being shortlisted to progress to the next stage of freeport development in its Budget on 3rd March 2021.
- b) Notes the issues and progress that has been made regarding the initiation of 'set up' arrangements and specifically, the submission of various documents to Government
- c) Notes the proposed Governance arrangements as set out in this report
- d) Agrees that Derbyshire County Council should be part of the Freeport Board and specifically approves the Leader of Derbyshire County Council as the Council's representative on the Set Up Board.
- e) Delegates authority to the Leader to appoint a replacement representative on the Set Up Board in the event that he is unable to attend.
- f) Notes the more detailed work that will need to take place over the coming six months and specifically, the potential impacts on resources for Derbyshire County Council.
- g) Notes that a report outlining the key risks and resourcing implications be submitted to Cabinet once they have been confirmed.

11. Reasons for Recommendations

11.1 To ensure the Council is sharing updates on the progress of the EMGGF and is aware of the implications given the scale and nature of the resulting regeneration which will be brought forward through the Freeport proposal.

11.2 To ensure that DCC has appropriate representation on the Set Up Board.

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

12.1 No.

Report Author: Joe Battye

Contact details: joe.battye@derbyshire.gov.uk

Implications

Financial

- 1.1 The report sets out an update of progress on arrangements for the development of the East Midlands Global Gateway Freeport. There are no funding implications directly associated with this report but potential resourcing requirements and financial risks and opportunities for the County Council will become apparent as more detailed work progresses to prepare the outline business case. Some minor, initial costs have been incurred already (£3,631) to cover external legal advice in the preparation of the Expression of Interest, taken from Economy and Regeneration core budget. It is expected that a further report outlining the wider financial implications will be submitted to Cabinet for consideration in due course.

Legal

- 2.1 The National Insurance Contributions Bill, which was announced in the Queen's Speech 2021 includes provisions relating to freeports. It is intended that the Bill will support existing legislation particularly in respect of finance and customs and excise. Amendments to the Regulations regarding permitted development rights and business rates are expected in due course.
- 2.2 The first task for all the Freeports is to confirm the governance arrangements set out in the bid so that there is a formal partnership in place for Government to have a dialogue with. This requires confirmation of Board membership, roles and responsibilities and how it will work with wider partners across the region. The proposed governance arrangements were submitted to Government on 23 April 2021 and are awaiting approval.
- 2.3 The Set Up Board is an interim board to act as the governing body of East Midlands Global Gateway Freeport during the pre-delivery Set Up Phase of the Freeport, before it transitions to a Board suitable for the Delivery Phase.
- 2.4 In the set up phase, the Board will ensure that the necessary financial and human resources are in place for Freeport to oversee the coordination of the different strands of activity that will be required to prepare and submit a full business case to MHCLG, achieve formal designation as a freeport and to pursue objectives that will facilitate the delivery activities of the Freeport during the Delivery Phase.

- 2.5 The Set Up Board is an unincorporated entity and at this stage it is not clear whether the governance arrangements for the Delivery Phase will take a formal company/partnership structure. As more detailed work progresses to prepare the outline business case potential implications and risks will be identified and it is expected that a further report will be submitted to Cabinet for consideration in due course.
- 2.6 The appointment of any individual to another body is a 'local choice' function under the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 which means that it may be treated as an executive or non-executive function by the Council. The Council's Constitution includes the following:
"Cabinet Members may make decisions on:
(i) appointment of Members to outside bodies (Leader of the Council)".

In light of the fact that it is proposed the Leader is nominated as the Council's representative it is appropriate that the decision is made by Cabinet rather than the Leader himself.

Human Resources

- 3.1 As set out in the body of this report, it is likely the Freeport delivery arrangements will require existing staff resources within the Economy and Regeneration Service to be reprioritised and realigned to support the requisite work packages over the coming six months. Advance preparations have also been made to secure additional staff resources via recruitment agencies should the need arise and funding for these posts will be secured either through the Service's core budget or additional project funding which may need to be sourced.

Information Technology

- 4.1 None.

Equalities Impact

- 5.1 None directly as a result of this report but it should be noted that the Government's requirement to produce a Diversity Statement as part of the early Set Up arrangements has been met. This Statement includes an expectation that in the assessment and development of Freeport sites, and in the provision of skills, employment and transport opportunities, active consideration will be given to meeting the needs of all Derbyshire's communities and specifically, those with protected

characteristics. Relevant projects will be subject to Equality Impact Assessments as they are prepared.

Corporate objectives and priorities for change

6.1 None

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

7.1 None arising directly from this report. Individual projects may involve the acquisition of property as they progress.

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FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

17 June 2021

The Forward Plan

Report of the Managing Executive Director

(Corporate Services & Budget)

1. Divisions Affected

1.1 County-wide

2. Key Decision

2.1 This is not a Key Decision

3. Purpose

3.1 To present the Executive's Forward Plan for the period 1 July – 31 October and provide an opportunity for Cabinet to comment on future decisions for inclusion in the forthcoming Forward Plan.

4. Information and Analysis

4.1 An independent review of the Council's Scrutiny function was undertaken in 2020 by the Centre for Governance and Scrutiny. The report commented upon several areas, including the proposal for a

Forward Plan which looks to the future, for a period longer than the statutory requirement.

- 4.2 It was believed that such a Forward Plan would enable the four Improvement and Scrutiny Committees to prepare better informed work programmes. This will equally apply to the work programme of the new Improvement and Scrutiny Committee – Climate Change, Biodiversity and Carbon Reduction.
- 4.3 It has been agreed that a four-month rolling Forward Plan be considered by CMT and then by Cabinet on a monthly basis. This approach should improve planning and horizon-scanning.
- 4.4 In the interests of effective coordination and public transparency, the Forward Plan includes any item that is likely to require an Executive decision of Cabinet or Cabinet Member whether a key decision or not. The Forward Plan covers the forthcoming 4 months and will be updated on a rolling monthly basis. All items have been discussed and approved by the Corporate Management Team.
- 4.5 The Forward Plan is ultimately the responsibility of the Leader and Cabinet as it contains executive business due for decision. A copy of the Forward Plan covering the period 1 July – 31 October is attached at Appendix 2. This document was originally published on 12 May to comply with the requirements to give 28 days' notice of key decisions to be considered at the Cabinet meeting originally scheduled to take place on 10 June, but has subsequently been updated to reflect the revised date for this meeting. The Plan is presented to this meeting to give Cabinet the opportunity to discuss, amend or delete any item that is listed to be considered in the future and comment on any items to be included in the forthcoming Forward Plan.

5. Consultation

- 5.1 There is no requirement to consult in relation to the preparation of the Forward Plan.

6. Alternative Options Considered

- 6.1 Cabinet could decide not to agree with any of the items that are suggested for inclusion in the Plan. This would then be referred back to the Corporate Management Team.

6.2 Cabinet could decide to move the date for consideration of any item provided the requirement to give at least 28 days' notice of a key decision is met.

7. Implications

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

8. Background Papers

8.1 The Scrutiny Review 2020

9. Appendices

9.1 Appendix 1 - Implications

9.2 Appendix 2 - The Forward Plan for the period 1 July to 31 October 2021

10. Recommendation

10.1 That Cabinet notes the contents of the Forward Plan attached at Appendix 2 and comments on future decisions for inclusion in the Forward Plan, where appropriate.

11. Reasons for Recommendation

11.1 To promote the items that are due for decision by Derbyshire County Council's Executive during the forthcoming four-month period.

11.2 Whilst the Forward Plan cannot be an exhaustive list of all future decisions, to ensure as far as possible that the Forward Plan gives an indication of those decisions which it is known the executive will need to consider in the coming period and can therefore be used as a planning tool for managing the work programme of the executive and Improvement and Scrutiny Committees.

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

12.1 No

Report Author: Helen Barrington **Contact details:** helen.barrington@derbyshire.gov.uk

Implications

Financial

1.1 None directly arising from this report.

Legal

2.1 The Council is required by law to give to give 28 days' notice of key decisions that are scheduled to be taken by the Executive. A key decision is one which is financially significant, in terms of spending or savings, for the service or function concerned (more than £500,000), or which will have a significant impact on communities, in two or more divisions in the County. This legal obligation is discharged by including the necessary information in the 'Forward Plan'.

2.2 There is no legal requirement to have a four-month rolling Forward Plan, however it is good practice to do so to support effective work programmes for the executive and scrutiny functions.

Human Resources

3.1 None directly arising from this report.

Information Technology

4.1 None directly arising from this report.

Equalities Impact

5.1 None directly arising from this report.

Corporate objectives and priorities for change

6.1 The Forward Plan will include future decisions which support the Council's corporate objectives and delivery of the Council Plan priorities and deliverables.

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

7.1 None directly arising from this report.



FORWARD PLAN FOR THE FOUR MONTH PERIOD 1 JULY 2021 TO 31 OCTOBER 2021

This Forward Plan sets out the details of the executive decisions (key and non-key) which the Cabinet, individual Cabinet Members or Officers expect to take during the next four-month period.

Please note that a key decision is a decision to be taken by the Executive which:

- (1) is likely to result in the local authority incurring expenditure or making savings of above £500,000 and/or
- (2) is significant in terms of its effects on communities living or working in an area comprising two or more divisions/county electoral areas.

The current members of the Cabinet are:

Councillor Barry Lewis	Leader of the Council and Cabinet Member for Strategic Leadership, Culture and Tourism
Councillor Simon Spencer	Deputy Leader and Cabinet Member for Corporate Services and Budget
Councillor Carol Hart	Cabinet Member for Health and Communities
Councillor Tony King	Cabinet Member for Clean Growth and Regeneration
Councillor Natalie Hoy	Cabinet Member for Adult Care
Councillor Carolyn Renwick	Cabinet Member for Infrastructure and Environment
Councillor Kewal Athwal	Cabinet Member for Highways Assets and Transport
Councillor Julie Patten	Cabinet Member for Children's Services and Safeguarding
Councillor Alex Dale	Cabinet Member for Education

The information provided for each key decision includes a list of the documents which will be submitted to the decision maker. Further documents relevant to the matter may also be submitted to the decision maker.

Subject to any restriction on their disclosure, copies of, or extracts from, any document listed will be available on the County Council's website or for inspection at County Hall, Matlock, Derbyshire DE4 3AG at least five clear days before the meeting.

If you wish to request details of documents listed or further documents as they become

Subject: Use of GCloud Framework to Procure a Replacement Asset Management System - EXEMPT

Is this a key decision?	Yes
Date notice of key decision published	10 February 2021
Date decision to be made	8 July 2021
Decision to be taken by	Cabinet
Relevant Cabinet portfolio	Highways, Asset and Transport
Documents to be submitted to the decision maker	Report of the Executive Director – Place
Lead Officer	Teri Ford – Project Officer Email: Teri.Ford@derbyshire.gov.uk
Improvement and Scrutiny Committee	Places

Subject: Report Seeking Approval to Procure Projects Missing from Latest Departmental Forward Plan

Is this a key decision?	Yes
Date notice of key decision published	9 June 2021
Date decision to be made	8 July 2021
Decision maker	Cabinet
Relevant Cabinet portfolio	Highways, Asset and Transport & Infrastructure and Environment
Documents to be submitted to the decision maker	Report of the Executive Director – Place
Lead Officer	Haydn Beebe – Senior Procurement Officer, Finance Email: Haydn.Beebe@derbyshire.gov.uk
Improvement and Scrutiny Committee	Places

Subject: Domestic Abuse Act – Local Implementation

Is this a key decision?	Yes
Date notice of key decision published	9 June 2021
Date decision to be made	8 July 2021
Decision maker	Cabinet
Relevant Cabinet portfolio	Health & Communities
Documents to be submitted to the decision maker	Report of the Director – Organisation Development & Policy
Lead Officer	Christine Flinton e-mail christine.flinton@derbyshire.gov.uk
Improvement and Scrutiny Committee	People

Subject: People Strategy

Is this a key decision?	No
Date notice of key decision published	n/a
Date decision to be made	8 July 2021
Decision maker	Cabinet
Relevant Cabinet portfolio	Corporate Services & Budget
Documents to be submitted to the decision maker	Report of the Director – Organisation Development & Policy
Lead Officer	Jen Skila e-mail jen.skila@derbyshire.gov.uk
Improvement and Scrutiny Committee	Resources

Subject: Council Plan and Medium-Term Financial Plan update

Is this a key decision?	Yes
Date notice of key decision published	12 May 2021
Date decision to be made	8 July 2021
Decision maker	Cabinet
Relevant Cabinet portfolio	Strategic Leadership, Culture, Tourism & Climate Change
Documents to be submitted to the decision maker	Report of the Managing Executive Director
Lead Officer	Emma Alexander e-mail emma.alexander@derbyshire.gov.uk
Improvement and Scrutiny Committee	Resources

Subject: A61 Growth Corridor Strategy Funding for Chesterfield Station Masterplan Hollis Lane Link Road Phase 1 – **Appendix 2 is EXEMPT**

Is this a key decision?	No
Date notice of key decision published	n/a
Date decision to be made	8 July 2021
Decision to be taken by	Cabinet
Relevant Cabinet portfolio	Highways, Assets and Transport
Documents to be submitted to the decision maker	Report of the Executive Director – Place
Lead Officer	Jim Seymour – Project Officer Email: Jim.Seymour@derbyshire.gov.uk
Improvement and Scrutiny Committee	Places

Subject: Quarter 4 Council Plan Performance and budget update

Is this a key decision?	Yes
Date notice of key decision published	13 May 2021
Date decision to be made	8 July 2021

Decision maker	Cabinet
Relevant Cabinet portfolio	Strategic Leadership, Culture, Tourism & Climate Change
Documents to be submitted to the decision maker	Report of the Managing Executive Director and Director of Finance & ICT
Lead Officer	Emma Alexander – Managing Executive Director
	e-mail emma.alexander@derbyshire.gov.uk
Improvement and Scrutiny Committee	Resources

Subject: Use of ESPO Estates Management Professional Services Framework - EXEMPT

Is this a key decision?	Yes
Date notice of key decision published	9 June 2021
Date decision to be made	8 July 2021
Decision maker	Cabinet
Relevant Cabinet portfolio	Corporate Services & Budget
Documents to be submitted to the decision maker	Report of the Director of Property
Lead Officer	Richard Mottram
	e-mail richard.mottram@derbyshire.gov.uk
Improvement and Scrutiny Committee	Places

Subject: Outcome of the Statutory Consultation on Mickley Infant School

Is this a key decision?	No
Date notice of key decision published	n/a
Date decision to be made	8 July 2021
Decision maker	Cabinet
Relevant Cabinet portfolio	Children's Services & Safeguarding
Documents to be submitted to the decision maker	Report of the Executive Director – Children's Services
Lead Officer	Sue Pegg
	e-mail sue.pegg@derbyshire.gov.uk
Improvement and Scrutiny Committee	People

Subject: Outcome of the Statutory Consultation on the Change of Age Range at Brackenfield Special School

Is this a key decision?	No
Date notice of key decision published	n/a
Date decision to be made	8 July 2021
Decision maker	Cabinet
Relevant Cabinet portfolio	Children's Services & Safeguarding
Documents to be submitted to the decision maker	Report of the Executive Director – Children's Services

Lead Officer Jenny Webster
Improvement and Scrutiny Committee e-mail jenny.webster@derbyshire.gov.uk
People

Subject: Markham Vale – Delegated Decisions **EXEMPT**

Is this a key decision? No
Date notice of key decision published n/a
Date decision to be made 8 July 2021
Decision maker Cabinet
Relevant Cabinet portfolio Clean Growth & Regeneration
Documents to be submitted to the decision maker
Lead Officer Peter Storey
Improvement and Scrutiny Committee e-mail peter.storey@derbyshire.gov.uk
Places

Subject: Voluntary and Community Sector Review

Is this a key decision? Yes
Date notice of key decision published 9 June 2021
Date decision to be made 29 July 2021
Decision maker Cabinet
Relevant Cabinet portfolio Adult Care/Health & Communities
Documents to be submitted to the decision maker Report of the Managing Executive Director
Lead Officer Sarah Eaton
Improvement and Scrutiny Committee e-mail sarah.eaton@derbyshire.gov.uk
Places

Subject: Project Management within Corporate Property

Is this a key decision? Yes
Date notice of key decision published 9 June 2021
Date decision to be made 29 July 2021
Decision maker Cabinet
Relevant Cabinet portfolio Corporate Services & Budget
Documents to be submitted to the decision maker Report of the Director of Property
Lead Officer Stuart Knight
Improvement and Scrutiny Committee e-mail stuart.knight@derbyshire.gov.uk
Resources

Subject: Quarter 1 Council Plan Performance and budget update

Is this a key decision?	Yes
Date notice of key decision published	13 May 2021
Date decision to be made	9 September 2021
Decision maker	Cabinet
Relevant Cabinet portfolio	Strategic Leadership, Culture, Tourism & Climate Change
Documents to be submitted to the decision maker	Report of the Managing Executive Director and Director of Finance & ICT
Lead Officer	Emma Alexander – Managing Executive Director e-mail emma.alexander@derbyshire.gov.uk
Improvement and Scrutiny Committee	Resources

Subject: Quarter 2 Council Plan Performance and budget update

Is this a key decision?	Yes
Date notice of key decision published	13 May 2021
Date decision to be made	9 December 2021
Decision maker	Cabinet
Relevant Cabinet portfolio	Strategic Leadership, Culture, Tourism & Climate Change
Documents to be submitted to the decision maker	Report of the Managing Executive Director and Director of Finance & ICT
Lead Officer	Emma Alexander – Managing Executive Director e-mail emma.alexander@derbyshire.gov.uk
Improvement and Scrutiny Committee	Resources

Subject; Budget Consultation

Is this a key decision?	Yes
Date notice of key decision published	13 May 2021
Date decision to be made	10 February 2022
Decision maker	Cabinet
Relevant Cabinet portfolio	Strategic Leadership, Culture, Tourism & Climate Change
Documents to be submitted to the decision maker	Report of the Director of Finance & ICT
Lead Officer	Pete Handford e-mail pete.handford@derbyshire.gov.uk
Improvement and Scrutiny Committee	Resources

Subject: Revenue Budget Report 2022-23

Is this a key decision?	Yes
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Date notice of key decision published	13 May 2021
Date decision to be made	10 February 2022
Decision maker	Cabinet
Relevant Cabinet portfolio	Strategic Leadership, Culture, Tourism & Climate Change
Documents to be submitted to the decision maker	Report of the Director of Finance & ICT
Lead Officer	Pete Handford e-mail pete.handford@derbyshire.gov.uk
Improvement and Scrutiny Committee	Resources

Subject: Capital Programme Approvals, Treasury Management and Capital Strategy

Is this a key decision?	Yes
Date notice of key decision published	13 May 2021
Date decision to be made	10 February 2022
Decision maker	Cabinet
Relevant Cabinet portfolio	Strategic Leadership, Culture, Tourism & Climate Change
Documents to be submitted to the decision maker	Report of the Managing Executive Director and Director of Finance & ICT
Lead Officer	Pete Handford e-mail pete.handford@derbyshire.gov.uk
Improvement and Scrutiny Committee	Resources

Subject: Quarter 3 Council Plan Performance and budget update

Is this a key decision?	Yes
Date notice of key decision published	13 May 2021
Date decision to be made	10 March 2022
Decision maker	Cabinet
Relevant Cabinet portfolio	Strategic Leadership, Culture, Tourism & Climate Change
Documents to be submitted to the decision maker	Report of the Managing Executive Director and Director of Finance & ICT
Lead Officer	Emma Alexander – Managing Executive Director e-mail emma.alexander@derbyshire.gov.uk
Improvement and Scrutiny Committee	Resources

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FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

17 June 2021

**Joint Report of the Managing Executive Director – Commissioning
Communities and Policy and the Executive Director – Place**

Transfer of the Community Services Division

**(Strategic Leadership, Culture, Tourism and Climate Change, Health and
Communities, Infrastructure and Environment)**

1. Divisions Affected

1.1 Not applicable

2. Key Decision

2.1 This is not a Key Decision

3. Purpose

3.1 To approve the transfer of the Community Services Division (except Community Safety), and associated budgets, between the Commissioning, Communities and Policy (CCP) Department and the new Place Department.

4. Information and Analysis

4.1 Full Council agreed at its meeting on 2 December 2020, to rename the Economy, Transport and Environment Department to Place on the appointment of the new Executive Director, Place on 17 May 2021.

- 4.2 The Place Department brings together those critical and universal front-line services that are most frequently used by the wider public. The improved integration and coordination of these services are important in a number of areas:
- Post-Covid economic recovery to improve infrastructure, facilities, training and skills.
 - Better community resilience and improved local response to climate change.
 - Addressing the public and private transport challenges to support a vibrant local economy in a sustainable manner.
 - Support the wider levelling up agenda both locally and regionally.
- 4.3 In March 2021, in order to better coordinate and deliver place-based services in a challenging environment, the Managing Executive Director (CCP) approved proposals to reconfigure the existing functions in the Place Department under three new Director roles; Economy and Regeneration, Environment and Transport, and Highways. Two of the Director roles are currently vacant on an established basis and recruitment to these roles is underway.
- 4.4 The Community Services Director retired at the end of March 2021 and this presented the Council with an opportunity to consider the best structural fit for the community services functions going forward. Consideration of how functions were structured in the Place department was already underway and it was concluded that incorporating the majority of the universal front line community-based services, which previously sat in CCP, (comprising libraries, archives, arts and culture, museums and trading standards) within the Place structure would strengthen and integrate the role those functions could play in the community. It is proposed that Libraries and Heritage services will become a separate sub-division within Economy and Regeneration Division, reporting to the Director. The Trading Standards function will also move to the division as part of a new Planning and Public Protection sub-division, along with Planning and Highways Development Control. Staff within these services will be included in the wider restructure of the Place Department once the three Director roles are in post. The proposals for the new Economy and Regeneration division are shown in Appendix 2.
- 4.5 The Community Safety function would remain in CCP and be based in the Policy and Strategy team within the Organisation Development and Policy Division.

4.6 However, due to the timings, it has been necessary to put in place interim management arrangements for Community Services, following the retirement of the Director. Libraries and Heritage is temporarily reporting into to the Director of Finance & ICT. Trading Standards is temporarily reporting to the Assistant Director for Legal Services. It is proposed that Community Safety will remain in CCP permanently and transfer to the Policy and Strategy team within the Organisation Development and Policy Department and those interim management arrangements are currently in place. These arrangements have been made to allow the services to remain within CCP until approval for the permanent transfer can take place.

4.7 The Community Services Division employs around 284 full and part time staff and approximately 150 relief staff, the majority of whom are in the libraries service. The Division also has a budget of around £9.021m, made up as follows:

	£m
Libraries (branch, mobile and materials)	5.011
Museums Service	0.124
Derbyshire Records Office	0.412
Headquarters and support services	0.857
Arts Development	0.006
Trading Standards	1.283
Community Safety	1.327
Total	9.021

4.8 Cabinet approval is therefore sought for the transfer of £7.694m budget and associated staff from the libraries, archives, arts and culture, museums and trading standards services from CCP into the Place Department. In addition to the transfer of services, Cabinet is asked to approve the transfer of relevant powers associated with these services, which are currently delegated from Cabinet to the Managing Executive Director, to the Executive Director – Place. Until the three Directors are in place, it is not practical to fully establish the new Place divisions, therefore, the transfer will occur upon the appointment of the three Directors, which is likely to be concluded no later than October 2021.

4.9 The £1.327m budget for Trading Standards will remain in CCP and be transferred to the Organisation Development and Policy Division of CCP.

5. Consultation

5.1 There is no requirement for formal consultation on these proposals as there are no changes proposed to the delivery of the various services to

the public and partners organisations. As there are implications for line management and reporting, briefing sessions have been held with all staff involved and with trades unions.

6. Alternative Options Considered

- 6.1 Do Nothing – the option to retain the whole of community services within CCP was considered and would have meant a continuation of the previous management arrangements. However, this do-nothing option would miss the opportunity to fully integrate community services functions into the new Place Department’s focus on post-Covid economic recovery, especially in the areas to improve training and skills and create better community resilience. The retirement of the Community Services Director in March 2021 also presented the opportunity to revise management of the services and deliver savings.
- 6.2 Alternative Do Something – consideration was given to transferring the whole of the Community Service Division to the Place Department, which would have included Community Safety services. However, it is considered that Community Safety services are better placed to deliver on wider, corporate initiatives, such as health and safety and Safer Derbyshire if they remain in CCP to influence countywide policies and strategies.

7. Implications

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

8. Background Papers

- 8.1 None identified.

9. Appendices

- 9.1 Appendix 1- Implications.
- 9.2 Appendix 2 - Proposed structure of the Economy and Regeneration Division showing transferred community services functions.

10. Recommendation(s)

That Cabinet:

- a) Approves the transfer of the libraries, archives, arts and culture, museums and trading standards services of the Community Services Division of the Commissioning, Communities and Policy Department to the new Place Department, together with the appropriate staff and budgets.
- b) Approves the transfer of the Community Safety Team from the Community Services Division to the Organisation development and Policy Division within the Commissioning, Communities and Policy Department, together with the appropriate staff and budgets.
- c) Approves the transfer of delegation 1 (a), (b) and (c) to the Executive Director – Place within Appendix 1 of the Constitution and for the Constitution to be amended according, with the amendments being noted by full Council.

11. Reasons for Recommendation(s)

- 11.1 To better coordinate and deliver place-based services across Derbyshire
- 11.2 To better integrate community safety initiatives with wider corporate activity.
- 11.3 To enable the services to be delivered effectively and efficiently.

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

- 12.1 No.

Report Author: Geoff Pickford

Contact details: 01629 538194

Implications

Financial

- 1.1 The proposed temporary change in management of the Community Services division from a Service Director and two Heads of Service to three Heads of Service will produce annual savings of £28,797 (based on maximum of salary bands). There may also be a one-off saving of £21,933 generated by the interim appointment to the Head of Libraries & Heritage subject to them continuing to undertake their permanent role from April through to September. There may be additional savings once the permanent management arrangements within the Economy and Regeneration Division are known.

Legal

- 2.1 Currently, there are specific delegations to the Director – Community Services. Some of these will remain with CCP, but some will transfer to Place.
- 2.2 The report proposes a number of temporary and interim arrangements before the full transfer to the Place Department can occur. Under delegation 2 to the Executive Director for CCP, it is permitted for the Managing Executive Director to confirm these interim arrangements and to allocate or re-allocate responsibility for exercising particular delegations to any officer of the council in the interests of effective corporate management.
- 2.3 For the permanent arrangements, delegations from Cabinet for a number of community services functions (such as trading standards) will pass to the Executive Director – Place. Cabinet is therefore requested to approve the transfer of delegation 1 (a), (b) and (c) to the Executive Director – Place within Appendix 1 of the Constitution and for the Constitution to be amended accordingly, with the amendments being noted by full Council. The Executive Director – Place will be able to delegate these powers under the departmental scheme.

Human Resources

- 3.1 Trade Unions and employees affected by the interim and proposed permanent changes have been fully briefed and there is ongoing engagement. No current employee will be placed at risk of redundancy as a result of these proposals so there is no requirement for formal consultation. Any subsequent proposals to staffing structures will be

subject to normal Council approvals procedures for restructuring services.

Information Technology

- 4.1 The proposals in the report will alter line management arrangements but do not change the nature of the work or the services provided. There are therefore no IT issues as a result of the report's recommendations.

Equalities Impact

- 5.1 It is expected that the nature of the services and the manner in which they are delivered will not be affected by the proposals set out in this report. There are therefore no equalities issues raised by the report's recommendations.

Corporate objectives and priorities for change

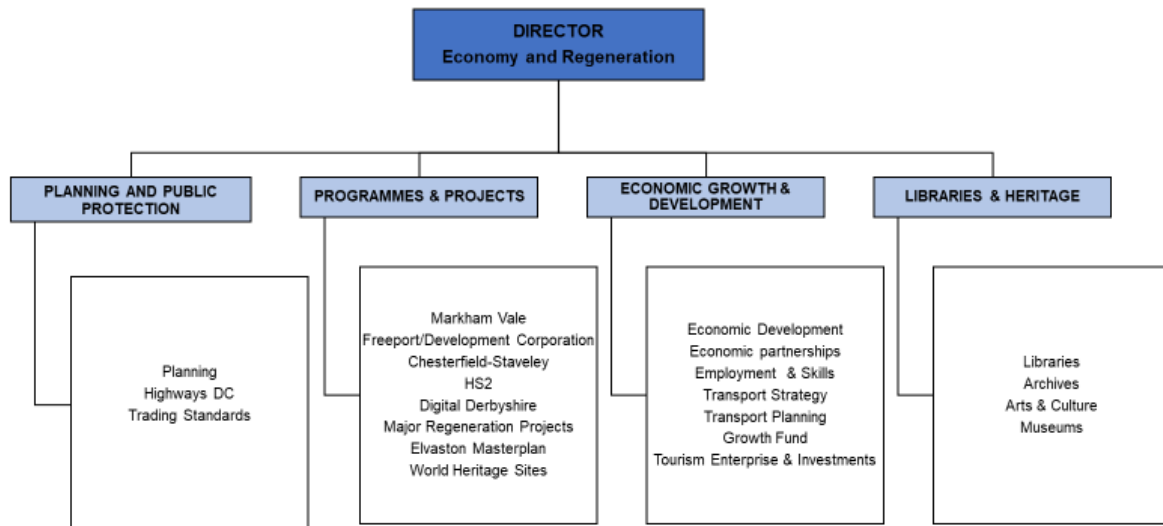
- 6.1 The proposals in this report are expected to deliver the outcomes set out in 4.2, with particular emphasis on a countywide recovery from Covid and improved community resilience. In this respect, the proposals will directly help in delivering the Council Plan priorities for creating resilient, healthy and safe communities and providing high-performing, value for money and resident-focused services.

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

- 7.1 None arising directly from this report. Individual projects may involve the acquisition of property as they progress.

Appendix 2

Proposed Structure of the Economy and Regeneration Division, showing Community Services Functions





Agenda Item

FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

17 June 2021

Report of the Director of Public Health

Refresh of the Local Outbreak Management Plan
(Health and Communities)

1. Divisions Affected

1.1 County-wide

2. Key Decision

2.1 This is not a Key Decision.

3. Purpose

3.1 Cabinet is asked to:

- a) Note the attached revised Local Outbreak Management Plan which was submitted to the Department of Health and Social Care on 31 March 2021.
- b) Note that Local Outbreak Management Plan is a live document and that the Leader of the Council and Member for Health and Communities will be briefed on significant changes to the plan due to the evolving nature of the pandemic.
- c) Note the additional funding received from Central Government to support the delivery of the Local Outbreak Management Fund and agree that expenditure is prioritised against the aims and ambitions outlined in the Local Outbreak Management Plan

4. Information and Analysis

- 4.1 Public Health Authorities in England have a lead role in protecting and improving the health of the population in relation to the pandemic. Within the Public Health Authority, the Director of Public Health has a responsibility for the Authority's contribution to health protection matters, preparing for and responding to incidents that present a threat to public health.
- 4.2 Local Authorities have an ongoing statutory responsibility to have Local Outbreak Management Plans (LOMPs) for responding to emergencies in their areas as part of their existing duty for safeguarding and protecting the health of their population.
- 4.3 In July 2020 Derbyshire produced an Outbreak Management Plan which outlined the system wide response to COVID-19. This has proved to be an important operational and technical document which has helped shape the response to COVID-19 over the past nine months.
- 4.4 Publication of the Government's Roadmap for exiting national lockdown, the accompanying refresh of the Contain Framework and an increasing focus on Variants of Concern (VOC) highlight the importance of local authorities urgently reviewing and updating their Local Outbreak Management plans in order to ensure they remain fit for purpose as well as aid national understanding.
- 4.5 In early March 2021 the Department for Health and Social Care (DHSC) requested all Public Health Authorities refresh their current plan. The refresh provides local authorities with the opportunity to detail and reflect on the broad range of activity taking place in relation to the ongoing response to the pandemic.
- 4.6 The document is intended to be updated and reviewed on a regular basis to reflect changes in the local and national position. The Plan attached as Appendix 1 has been submitted to the DHSC and is agreed. The following groups were engaged in the revision of the Plan:
 - Derbyshire COVID19 Local Engagement Board
 - Derby and Derbyshire COVID19 Health Protection Board
 - Derby and Derbyshire Local Resilience Forum Strategic Co-ordinating Group
- 4.7 To support the delivery of the LOMP, the Council has received additional funding from central Government to support the ongoing response to the COVID-19 pandemic via the Contain Outbreak Management Fund. These costs are outlined in the financial considerations section of the report.

4.8 Cabinet previously received a report in January 2021 outlining how Derbyshire’s initial allocation of Contain Outbreak Management Fund would be spent. It is proposed the additional funding continues to be used against the same priorities to manage and mitigate the impact of the pandemic in line with the aims and objectives of the Local Outbreak Management Plan. In summary activity will take place against the following priorities:

- Communications
- Test and Trace as part of a Local Health Protection response
- Behavioural Insights
- Community-based approaches and interventions
- Enforcement of regulations
- Support for those who are self-isolating.
- Enhanced Infection Prevention Control measures in vulnerable populations

5. Alternative Options Considered

5.1 The refresh of the Local Outbreak Management Plan is a national requirement so no other options were considered.

6. Implications

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

7. Background Papers

7.1 [The Contain Framework](#)

7.2 [Cabinet Report – Investment of Contain Outbreak Management Fund- 14 January 2021](#)

7.3 [Cabinet Report – COVID-19 Outbreak Management Plan and Test and Trace Communications Strategy– 30 July 2020](#)

8. Appendices

8.1 Appendix 1- Implications.

8.2 Appendix 2 – Local Outbreak Management Plan

9. Recommendation(s)

Cabinet is asked to:

- a) Note the attached revised Local Outbreak Management Plan which was submitted to the Department of Health and Social Care on 31 March 2021.
- b) Note that this is a live document and that the Leader of the Council and Cabinet Member for Health and Communities will be briefed on significant changes to the plan due to the evolving nature of the pandemic.
- c) Note the additional funding received from Central Government to support the delivery of the Local Outbreak Management Fund and agree that expenditure is prioritised against the aims and ambitions outlined in the Local Outbreak Management Plan
- d) Approve continuation of the delegated authority to the Director of Public Health and Cabinet Lead for Health and Wellbeing to support rapid deployment of funding to implement the Local Outbreak Management Plan

10. Reasons for Recommendation(s)

10.1 Cabinet are asked to note the Local Outbreak Management Plan as a key document for the authority in relation to the COVID-19 response.

10.2 Making the Local Outbreak Management Plan a live document will ensure it remains up to date and reflects the latest stage of the ongoing response.

10.3 Aligning the additional funding to the implementation of the Local Outbreak Management Plan will ensure that the grant conditions are fulfilled.

10.4 Providing delegated authority to the Director of Public Health and Cabinet Lead for Health and Wellbeing will allow the funding to be used in a timely and responsive manner to respond to local outbreaks and incidents of COVID-19.

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

11.1 No

Report Author: Ellen Langton, Public Health Lead – Policy
Contact details: ellen.langton@derbyshire.gov.uk

Implications

Financial

- 1.1 For 2020-21 DCC has been allocated a total Contain funding grant of £20.182m of which £19.058 m which has been rolled over to 2021-22. A further £3.958m of Contain funding has also been allocated via a grant funding arrangement from the Department of Health and Social Care for 2021-22. Expenditure associated with the delivery of the Local Outbreak Management Plan will utilise the Contain framework grant funding.
- 1.2 The authority is also able to claim additional funding in arrears for Community Testing.

Legal

- 2.1 Delegated authority remains in place to enable the Director of Public Health and Cabinet Member for Health and Communities to rapidly implement the Local Outbreak Management Plan. Where appropriate additional approvals from Cabinet/ Cabinet Member will be sought in line with the council's constitution and financial regulations.

Human Resources

- 3.1 No implications.

Information Technology

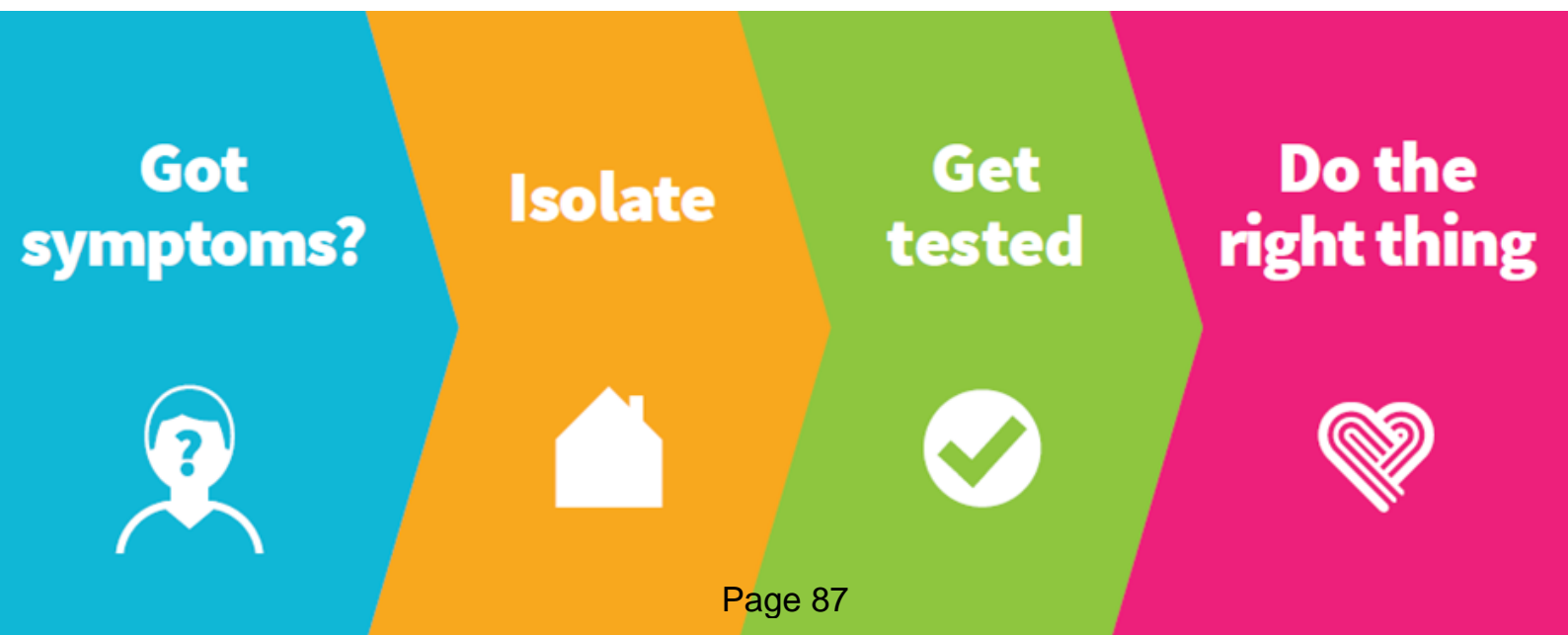
- 4.1 No implications.

Corporate objectives and priorities for change

- 5.1 Supports the 'effective early help for individuals and communities' priority. Specifically, the action regarding undertaking local Covid-19 testing and contact tracing activity and provided advice to schools, care homes, businesses and communities to help manage the spread and outbreaks of Coronavirus.

Appendix 2

Derbyshire COVID-19 Local Outbreak Management Plan March 2021



Document control

Title: Local Outbreak Management Plan Refresh

Version: 1.1 – web friendly version

Original Authors Iain Little Deputy Director of Public Health, Ellen Langton, Public Health Lead (Policy), Derbyshire County Council

Contributions from: Amy Buckley, Ceri Davies, Helene Denness, Shirley Devine, Linda Drew, Richard Flint, Jo Hall, Anne Hayes, Ellie Houlston, Rachael Hughes, Claire Jones, Abid Mumtaz, Julie Odams. Dean Wallace Darran West.

Approved by: Department for Health and Social Care

Approved date: April 2021

This plan will evolve and develop as new resources and opportunities become available. Therefore, it is proposed that this plan is a live document which is regularly reviewed and updated to reflect the current position within the county.

Latest review date: 31 March 2021

Approved by:

- LRF Strategic Co-ordination Group
- Local Engagement Board
- COVID-19 Health Protection Board
- Public Health Senior Management Team
- Derbyshire County Council Corporate Management Team
- Health and Wellbeing Board – to be considered at July meeting
- Cabinet – to be considered at the start of the new municipal year in June.

Introduction and scope

COVID-19 is an infectious disease caused by a coronavirus (SARS CoV 2). Most people infected with the COVID-19 virus will experience mild to moderate respiratory illness and recover without requiring special treatment. Older people, and those with underlying medical problems like cardiovascular disease, diabetes, chronic respiratory disease, and cancer are more likely to develop serious illness. COVID-19 is best understood as a pattern of local outbreaks, rather than a national pandemic with a similar impact in every community. Test and trace systems in association with wider surveillance and evidence support local situational awareness of COVID-19. This information is then used to inform public health action to prevent and control disease spread.

Scope

In July 2020, Derbyshire's initial Local Outbreak Management Plan was published. This document refreshes the initial plan to incorporate a wider range of locally led or locally delivered activity introduced since initial publication, such as testing and contact tracing, the local actions that need to secure the successful delivery of the roadmap and the rollout of the vaccine programme. This document aims to provide an overarching strategic approach and a direction of travel, describing:

- Derbyshire's role and response within the overarching national contain framework.
- The approach and tools available locally for preventing, identifying and disrupting transmission of COVID-19 within Derbyshire.
- The approach and tools available locally for preventing, identifying and managing outbreaks of COVID-19 within Derbyshire.
- The wider public health measures which support the recovery from COVID-19 and maximise population health and wellbeing.
- Support for vaccine rollout and monitoring to maximise uptake.
- A targeted approach to reduce and prevent the impact of health inequalities and enduring transmission locally in relation to COVID-19.
- Processes and approaches to provide assurance locally, regionally and nationally with triggers for escalation where appropriate.
- An evolving approach which aligns with current and emerging national thinking and takes best practice from across the system on an ongoing basis.

As with the previous plan, this refreshed document remains a system-wide plan, and reflects the input required from all partners to continue to protect the local population from COVID-19.

A summary of learning from other areas which has informed the development of this plan is included as Appendix 1.

Strategic context

Throughout 2020, Derbyshire was significantly impacted by the pandemic, with many local people infected with the virus, many requiring treatment in hospital, and others losing loved ones to the disease. Throughout 2021 and beyond, COVID-19 will continue to have a significant impact on day-to-day lives and restrictions will remain in place throughout spring and into the summer months. Local residents will need to continue to adjust to live with the longer-term impacts of COVID-19, and others who have been shielding will be contemplating how their life returns to normal.

In addition to the direct impact of COVID-19, there has also been a wider impact to health through, for example, delayed treatment, late diagnosis of disease, an impact on mental health and wellbeing, digital inequality and higher rates of domestic violence. Individuals have also been impacted by changes to education, employment and financial insecurity, all of which will have adversely impacted personal wellbeing. There is no-one in Derbyshire that has not in some way been impacted by this pandemic, and it is important that professionals and communities work together to address future outbreaks and support recovery.

National context

Nationally, significant steps forward have been made in relation to the vaccine development supported by local roll-out, with a high proportion of people in the priority cohorts now having received their first dose of vaccine. As the vaccine roll-out progresses and further efforts take place to manage, mitigate and reduce the risk of COVID-19 continue, restrictions will be lifted in line with the [national roadmap outlined by the Prime Minister on 22 February](#). The roadmap focuses both on economic recovery and restoration of NHS capacity and services, which is welcomed. However, consideration of the varied impact COVID-19 has had across communities needs to be factored into planning. Issues in relation to inequality, wellbeing and vaccine hesitancy need to be addressed via a comprehensive system-wide approach to building sustainable communities.

The [Contain Framework](#) provides an overarching strategy and approach in terms of roles, responsibilities and key requirements for local authorities and local system partners, working alongside national and regional partners. The framework has helped shaped the content of this document and it will continue to be reviewed against the national framework. Partners in Derbyshire will continue to consider the local implementation of national policy, and work alongside regional colleagues from the Department of Health and Social Care, Public Health England, the Joint Biosecurity Centre, and NHS Test and Trace to provide appropriate assurance that the various elements of the framework are in place and being discharged effectively across Derbyshire.

In the longer term, the Contain Framework notes that planning will begin to move from a central incident response phase to many aspects of the COVID-

19 response being a core part of local infrastructure within local authorities' responsibilities for Public Health. This reflects the development of a more local, sustainable response to coronavirus.

The Contain Framework utilises the principles of subsidiarity and empowering local decision makers to support local delivery of outbreak management plans.

Local context

The latest data relating to COVID-19 within Derbyshire can be found online in a [weekly summary report](#). This, alongside more granular place-based data analysis continues to shape and inform both planning and response.

Through the implementation of the refreshed Local Outbreak Management Plan, Public Health and partners will continue to provide a mix of immediate, dynamic and flexible responses to emerging local and national COVID-19 related health protection matters across the local system.

Coronavirus does not respect borders or boundaries and people who live, work and socialise in Derbyshire move between different areas. This is particularly true for neighbouring authorities. The relationship with colleagues in Derby City is key and collaborative working has allowed a shared view on issues. Derbyshire County and Derby City share Local Resilience Forum (LRF) arrangements. The LRF governance effectively brings together key system partners strategically, tactically, and operationally to enable an effective and co-ordinated response. In addition, a joint Derbyshire County and Derby City COVID-19 Health Protection Board delivers assurance for the local pandemic response, and to provide specialist, technical and scientific advice to the local engagement boards.

A shared operational approach is in place between Public Health teams at Derbyshire County Council and Derby City Council to manage outbreaks impacting on both city and county residents. Equally, a shared approach to engagement and co-design is in place, and a joint programme of work to reduce inequalities in vaccine uptake is currently being delivered.

Alongside vaccination, non-pharmaceutical interventions remain the most effective way of limiting the impact of the disease. Throughout all the actions articulated in this plan a combined prevention approach will underpin all activity.

Increasingly, the approach will integrate both COVID-19 and non-COVID-19 related activity to ensure that collective resources are maximised and available to have the greatest possible positive impact on the health and wellbeing of the population of Derbyshire.

Aims and objectives

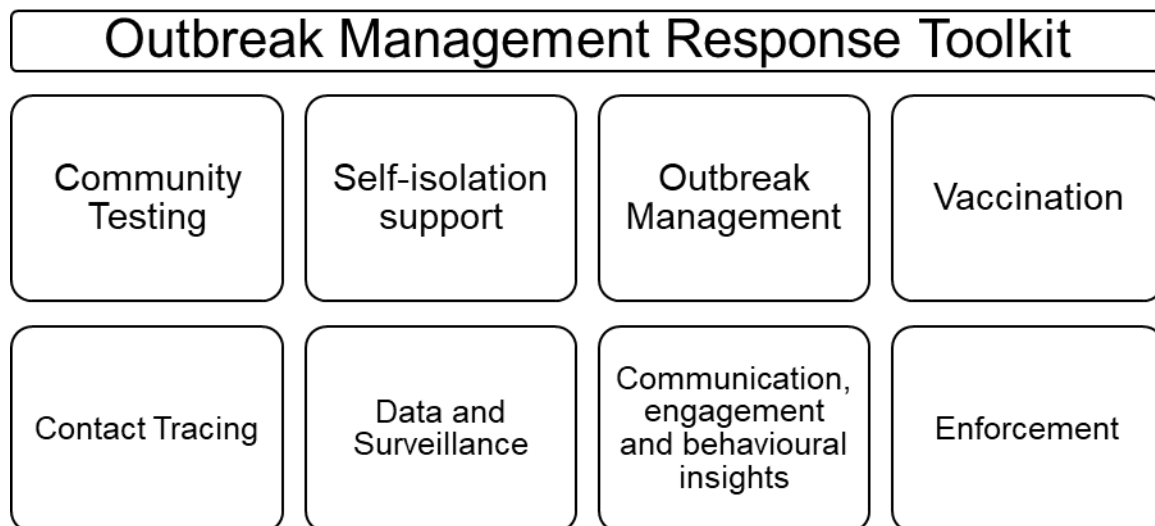
This plan has an overall system-wide aim to:

Work to protect the health and wellbeing of the population of Derbyshire County from the risks associated with COVID-19.

The aim is underpinned by four key objectives:

1. Preventing spread and impact of COVID-19.
2. Identifying and proactively managing outbreaks and incidents.
3. Ensuring service capability.
4. Enabling effective communication with the public and stakeholders.

This plan also provides more details about the toolkit of resources and actions that will help shape the local response, which will be flexed and scaled as required. These are summarised below:



The plan outlines how the local response will be applied to:

- Outbreaks across all settings, including those settings with higher risk of outbreaks occurring.
- Vulnerable and underserved communities to support prevention and response to cases of COVID-19 in these communities.
- Ongoing community transmission.

Roles and responsibilities

The response to COVID-19 across Derbyshire has been multi-agency and led by the Local Resilience Forum (LRF) Strategic Co-ordinating Group (SCG). Working through the Local Resilience Forum structures, partners ensure a coherent, collaborative system-wide response that makes the best of local resources on an ongoing basis.

The local system response to COVID-19 has expanded since the initial phase of the pandemic, and responsibilities relevant under this Local Outbreak Management Plan include:

- Implementation of the Local Outbreak Management Plan and co-ordination across partner organisations in responding locally to the COVID-19 pandemic.
- Epidemiological analysis and interpretation to support local decision-making.
- Delivering contact tracing as part of the Local Tracing Partnership programme.
- Providing additional enhanced local contact tracing, integrated with surveillance data and local community intelligence.
- Co-ordinating across partners and delivering specific elements of the health protection response, specifically around advice and assurance, including infection prevention and control.
- Co-ordinating and where appropriate delivering Incident Management Teams/approaches in relation to local area epidemiology and intelligence.
- Co-ordinating and where appropriate delivering Outbreak Control Teams in response to outbreaks.
- Co-ordinating and reinforcing public health messaging to encourage adherence to government guidance to help reduce the spread of COVID-19.
- Delivering a county wide community and settings asymptomatic testing programme.
- Providing advice on cases, exposures and outbreaks to educational establishments, including completion of risk assessments.
- Supporting vaccine roll out and uptake.
- Focussing on health inequalities across all outbreak management actions
- Leading, where required, the local response to variants of concern and activities such as surge testing.
- Local Enforcement.
- Developing communications campaigns, and engagement with local political leaders, as well as stakeholders and residents.
- Developing a community engagement programme.

Learning, reflection and assurance

Across the local system, partners will continue to actively learn and reflect on experiences and issues to date. System plans will be regularly reviewed and tested, where appropriate, to provide more assurance that plan can deal with worse case scenarios. To date, the systems and processes outlined in this plan in relation to outbreak response have demonstrated a robust approach in response to local outbreaks and incidents.

Additionally, formal evaluation of key elements of the local response will take place throughout 2021 to inform system planning and resilience in case there are further local or national waves of COVID-19 later in the year.

When appropriate, existing Local Resilience Forum structures will be stepped down and assurance that COVID-19 remains a key priority will remain within the local Integrated Care System and via the Health and Wellbeing Board. System-wide assurance will be provided for issues relating to health inequalities, enduring transmission and vaccine uptake.

Across Derbyshire, the Public Health team will continue to play a key role in:

- Bringing together leaders from across the public, private and voluntary sector to address longer term challenges, building informal relationships and trust to coordinate local pragmatic responses.
- Continuing to jointly solve problems by working together on cross cutting issues, recognising that not one part of the system can solve issues on its own.
- Talking openly about the future and the challenges that lie ahead together to develop a shared view on how to work through these issues and do what is right for Derbyshire.
- Formally evaluating and researching the impact of interventions and actively learning from these.
- Sharing and utilising relevant data across the system to provide a place-based system-wide view of health and wellbeing to provide assurances that the right actions continue to be taken and constructively challenge if required.

Where additional support is welcomed

- Continued discussion and advice about how systems, processes and approaches can evolve and adapt to effectively address key issues.

Part 1: Core aspects of the end-to-end COVID-19 response

There are a number of interventions that can be deployed to help suppress the transmission of COVID-19. Some of the interventions should always be deployed whilst others will depend on the local context and the rate of cases within the community. This section of the Derbyshire Local Outbreak Management Plan outlines key interventions as part of an overall package of measures, which together form an appropriate end-to-end local response, alongside the enablers which are detailed in Part 2.

Testing

Testing is the process of offering a diagnostic test to either symptomatic or asymptomatic individuals to identify the presence of infection. Rapid testing is an essential component of prevention and outbreak management to enable early identification. The local approach is aligned with national testing programmes and links to the national test and trace arrangements.

There are two main types of test being used in Derbyshire:

- **PCR tests** are designed to detect the presence of the disease via lab analysis and remain the most accurate testing method for COVID-19. This test has been used primarily to confirm that people with symptoms are COVID+.
- **Lateral flow swab antigen tests** are designed to detect the presence or absence of coronavirus without analysis in a lab and return rapid results in around 30 minutes. This means that they are well-suited for regular use by asymptomatic people, to find, identify and isolate potentially infectious individuals.

Symptomatic testing

Current position

Since the start of the pandemic Derbyshire has linked with national partners to set up a range of testing sites across the county. There are currently several permanent and mobile drive-through and walk-in sites available which individuals can book a test at via 119. Regular assessment, utilising local intelligence and data, ensures these sites are located in the most suitable locations to maximise uptake by the local population and that if required they are moved to deal with a specific issue or increase in cases in a locality.

Future plans

Derbyshire County Council will continue to support and develop this infrastructure as appropriate and continue to support people to access home testing kits as well.

Where additional support is welcomed

- Ability to offer PCR home testing kits to someone if they test positive via a lateral flow test in a community testing site, when Government guidance suggests that this is the right thing to do as case rates fall and the accuracy of lateral flow tests decreases.
- Explore door-to-door testing activity utilising PCR kits in communities where there is evidence of enduring transmission of COVID-19 and the epidemiology suggests this is the right thing to do.
- Clarity and consistency on the requirement for a confirmatory PCR test following a positive LFD test, to improve public understanding would be beneficial.

Asymptomatic testing

Current position

Lateral flow tests are being utilised as a case finding tool as it is suggested that one in three individuals with COVID-19 do not show symptoms, so if an individual returns a positive result they can isolate and protect others. Finding asymptomatic cases can reduce the spread of disease and protect more vulnerable people in the local community and asymptomatic testing needs to be appropriately targeted.

In December 2020, Derbyshire was the first local authority in the East Midlands to establish an asymptomatic community testing offer. Since then, in excess of 85,000 people have been tested at asymptomatic testing sites across the county. Derbyshire wants to continue to utilise new testing technologies throughout 2021 to identify asymptomatic individuals to minimise transmission of the virus, to prevent and detect large outbreaks early, targeting key workforce groups and protecting vulnerable communities.

Utilising additional asymptomatic testing capacity in Derbyshire has enabled key workforce groups to get tested on a regular basis to reduce the risk of spreading the disease via asymptomatic transmission.

A network of eight fixed community testing centres has been established, which means there is one in each locality. Fixed hubs are complemented by a flexible mobile or pop-up resource that allows additional testing capacity to respond to outbreaks, increase access to testing for hard to reach groups, and target local communities, particularly those in more rural locations. Sites for flexible testing are informed by regular data review and local intelligence from across the system. Increasingly, this approach will look to utilise smaller testing venues and mobile resources to encourage participation and engagement in the testing process in communities where there is an identified need to do so.

A model of testing which is both fixed and flexible, will remain in place until at least the end of June 2021, pending Government review and announcements

on a longer-term approach to community testing. Testing will continue to be heavily promoted to the whole population, but additional activity through the targeting of social media advertising and messaging will encourage participation. For example, targeted social media activity in the Bolsover area has encouraged people who do not have English as a first language to get regularly tested. Focussed communication has also been targeted towards younger working-age adults to increase the proportion of this age group accessing testing, as well as employee groups unable to work from home.

Derbyshire became a partner for the Community Collect testing model at an early stage. The Public Health Team has worked proactively with the DHSC to scale this model.

Testing is also facilitated through a range of national programmes and the local approach to asymptomatic testing will align wherever possible with the following national programmes:

- NHS patient facing staff: increasing the testing offer to test high-contact staff twice a week.
- Care home staff and residents: Increasing the frequency of testing, to twice weekly for staff and weekly for residents.
- Care Home visits: testing will be available for up to two visitors per resident to be tested twice a week in all care homes.
- Extra care and supported living staff and residents: twice weekly testing for staff and weekly for residents.
- Registered domiciliary care staff: testing available weekly.
- Other social care settings: testing other homecare workers, including personal assistants.
- Food manufacturing plants: beginning weekly testing for all staff.
- Antibody testing for the health and social care workforce.
- Secondary schools, universities and colleges.
- Early Years Settings.
- Workplaces.
- Closed settings including prisons and asylum centres: weekly testing for all staff and prisoners/residents.

Derbyshire will continue to target and facilitate access to testing across the following cohorts:

- Frontline key workers in critical professions and those who must attend work whilst stay at home guidance is in place.

- Frontline staff from other partner agencies such as the Fire Service and Police and district and borough councils (noting that NHS have alternative arrangements in place).
- Repeat testing in large workplaces where it has been identified there is a large outbreak which requires further investigation over a period of six to eight weeks.
- Repeat testing of employment groups at higher risk of infection/transmitting the virus through close contact with high numbers of the population, such as taxi drivers, hairdressers, tradespeople, cleaners that visit people's homes and supermarket workers.
- Additional repeat testing capacity to support identification of cases in areas with high case rates, where rapid testing of the population may take place to identify individuals who are asymptomatic but COVID+. This could be on the scale of a town, rather than across a whole district or borough.
- Repeat testing in workplaces and key industries to support Derbyshire's economic recovery e.g. workers that support critical infrastructure where private workplace testing is not being undertaken.

Case Study: Establishing a dedicated business focused testing centre.

As part of Derbyshire's pathfinder project for asymptomatic testing we established a small business-only testing centre in a portacabin on an industrial estate. We approached local businesses and offered them a block of appointments every week to allow their staff to regularly access testing. The appointment booking system gave businesses confidence that their employees would only be away from work for a short time and allowed us to maximise the use of the testing centre capacity. The initial pilot has engaged over 30 businesses, with over 4,000 tests completed by employees, and we are now looking to integrate this approach into our other testing centres across the county by establishing dedicated testing booths for local businesses. It has successfully helped to identify asymptomatic positive cases preventing further potential workplace outbreaks.

Future plans

Future plans for testing in Derbyshire include:

- Ensure asymptomatic testing is offered at scale for as long as is required to manage transmission of COVID-19.
- Seek to optimise local testing capacity by mixing fixed, flexible and bespoke testing options to appropriately manage the impact of COVID-19 in Derbyshire.
- Utilise a flexible testing resource to target asymptomatic testing where there is concern about case rates in a specific community or setting.
- Recognise that Derbyshire's large and varied geography may mean a range of testing options will need to be deployed at any one time and

these need to continually adapt the testing offer to target hard to reach groups.

- Implement a tailored local approach so people develop trust and see the added value in attending a local community testing centre.
- Explore how asymptomatic testing can become a greater part of day-to-day life which is linked to the wider local public health offer to ensure that opportunities for brief health interventions to make positive lifestyle changes are utilised to greatest effect.
- Implement the learning from an early evaluation of Derbyshire's Community Testing programme.

Where additional system support is welcomed

- Discussing with DHSC colleagues the longer-term approach to asymptomatic testing to enable forward planning.
- Understanding how home testing can be deployed in particularly hard to reach communities where due to rurality, deprivation or another factor it may be difficult for individuals to access testing centres.
- Working with regional colleagues in NHS Test and Trace to link local contact tracing and asymptomatic testing systems together more effectively.

Surge testing

Local Resilience Forum (LRF) system partners have developed a local response for surge testing, should there be a need to rapidly deploy either lateral flow or PCR testing to a defined geography within the county. Further details of this can be seen in the section regarding Variants of Concern/Variants under Investigation in Part 3 of this plan. A range of resources would be deployed including accelerated contact tracing and local workforce will ensure that positive, or probable, variant cases are strongly supported to comply with self-isolation.

Where additional system support is welcomed

- Urgent provision to Derbyshire of additional PCR test kits, lateral flow test kits and the necessary lab capacity to enable urgent and timely analysis to take place.
- Additional support to work across regions and/or local authority areas in response to an incident as required.
- Early sight of toolkits and resources to enable ongoing planning, including details of kit which is supplied nationally.

Contact tracing

The National Test and Trace service aims to ensure that anyone who returns a positive COVID-19 result is contacted to explain of the need to self-isolate and to identify close contacts to reduce the onward spread of the virus. The process of contact tracing allows the identification and monitoring of COVID-19 both locally and nationally.

In Derbyshire, contact tracing is undertaken via a hybrid approach of National Test and Trace and local contact tracing teams, and follows agreed standard operating procedures.

Current position

Derbyshire has been undertaking local contact tracing since the summer of 2020 to provide additional information than that collected by the National Test and Trace service. Local contact tracing teams utilise a positive and strengths-based conversation aimed to build trust that supports with self-isolation and provides to close contacts. Local calls have enabled us to identify local outbreaks and clusters at an early stage allowing for prompt action.

Case study: Identifying outbreaks in Derbyshire via local contact tracing

We were made aware of a potentially large COVID-19 outbreak at one of the county's main employment sites via our local review of NHS Test and Trace employment status information. We noted all the information on a timeline developed by the local contact tracing team to look at how cases may link. Following contact tracing calls and on-site investigation with the employer it became apparent some cases were linked via the workplace and others due to community transmission. We were able to accurately understand the true scale of the outbreak and provide appropriate advice and utilise the learning for similar such outbreaks.

Contract Tracing partnership

In November 2020, Derbyshire became a local tracing partner alongside the National Test and Trace service. Within the limitations of the national Test and Trace system, local contact tracing has been developed and embedded into local systems, utilising data, insight and local knowledge to make sure chains of transmission are disrupted, identify outbreaks and minimise the impact of COVID-19 in communities. Undertaking local contact tracing for all postcodes within the county has enabled the utilisation of information received within 24 hours of case notification data. Local contact tracers have sought to contact a person within 72 hours to discuss with them their health condition, their close contacts and whether further assistance or advice to enable them to self-isolate can be provided.

Local contact tracing alongside local community knowledge has allowed us to successfully identify local hotspots, clusters and linked cases that were

missed by the national team, which has then triggered action by wider parts of the outbreak management approach.

Case Study: Residents receive local support during self-isolation

As part of local contact tracing calls, we will ask a person if they require assistance to self-isolate. If so a referral will be made to Derbyshire's Community Response Unit so further conversations can take place with the individual about the help and financial support and other assistance they can receive locally. We hope that this will promote adherence with the guidance to self-isolate.

Future plans

The local contact tracing team undertakes enhanced contact tracing activity, and this is now evolving into the Outbreak Identification Rapid Response (OIRR). Additional investment in the team has enabled this approach to be further developed utilising data from Public Health England (PHE) and NHS Test and Trace to allow for focus on a small geography or setting.

The additional investment in this aspect of local provision will increase the proportion of Derbyshire cases managed locally. Maximising and integrating this approach with wider outbreak management and community testing activity is planned. Benefits of becoming a **Local 0**, where even more localised tracing takes place at a more rapid pace will be explored, and as part of this, an enhanced model incorporating face-to-face as well as phone-based activity will be developed to further increase the rates of successful follow-up.

Consideration will also be given to the role of the contact tracing team in supporting vaccine roll-out and uptake via outgoing calls to identified communities or individuals as part of a more integrated holistic service model.

Where additional system support is welcomed

- Ability to add cases directly to CTS, the contact tracing computer system, and undertake initial local based contact tracing conversations following a positive test result at a community testing centre.
- Increased local access to national systems and specialist resources to facilitate additional contact tracing activity.
- Increased sharing of information from COVID-19 app as venues re-open to inform contact tracing.
- Secure additional support from Public Health England to rapidly identify and prioritise clusters and outbreaks for contact tracing activity.
- Liaison with the national Trace team to ensure a localised model that effectively works to identify sources of transmission, prevent onwards transmission, and delivers a personalised service

Support for self-isolation

Throughout the pandemic making sure there is support for local people to self-isolate if they have tested positive for COVID-19, or are identified as a close contact, has been critical and is recognised as a complex part of the ongoing response. Derbyshire County Council, a wide range of partners and local communities have helped ensure that people have both the tools and resources to be able to self-isolate, and they feel safe and supported doing so. Effective self-isolation support will remain a key priority for local authorities and wider local system partners.

Current position

Since the early stages of the pandemic Derbyshire has sought to enable self-isolation by:

- Providing people with locally appropriate guidance, information and advice to enable them to access the Test and Trace Support Payment Scheme for self-isolation, if eligible.
- Providing additional income maximisation advice where appropriate by signposting to hardship funds and welfare rights advice.
- Making sure people can access essential food and other household supplies and prescription deliveries to enable effective self-isolation.
- Maintaining effective links with local mutual aid or other networks to deliver community-based support to individuals self-isolating.
- Responding to 9,600 calls to the Community Response Helpline requesting help and support from the council and its partners.
- Making sure communities across Derbyshire continue to prevent the spread of the disease and protect others by self-isolating.
- Providing information to employers to support employees to self-isolate.
- Using enforcement powers for individuals and businesses as a last resort.
- Giving advice and support to those within the same household to ensure they are not spreading the virus.

Case study: Learning from local experiences of self-isolation

There are locally several reasons that people find it hard to fully comply with self-isolation requirements and these include:

- A lack of understanding by the employee.
- Language barriers, which means individuals are not always aware of the requirement.
- Individuals do not feel ill themselves.
- Fear of losing their job.
- Other people they know haven't followed the guidance.
- No access to statutory sick pay as they are a temporary worker.
- Statutory sick pay does not cover key costs.

We are working hard locally to ensure people have enough financial support to self-isolate. We want to utilise the Contain funding allocated to Derbyshire to develop a range of support to remove barriers to self-isolation.

Future Plans

Next steps to increase compliance with self-isolation include further local tailoring and targeting of communications to maximise opportunities to support self-isolation. Locally, as reflected nationally there is concern that limited or non-compliance with self-isolation is increasing transmission. System-wide working in Derbyshire will continue to work proactively with any local employers that aren't supporting self-isolation.

Furthermore, by utilising a range of local mechanisms including mutual aid, access to the [Derbyshire Discretionary Fund](#) and practical or emotional wrap-around support, local partners will continue to commission and deliver appropriate localised efforts to increase rates of successful self-isolation. Local action will complement the Test and Trace Support Payment scheme, co-ordinated nationally and delivered via local district and borough councils.

Derbyshire Public Health are also looking to begin outgoing calls from the local Community Response Unit to allow people to talk through any concerns or anxieties they have with a view to increasing compliance.

Where additional system support is welcomed

- Engagement with regional and national colleagues in relation to the newly published self-isolation framework.
- Ability to have greater flexibility and support locally to enable people to self-isolate successfully and increase compliance.
- Utilise shared insight and learning from other areas to develop a more localised approach that is right for Derbyshire.

Outbreak management

A COVID-19 incident can be defined as ‘any incident involving COVID-19 which presents a real or possible risk to the health of the public and requires urgent investigation and management’.

An outbreak can be defined as ‘two or more persons with confirmed or suspected COVID-19, which are linked through common exposure, personal characteristics, time or location (time, place or person); or a greater than expected rate of COVID-19 infection compared with the usual background rate for the particular population and period’.

In order to ensure the effective management of COVID-19 risk and the effective response to COVID-19 outbreaks and incidents, it is essential that a range of organisations work together collaboratively, using combined specialist expertise, resource, and regulatory powers. The diagram below describes the roles of a range of organisations who support local outbreak management at a local level. How they link together is outlined in Appendix 2.



Current position

A comprehensive Outbreak Management structure is in place, co-ordinated by a multi-agency **Outbreak Control Meeting**, which is outlined in the governance section below. The Outbreak Control Meeting meets regularly throughout the week (daily when required) to review county, district and community rates, and seeks assurance from outbreak cells and incident management teams on actions in place to reduce transmission in settings and communities. Other groups and structures supporting the response are outlined on the next page.

Incident Management Teams

Incident Management Team (IMTs) structures exist across all district and boroughs in Derbyshire and they meet on a regular basis to co-ordinate the local response and provide both strategic and operational oversight. These meetings are comprised of a range of relevant place-based and system partners. The primary aim of an IMT is to protect public health by agreeing and co-ordinating activities across key stakeholders to manage the investigation and control of community transmission of COVID-19. The meetings document advice sought, and control measures taken and the chain of evidence (which may include contact and case details) with due consideration given to responsibilities to support investigations which may result in legal proceedings. The meetings add to surveillance across Derbyshire about COVID-19 transmission and identify lessons learnt.

Outbreak Control Teams

An Outbreak Control Team (OCT) is a formal meeting of all relevant system partners to address the control, investigation and management of an outbreak in a setting, or a discussion between two or more stakeholders following the identification of cases. An OCT could take the form of a single meeting or series of meetings depending on the nature of the outbreak. There are specific outbreak control teams in place for care homes, workplaces, educational settings and outbreaks in NHS facilities.

Strategic cells

Strategic cells have been established across the schools, care home and workplace functions that allows for shared learning across the separate outbreak control team structure to bring learning and assurance together across the system.

Working across local authority areas in relation to outbreak management

The management of risk of transmission across local authority boundaries through the movement of residents needs to be considered. Where larger clusters or outbreak involves cases and contacts from local authority areas outside of Derbyshire County, the outbreak will be managed through Derbyshire's outbreak management structure, but will rely on input from staff from neighbouring local authorities to inform action taken, and ensure collaborative cross-boundary working.

Outbreak Investigation and Rapid Response

Derbyshire has incorporated an Outbreak Investigation and Rapid Response (OIRR) approach in its outbreak management function, through use of local enhanced contact tracing, and analysis of common exposure datasets. The OIRR approach will be further strengthened in Derbyshire to provide a further enhanced timely systematic approach to identifying and investigating outbreaks, clusters and cases with each partner agency having a clearly

defined role, responsibility and actions to enable effective outbreak management.

Future Plans

To further develop the approach, work is taking place to effectively link together IMT, OCTs and strategic cells to provide a place-based view at a local district or borough level. This will provide robust and high-level assurance and enable rapid evaluation to assess if additional support is required via local or national partners to address an issue of concern at an early stage.

Where additional system support is welcomed

- To secure additional specialist outbreak prevention and control support to develop a response and longer-term support offer to settings, such as domiciliary care providers or supported living providers that fall outside of current infection prevention and control commissioning arrangements.

Part 2: Key enablers underpinning and defining the response

The end-to-end response described in Part 1 of this plan is strengthened through underpinning by key enablers which are shaping and defining the planning and implementation of actions in relation to the COVID-19 response in Derbyshire.

Surveillance and intelligence gathering

Communicable disease surveillance involves monitoring the frequency and distribution of disease, as well as the human impact including hospital admissions and deaths. Surveillance involves gathering a wide variety of data about a disease from a range of sources to provide a picture of emerging trends, geographical variations and the groups of people who are most affected or at risk. However, case information only tells part of the story, and within Derbyshire case data is used alongside intelligence gathered from other sources to inform the response.

The datasets available to the local Public Health team have been incorporated into a dashboard, using Power BI technology, that is updated daily, providing real-time information across all aspects of the local response. Examples include:

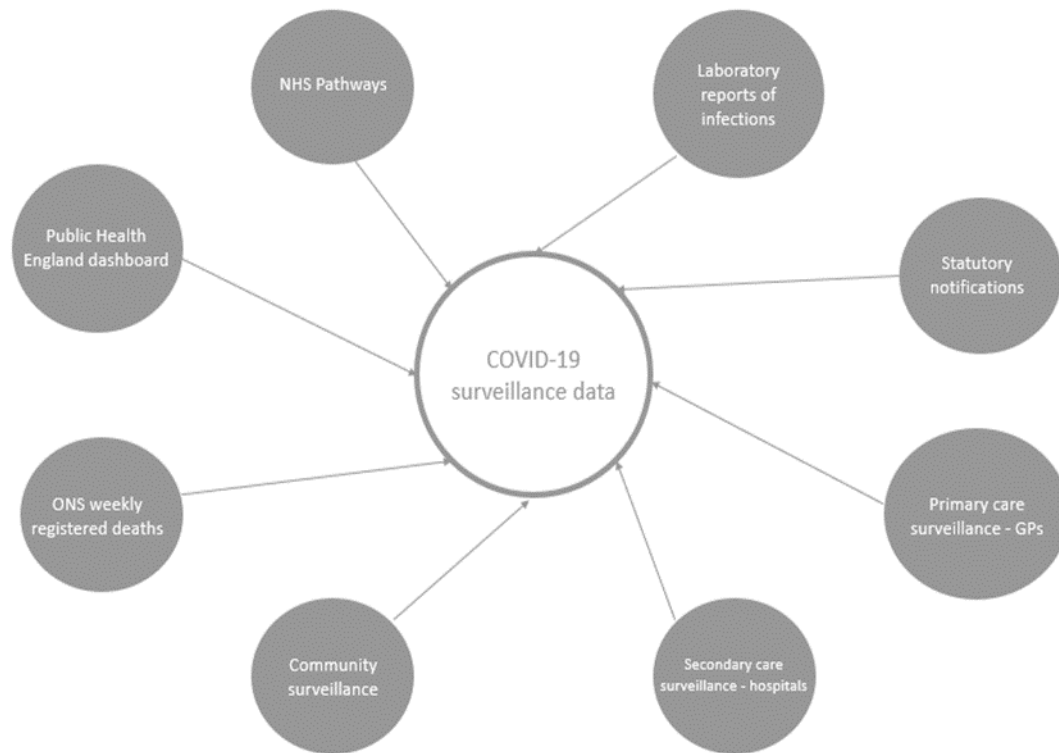
- Case rates by age, gender and small-level geography.
- Case trends.
- Hospitalisations.
- Activity at community testing sites.
- Common exposures.
- Details of outbreaks.

In addition, to support ongoing work a range of deep dives and briefing reports have been produced that explore specific areas and involve in depth analysis. A weekly surveillance report is published on the [council website](#). The report provides a summary of the count and 7-day rate of cases by week for Derbyshire, exploring districts at MSOA level.

Intelligence from other sources, including qualitative data, is collated, including from LRF partners and community sources to complement the surveillance data and as the basis for identifying appropriate action. Enhanced contact tracing provides an additional level of granularity building on data collected by the National Test and Trace service, and this is also utilised to identify possible causes of transmission within settings and communities.

Data has been integrated locally across a range of data sources and that information informs the risk matrix utilised to determine the local level of action. Examples of the data utilised are summarised in the diagram on the next page.

Public Health have submitted a proposal to conduct wastewater testing within certain localities across the County. Wastewater testing supports surveillance and provides additional monitoring in areas where access to symptomatic or asymptomatic testing is more limited.



Data and information from the NHS COVID-19 app will help us to identify additional actions required locally in relation to outbreak management and this will be further integrated into reporting and intelligence dashboards.

Additional local measures relating to health inequalities and communities will also need to be regularly reviewed alongside the measures of progress outlined in the national roadmap regarding vaccine deployment, vaccine effectiveness, infection rates and hospitalisations and data regarding variants of concern including for example:

- Case detection rates and testing.
- Prevalence.
- Rates at which cases are rising and falling across Derbyshire.
- Descriptive epidemiology in relation to variants.
- Vaccine uptake.
- Mobility.
- Deprivation.
- Ethnicity.
- Contact tracing.

As rates continue to reduce, small-area MSOA modelling is being added to our intelligence dashboard to allow us to identify areas of concern at an early stage. This will use a statistical process control methodology and will enable hyper-local analysis to support prompt response and action.

Increasingly it is recognised that surveillance in relation to COVID-19 needs to become part of business as usual activity for longer-term reporting and analysts are looking to simplify, rationalise and further integrate systems to ensure a streamlined approach that makes the best use of resource. This has started via the OIRR approach Derbyshire in which utilise two mains reports provided by PHE:

- 'Common Exposure' reports which uses contact tracing data from the 'backwards' period to identify shared locations, settings and activities reported by two or more cases in a defined period.
- 'Postcode Coincidence' reports which uses contact tracing from the 'forwards' period to identify where the case has been while infectious – and so potentially cause risk of transmission to others.

Where additional system support is welcomed

- Understanding how we can further link up data and insight across the response to inform local action plans and response and prevent issues developing.
- Enable system partners to undertake some surveillance and analysis by ensuring they are appropriately trained, and have access to relevant systems.
- Access to data in relation to vaccine take-up for both geographical communities and individuals with protected characteristics so Derbyshire Public Health can take action where there is lower uptake.
- Work with NHS Test and Trace and PHE to improve the data architecture and flow of data into our systems.

High risk settings, communities and locations.

Increasingly, it is recognised the importance of targeting the response to high risk settings within the county.

There are several locations such as prisons, care homes and supported living accommodation which may require a more specialist and longer-term offer of support to prevent and minimise the risk of COVID-19. Due to the quantity of concurrent outbreaks, it is not possible to hold OCTs for each outbreak across all settings, however, the governance structure ensures all outbreaks can be discussed and managed with all appropriate stakeholders involved in these discussions. In addition, there remains the facility to call an OCT for a specific setting, if required. Assurance can therefore be provided throughout the governance arrangements of details of all current outbreaks and actions being taken to control and mitigate risk of further transmission.

Workplaces

The local experience since the start of the pandemic assures us that many businesses in Derbyshire are compliant with COVID-19 requirements and have taken steps to make sure that workplaces are COVID-19 secure. However, some businesses have required support from PHE, environmental

health teams and Public Health, in conjunction with regulatory agencies where required, to manage outbreaks and mitigate risks of further transmission among their workforce. Of concern are the manufacturing and distribution sector, and domiciliary and home care agencies. Workplace OCT meetings are held weekly, on a district and borough footing to allow for review of all workplaces with outbreaks. A Workplace Outbreak Cell allows for sharing of good practice and learning across Derbyshire.

Care Homes

Outbreaks have occurred in many of Derbyshire's care homes. With the onset of the vaccination programme, the size and scale of outbreaks have reduced, however there continues to be a need to provide support to those care homes reporting cases. Regular support and advice are provided to care homes for the duration of an outbreak by specialist Infection, Prevention and Control teams, and by Adult Social Care.

Infection prevention control (IPC) is commissioned by Derby and Derbyshire Clinical Commissioning Group and Tameside and Glossop Clinical Commissioning Group. In the event of an outbreak or incident, local infection prevention and control teams will provide direct support to care settings with regards to Infection Control management as required, this may include providing specialist advice, education or training or support to settings.

A range of useful resources regarding IPC is available on the [council website](#).

Weekly multi-agency OCT meetings review all care homes with an outbreak to determine whether additional actions are required. A Care Home Outcome and Exposure Group allows for sharing of learning and good practice.

Education

In October 2020, Derbyshire County Council Public Health took responsibility from PHE for providing support to local schools, colleges and Early Years Settings. A dedicated Educational Settings Team was established, and weekly OCT meetings are held to review all educational settings with outbreaks. The team contact any educational setting that has reported an outbreak within one working day of receiving a notification of cases. Outbreak investigation should then begin within 2 working days. In the event of an OCT being required more urgently than the next scheduled meeting, an extraordinary meeting is convened, and an OCT for a specific educational setting can be convened if required.

A multi-agency group co-ordinate the COVID-19 response within the University of Derby, including campuses in Chesterfield and Buxton, and within the student population.

Other higher-risk settings

Derbyshire includes two prisons, HMP Foston and HMP Sudbury, a number of acute and community hospitals, as well as other health and care settings, in addition to hostels and other settings that provide accommodation to vulnerable individuals. There are also a number of higher risk businesses across the county, such as food manufacturers and distribution warehouses. In conjunction with PHE and NHS colleagues, using a settings-based approach, the organisations responsible for leading on the management of outbreaks in different settings has been agreed and is summarised as Appendix 3.

The lead agency for managing an outbreak will work alongside other partners to ensure that all aspects of outbreak management are included. For example, for outbreaks within local prisons, PHE are responsible for managing the outbreak, but through the IMT structures in South Derbyshire and Derbyshire Dales consideration is given as to whether there are any additional measures needed to take place in the community. This will include engagement with local MPs and elected members, as well as the local community.

Case study: HMP Sudbury and HMP Foston – managing an outbreak in partnership in a high-risk setting

Partners across the LRF worked together to provide a co-ordinated response to an outbreak in a high-risk setting. Specifically, the Derbyshire Health Protection Team:

- Acted on behalf of DPH to seek assurance.
- Provided knowledge and experience of uncharacteristic settings, which enabled them to provide insight of the nuances that may apply in an outbreak.
- Acted as main point of contact for PHE led OCTs.
- Ensured the COVID-19 mitigations were appropriate; i.e. preparing inmates for discharge or allowing inmates to attend the workplace.
- Provided information to DPH in a timely manner to enable preparation for members briefings and/or press inquiries.
- Ensured DCC commissioned services are delivered to the prisons in a safe and effective manner.
- Provided feedback to Test & Trace, outbreak management team or other local authority teams as required in order to facilitate communication, preparatory work and a proactive response.

Several community settings have been identified that currently do not have consistent access to specialist health protection input to manage COVID-19 outbreaks. These settings, including, but not limited to, supported and assisted living facilities, extra care facilities, domiciliary care providers and Children's residential homes. The settings are not covered by existing infection prevention control contracts, as provided to NHS facilities and care homes. A pathway has been developed to provide specialist health protection and infection prevention control support to these settings as required. An

initial risk assessment will be undertaken by Public Health England (PHE), with local follow up through the Derbyshire COVID-19 Workplace Cell. Where appropriate, environmental health teams will provide additional general support and advice, and highlight any settings that in their view require specialist health protection and/or IPC support. This advice and support will be provided by the Health Protection Team within Public Health.

Events

As restrictions are relaxed as part of the Government's Roadmap, performances, sports events and large gatherings will re-start. Learning from the Government's event research programme will be used to make sure appropriate arrangements are in place locally, including working collaboratively with colleagues in licensing teams in district and borough councils.

Vulnerable and underserved communities

Health inequalities underpins the Public Health response and broader activity within Derbyshire. Health inequalities and inequity have been exposed throughout the impact of COVID-19 both nationally and locally. Evidence in Derbyshire suggests a link between deprivation and a higher cumulative case rate per 100,000 people. Challenging and preventing health inequalities is vital in the longer-term response and recovery from COVID-19 and is a critical measure in relation to prevention and increasing resilience of communities.

Health inequalities are structural and a collaborative effort of professionals working alongside communities is required to help prevent them, and to build a more equal society where everyone has the same opportunities and access to support that enables positive health and wellbeing. Alongside the more practical and reactive response to COVID-19, Derbyshire Public Health is working alongside a range of local partners to seek to ensure that health inequalities are addressed as a priority during the recovery from the pandemic.

COVID-19 harm describes a range of impacts that diverse groups have experienced in different amounts. This includes specifically those identified as 'clinically vulnerable to COVID -19' and therefore identified as more likely to experience either severe illness, defined by a need for hospital admission, or death.

In the wider sense, harm from COVID-19 includes 'social vulnerability'. Many of these vulnerabilities existed prior to the pandemic, but of increasing concern is mental and financial wellbeing and local action will be required across the system.

Research has suggested that the wider determinants of health are a significant factor in relation to enduring transmission of COVID-19 and

therefore need to continue to be part of the local Public Health response. In summary key factors include:

- Deprivation: Enduring areas may have higher instances of 'unmet financial needs' and therefore compliance with interventions such as isolation, are lower and transmission is higher.
- Employment and Occupation: Enduring Areas may have a disproportionately high population in 'high contact/high risk' occupations, or insecure employment that do not allow them to work from home, will result in a greater risk of infection. In many instances insecure employment can result in financial hardship.
- Demographics and Household Composition: Enduring Areas may have a disproportionately high population living in high-density, multi-generational, overcrowded or poor-quality accommodation which drives persistent community transmission; and reduces ability/opportunity to self-isolate.
- Literacy, health literacy and digital connectivity: Enduring Areas may have a disproportionately high population with low literacy levels and/or ability to access digital information which drives persistent and high transmission rates. Digital exclusion increases vulnerability to misinformation and rejection of COVID-19 safe advice.
- Access to transport: Enduring Areas with communities that do not have suitable transport/are reluctant to use public transport may engage less with testing services.
- BAME communities: [Research by Public Health England](#) suggests that death rates from COVID-19 were higher for Black and Asian ethnic groups when compared to White ethnic groups. However, this research does not take into account the effect of occupation and other risk factors which are associated with COVID-19 and place people at increased risk.

Across Derbyshire there are communities that continue to be at higher risk of the impact of COVID-19 due to occupation and enduring transmission. At IMT meetings place-based assessments allow interventions to be appropriately targeted to make sure that key groups within the local population who may be more at risk or adversely impacted by COVID-19 are appropriately supported through a range of system-wide actions.

Supporting Clinical Extremely Vulnerable individuals in Derbyshire

Clinically Extremely Vulnerable (CEV) individuals identified in Derbyshire are contacted by Adult Social Care to determine whether individuals are already known to social care services and if so, the nature of current support arrangements. If an individual is not known to Adult Social Care, they are asked to contact the Community Response Unit where appropriate support can be arranged.

Via the Derbyshire County Council operated Community Response Unit (CRU), individuals who are shielding are supported to meet their basic needs,

including access to food, shopping, accessing a supermarket priority slot, fetching a prescription, or providing wellbeing or emotional support such as befriending. Through the CRU, onward referrals to approved partner volunteer organisations are made to offer additional assistance.

Case Study: Supporting the most vulnerable in Derbyshire

The Community Response Unit has undertaken over 10,000 follow up calls to those who are shielding, and 43,000 letters have been sent to those who are clinically extremely vulnerable outlining support available throughout the pandemic. Over 7,000 people have been directly supported with food, medication and other essential support.

In terms of longer-term support for CEV, the Council has committed to maintaining the functions of the Community Response Unit and linking this into business as usual activity. Therefore, within this piece of work there will be consideration of what mechanisms need to be retained to enable effective support should shielding need to be reinstated on a local or national basis over the next 12 to 24 months.

Compliance and enforcement

In exceptional circumstances where there is a risk to the population and an individual or organisation chooses not to comply with COVID-19 legislation, the powers within the Coronavirus Act (2020) may be utilised. District and Borough Council Environmental Health Officers, Trading Standards and the Derbyshire Constabulary have worked in partnership to provide a co-ordinated response. Additional resources within Environmental Health and Trading Standards teams have been funded through the Contain funding to ensure sufficient capacity to respond as required.

Local partners will continue to work proactively and collaboratively in line with the latest national legislative framework and act when required to protect the wellbeing of the population. As lockdown restrictions ease it is important to be mindful in balancing Derbyshire's role as a tourist destination and its economic recovery alongside the need to protect local people and populations via a positive and constructive approach to enforcement.

Local partners will continue to have a constructive dialogue regarding COVID-19 restrictions and where requested provide evidence-based feedback in relation to any restrictions that may be required in the future.

As well as individual and business enforcement, with the imminent approach of the easing of restrictions, increasing numbers of Temporary Events Notices (TENS) and event applications are being received. District and borough councils, responsible for licensing of events, and the Public Health team at Derbyshire County Council will continue to review all such applications and consider against the Health Protection (Coronavirus Restrictions) (England) (No. 3) Regulations 2020.

Resourcing Finance

Derbyshire County Council has received additional funding from Government to support the ongoing response to the COVID-19 pandemic as part of the Contain Outbreak Management Fund. The funding allocation has made a difference to the scale and intensity of the local response and it has allowed the development of new and existing non-pharmaceutical interventions to manage and mitigate the impact of the pandemic in communities across Derbyshire. The Contain funding has been utilised to deliver non-pharmaceutical interventions outlined in a [report by the Association of Directors of Public Health](#).

Examples of local use of these tools include:

- Targeted and population-wide communications activity.
- Resourcing a dedicated Outbreak Response Team within Public Health.
- Developing local testing and contact tracing teams and infrastructure.
- Securing clinical psychologist support to integrate behavioural sciences into the COVID-19 response.
- Funding a range of community-based projects to extend the reach of communications activity and increase capacity across the community and voluntary sector to support the ongoing response to the pandemic.
- Securing additional trading standards and environmental health resource to effectively undertake business advice, support and enforcement activity where required.
- Providing additional support to the welfare rights team who can provide one off financial support to individuals who are self-isolating and help them access the Test and Trace Support Payment Scheme.
- Enabling care home providers to deliver wellbeing activities within homes where visiting restrictions are in place.

Throughout 2021/22 funding will be allocated to build on these initial programmes of activity and ensure that there is sufficient capacity within the system to deliver against the various elements of this plan. Activity will increasingly be targeted at communities where structural inequalities exist that result in an ongoing greater impact from COVID-19, and that will enable communities to live safely alongside the ongoing risks of COVID-19. Removal or reduction in the levels of funding would impact on both the scale and intensity of the response.

An open and honest dialogue will continue with regional and national colleagues as to how this funding is utilised and whether additional investment or greater flexibility is required to effectively manage the next steps in the response and recovery from the pandemic.

Whilst the range of one-off funding from Government has enabled Derbyshire to undertake additional and scaled activity at pace over the past year to support the COVID-19 response, this is time limited and does not provide

clarity on the longer-term funding position for Derbyshire County Council to fulfil its Public Health responsibilities.

Derbyshire would welcome clarity from DHSC on the longer-term funding position for Local Government Public Health to enable effective recovery planning and prioritisation to take place.

In addition, responsibility for operating some of the national infrastructure and services were to transfer to local government, such as local symptomatic testing sites and further contact tracing functions, it would be helpful to ensure a sustainable and planned approach is in place. This would include consideration for the transfer of finances, as well as other resources, such as workforce.

Workforce

An Outbreak Response Team has been established within the Public Health Department to lead on aspects of implementation of the plan. However, to date, due to the volume of work required to deliver against it, additional staffing resource has been required to implement the local COVID-19 response, and so many staff have been seconded from other roles within the department to deliver against aspects of the plan. The past year has extensively drawn on the specialist knowledge and expertise of registered Public Health specialists in the local authority and the department has invested in additional posts.

In addition, Derbyshire Public Health has also drawn on furloughed and redeployed council staff to undertake key functions such as contact tracing and community testing, for example, until dedicated resource has been recruited to on a more permanent basis.

The Senior Management Team within Public Health will continue to review and assess where staffing resource is best utilised, and a flexible approach will continue to be utilised to ensure that Public Health deliver against the relevant priorities and actions outlined in this plan on an ongoing basis alongside the resumption of more business as usual activity.

In addition, conversations will continue through the LRF structures to ensure sufficient workforce capacity is able to be deployed to implement all aspects of the Plan. The wellbeing of staff is a key consideration as it is recognised that many are continuing to provide a sustained response in support of COVID-19, and this is being considered across the system.

Communications and engagement

The provision of advice and information to the public is a core function of COVID-19 Outbreak Management.

The Derbyshire County Council communications teams has acted as the lead for communications when responding to COVID-19 outbreaks or incidents locally.

[The Coronavirus section of the council website](#) has received 1.5 million-page views since March 2020 and 101,000-page views between 1 January 2021 and 28 February 2021. This section contains information for the public as well as professionals and small businesses. Facebook and Twitter posts have reached 34,500 and 51,000 people respectively.

Targeted social media advertising has been deployed to react to outbreaks or spikes in infection rate and will continue to do this on an ongoing basis. In addition, paid-for advertising on social media has enabled us to target information where there have been outbreaks and concerns that the workforce may not have English as a first language.

Social media activity has been supported by more traditional media activity, alongside extensive community engagement and the involvement of local councillors, MPs, Parish Councils and voluntary and community sector partners.

These are well developed approaches which will continue to be deployed on an ongoing basis in the right mix to support the core messages of:

- Hands, face and space and fresh air.
- Participating in regular asymptomatic testing.
- Encouraging people to accept the vaccination when it is offered.
- Promote use of the NHS app amongst communities less likely to download it.

Case Study COVID FACTS – linking communications and behavioural insights

A system-wide behavioural science informed campaign has been developed to address misinformation around COVID-19. This has been a collaboration between the communications team, the health protection team, a creative agency, a Public Health registrar and a behavioural scientist. Campaign development followed a few key stages;

- a) identification of the target behaviour(s),
- b) behavioural assessment of the key factors involved,
- c) co-creation of the intervention(s) (including social media posts, webpages, a leaflet), and
- d) testing and reiteration.

The campaign was evidence-informed throughout. For example, messages did not repeat misinformation, avoiding giving it more airtime, and took a normalising and de-stigmatising tone to the topic of misinformation. A focus on health literacy underpinned the campaign, increasing access to credible facts for those that may have the greatest need.

Community Leadership

The importance of community leadership and action has been recognised throughout the COVID-19 response and future-plans will seek to strengthen engagement with communities. The Derbyshire Community Champions scheme provides a space for community groups and community leaders to come together to work alongside statutory sector organisations in the local COVID-19 response. The group has been instrumental in increasing the reach of local messaging by using additional networks into local communities. The community partners also provide a bottom-up view of the impact of the pandemic and local response, by raising current issues and concerns being identified within communities. The weekly Community Forums allow for these issues to be discussed.

Regular briefings and engagement take place between LRF leaders, including the Director of Public Health, with MP’s, county councillors and district and borough councillors and these will continue to be a key tool in managing the ongoing COVID-19 response in their role as community leaders across Derbyshire. All partners locally want to continue to build trust and resilience within communities to ensure an ongoing positive and constructive response to the challenges of COVID-19.

Risks

There is a range of evidence to support planning assumptions around local risk, related to both transmission and morbidity. This includes factors including population demographics, location and occupation. Mapping has been undertaken to explore Derbyshire’s population in terms of its urban density, age profile, ethnicity and occupation.

	Low Risk	Moderate Risk	High Risk
Low consequence	Parks and outdoor space Motor trade	Supermarkets	Indoor pubs and bars
Moderate consequence		B&Bs/ hotels Special schools Children’s Homes	Mass gatherings Beauty sector Factories and warehouses

		Transport sector Schools COMAH sites	Residential centres for people with a learning disability Meat Processing
High consequence		Drug and alcohol services	Care Homes Prisons Hostels

Further details around risks can be found in the [original Outbreak Management Plan approved in summer 2020](#), however key risks continue to include:

- COVID-19 diagnosis rates increased with age for both males and females. Working age males diagnosed with COVID-19 were twice as likely to die as females.
- People who live in deprived areas have higher diagnosis rates and death. The mortality rates from COVID-19 in the most deprived areas were more than double the least deprived areas, for both males and females.
- People from Black ethnic groups were most likely to be diagnosed. Death rates from COVID-19 were highest among people of Black and Asian ethnic groups.
- Roles that are most likely to be exposed to COVID-19 include those involving a close-proximity with others and those where there is regular exposure to disease, for example healthcare workers.

Utilising evidence and research generated locally, regionally and nationally will continue to inform the Derbyshire COVID-19 response, with deep dive research taking place as and when required to inform planning and response activity.

Data integration and information sharing.

Local measures are in place to integrate and share data where it is right and appropriate to do so. A Privacy Impact Assessment has been undertaken and is regularly reviewed as systems and processes evolve. A [Privacy Notice](#) is in place to support activity led by the County Council. Derbyshire Public Health continues to liaise and share information with Local Resilience Forum partners to enable an effective outbreak management response.

Locally it would be beneficial to have greater clarity from national and regional partners to tackle existing barriers that prevent data sharing in a complex two-tier authority area, as on occasion this has prohibited an effective local response. For example:

- Inability to access data regarding community testing activity that takes place in Derbyshire but does not relate to a Derbyshire resident.

- Cross-border sharing of data is limited to us proactively asking and sharing data with public health colleagues from other authorities on a one-off basis. More routine sharing of information across local authority boundaries would allow the full picture of outbreaks to be assessed rapidly.
- Accessing this information may enable us to identify additional outbreaks within workplaces, schools or settings that can be addressed at an early stage.

In the longer term, decision making in public health, from routine responses to interventions to improve the public's health, is increasingly reliant on the efficient use of data. Reluctance or delay in data sharing can hinder or slow down the response. Therefore, any further support which can be provided to link data and provide access in a timely manner across organisations would be beneficial.

Part 3: Strategic and operational developments

Since the development of the original Outbreak Management Plan in July 2020 it is important that the following strategic and operational matters are integrated into both planning and response activity.

Responding to variants of concern/Variants under Investigation

Derbyshire County Council and LRF partners have developed a local response for surge testing, should there be a need to rapidly deploy either lateral flow or PCR testing to a defined geography within the county. This local response will be initiated if a variant of concern/variant under investigation is identified within the county or there is a significant local outbreak of concern. This will enable us, working closely with Public Health England, NHS Test and Trace and the Joint Biosecurity Centre, to closely monitor any community spread of the new variant and restrict further transmissions. The Derbyshire wide surge testing plans are being refined and tested as appropriate on an ongoing basis, taking learning from other local authorities who have had to deploy this response in recent weeks. Throughout 2021 Derbyshire will keep surge testing plans under regular review so an effective local response can be deployed if required.

Place-based approach

Derbyshire is a large geographic county, comprising of a County Council, eight District and Borough Councils, numerous Parish and Town Councils, two non-coterminous CCGs, two acute trusts, two community health trusts, a single Police Force, and numerous community and voluntary sector infrastructure organisations. To date, implementation of Derbyshire's Local Outbreak Management Plan has focused on delivery at a county, district and community level. If rates continue to reduce, then a place-based approach will be vital to managing further transmission. The governance structure in place enables inclusion of local partners across the complex organisational landscape. To support further emphasis on place-based working, Derbyshire Public Health will work alongside local partners to implement local area action cards that build from learning at IMT's and OCT's within a place, examples are included as Appendix 4. This will, if required, form the basis of additional localised response plans should one area within Derbyshire require specific action in relation to an emerging issue of concern. These action cards will allow for a consistent approach, while recognising the differences in Derbyshire's communities, and be supported by a deep understanding and knowledge of place, down to a small geography where required. The action cards will allow a varied and appropriately scaled response locally responding to the needs of different communities across the local authority footprint.

Working with partners in neighbouring local authorities where a cross boundary approach is required will continue.

Action on enduring transmission

In some places transmission rates have remained stubbornly high and above the national average for long periods of time. This has resulted in case rates enduring for many months, resulting in restrictions remaining in place, or being re-implemented shortly after they were relaxed. There is some evidence that this is an issue in some communities in Derbyshire.

Evidence suggests there is no single cause for enduring COVID-19 transmission rates and therefore not one way to resolve the issue. Enduring transmission is likely to be due to a mix of highly localised factors including deprivation, employment and household composition. Further information is outlined in the vulnerable and underserved communities' section above.

Derbyshire will seek to address issues associated with enduring transmission by:

- Seeking to influence attitudes and behaviours via bespoke and hyperlocal communications activity to effect the required behavioural changes.
- Building and developing trust in testing and contact tracing activity to ensure participation, action and identification of close contacts and provide financial support to self-isolate.

Activity will strongly link with action on health inequalities as previously described within this plan.

Enhanced Contact Tracing

Over the coming months enhanced contact tracing will be further developed within the county to provide a localised and bespoke response to outbreak management. See the section above on future development for contact tracing in Derbyshire.

Interface with vaccines roll-out

A vaccine is the most effective way to protect vulnerable people from COVID-19. However, vaccines are not a silver bullet, so it is important locally and nationally expectations around the impact of the vaccination programme are managed. A combination of interventions required will continue to reduce the spread and impact of the virus.

Public Health and partners in Derbyshire will work to support:

- Uptake of vaccination for those that are eligible.
- Those who are unable to be vaccinated due to a pre-existing health condition or aged 16 and under.
- Tackling structural barriers – such as not being registered with a GP or GPs holding out of date records, so people do not receive an invitation for vaccination.

- Those who are hesitant to be vaccinated due to cultural barriers, anxiety in response to misinformation, and/or who may be actively against accepting any form of vaccination.
- Targeting of vaccination at those areas and communities with structural inequalities and higher underlying risks

Derbyshire Public Health has a critical central role in supporting vaccine uptake across the county. Public Health teams and services have established links within communities that have higher levels of health inequalities so can act as a trusted voice to promote the benefits of the vaccine and outline the risk for communities or individuals. Additionally, there are effective local communication and engagement networks which can be accessed and utilised to share key messages regarding the vaccination programme on an ongoing basis.

The Inequalities Sub-group is actively identifying groups where uptake is lower, understanding the issue through data analysis and engagement with communities to establish actions to increase access and uptake in these groups. This enables targeted interventions with key groups e.g. homeless, people with a learning disability and use and siting of, for example, pop-up sites and extension to pharmacy settings.

Shared data and insight will form a key element of maximising vaccine uptake. It is essential that the data systems are available so that local partners can identify individuals who have been missed or have not initially come forward for vaccination, flag particular settings and populations where uptake is low and identify cross border issues and provide lookbacks.

Data and intelligence also need to be used to effectively monitor, detect and prevent inequalities. Collaboration with public health colleagues across organisations, can also ensure that additional datasets held by other system partners can be accessed to support the identification of specific population groups and target specific activity to ensure improved access and more effective delivery.

Targeting vaccine take-up will be crucial over the next 12 months at a local and national level to reduce the risk to the population as a whole in relation to space being created for new Coronavirus variants to emerge, with a worst case scenario that one is potentially vaccine resistant.

Ongoing role of Non-Pharmaceutical Interventions (NPIs).

The role of non-pharmaceutical interventions such as social distancing, physical and environmental measures, communications and engagement, testing and tracing, limiting social contact outside of households and good hand hygiene will need to remain a critical element of day to day life for some time. NPIs may also need to be flexed if COVID-19 has a seasonal element to it, with potentially an increased use of these tools throughout the autumn and winter months. Derbyshire has already successfully deployed a range of NPIs over the past 12 months to help mitigate and prevent the risk of infection from

COVID-19 and these will continue to be utilised and reinforced in interventions moving forward.

It is recognised that NPIs need to be utilised alongside the vaccination programme to maximise preventative behaviours that reduce the risk of COVID-19. Activity will increasingly be targeted at areas or to groups, within Derbyshire where there is a need to positively reinforce behaviours and ensure compliance with the arrangements. It will be critical to ensure continued adoption of behaviours by the population to prevent the spread of the disease, especially amongst those who have been vaccinated and may consider themselves at reduced personal risk of being impacted by the disease. Partners will seek to make every contact count with the public to support the development of new habits and reinforce core messages.

Activities to enable 'living with COVID' (COVID secure).

Whilst focus remains on the response phase to COVID-19, the vaccine roll-out allows for consideration of what needs to put in place now to enable Derbyshire to live with COVID-19 over a longer timeframe of two to five years. A realistic scenario would suggest that the virus will not be eradicated, and planning needs to account for partial population immunity, with pockets in local communities where vaccine uptake is suboptimal. New strains of the virus will affect vaccine effectiveness, and with an unknown impact on immunity. As restrictions ease, NPIs will be required to maintain virus levels at a background level, alongside re-enforcement of behavioural and preventative messaging, and the potential for seasonality of the virus may require population restrictions to be imposed on a recurring basis.

A longer-term strategy to live with COVID-19 as business as usual returns will need to be developed. Within this, several risks exist that will need to be addressed in Derbyshire, including:

- The potential for COVID-19 to further exacerbate health inequalities, through lower levels of protection due to vaccine hesitancy and the risk of increased exposure in more vulnerable communities.
- Increasing proportion of asymptomatic cases due to vaccination, leading to longer chains of asymptomatic transmission and reduced compliance with test, trace and self-isolation due to reduced visibility.
- Viral mutations affecting transmissibility, immunity and severity of illness.
- Variation in regional rates leading to differential imposition or lifting of restrictions with corresponding variation in impact on economy and population health and wellbeing.
- Withdrawal of national test and trace infrastructure, requiring gaps to be plugged by already stretched local systems.

Linking it together across the system

Governance

In addition to the multi-agency Outbreak Control Meeting, Outbreak Control Teams and Incident Management Teams previously outlined in the plan, the partnership governance arrangements include:

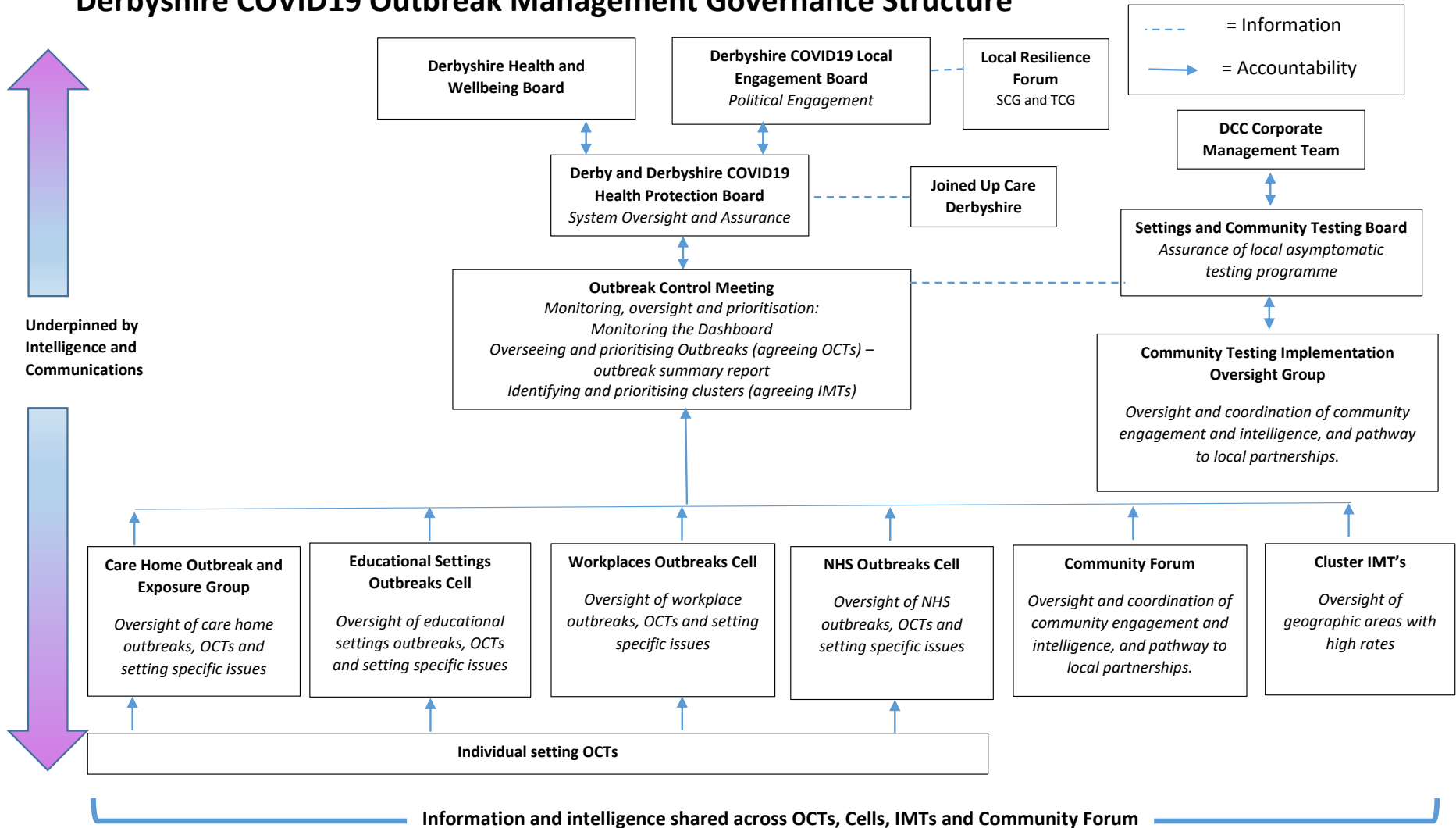
- **COVID-19 Health Protection Board:** Membership of the board is taken from health, social care and wider public sector agencies across Derby and Derbyshire. It provides strategic oversight to the COVID-19 response and related risk to population health across Derbyshire County and Derby City local authority areas. It ensures effective links to wider system response and ensures the Local Engagement Boards have the relevant information, advice and guidance required to inform decision-making and local action.
- **Local Outbreak Engagement Board:** Provides political ownership and public-facing engagement and communication for outbreak response. There is one board for each local authority area of Derby City and Derbyshire.
- **Settings and Community Testing Board:** Co-ordinates all symptomatic and asymptomatic testing within the county.
- **Community Forum:** Provides a space for community leaders and organisations to come together with public health professionals to discuss the COVID-19 response and recovery.

A partnership governance diagram is included on the next page and governance arrangements will continue to evolve to provide a dynamic response. Issues that require escalation as they cannot be resolved locally or would benefit from additional regional or national assurance or oversight will be fed through the governance structure as appropriate.

Moving to a whole-system health protection approach

With the introduction of the UK Health Security Agency (UKHSA), a new model for health protection will emerge. Locally, it is important that this is shaped to provide a comprehensive system-wide approach and is not overly focused on simply tackling outbreaks or incidents, but responds to the impact on individuals, and harnesses the power of communities. Derbyshire partners would encourage UKHSA representation on the LRF at an early stage. The new model for health protection must link across to health improvement functions within local authorities and have a clear focus on challenging and reducing inequalities. Future health protection activity needs to be aligned with local and place-based delivery so when there is a major health protection threat local partners have the capability and capacity to effectively respond.

Derbyshire COVID19 Outbreak Management Governance Structure



Appendices

Appendix 1: Benchmarking and best practice from other local authority areas

As well as development in line with national policy and guidance, and a review of learning from nine months of implementing Derbyshire's previous Local Outbreak Management Plan, good practice from other areas has also influenced the development of the plan.

Cumbria: Vulnerable and underserved communities: Community groups are picking up concerns around those that have fallen through the gaps of NHS & social care.

Gloucestershire: The Community Building Collective which focuses on connecting and growing community capacity.

Norfolk: Development of specific information for businesses via accessible materials and support tailored to their needs.

Norfolk: A community contact tracing service which is run in partnership between the county council and districts.

Leicester: Development of door-to-door testing of residents as part of local contact tracing service.

Leicester: Following the launch of the NHS Test and Trace initiative organisations were asked to collect details on all individuals that enter and exit buildings to assist with the national response.

Warwickshire: A COVID-19 Health Impact Assessment (HIA) was created to identify key factors that may affect the population's health and wellbeing as a direct result of the COVID-19 outbreak.

Northamptonshire: The Public Health team developed and mobilised a multi-agency Ethics Advisory Group (EAG) as part of the Local Resilience Forum (LRF).

Lancashire: An effective partnership of the Lancashire Resilience Forum (LRF) which provided a platform for bringing together a number of workstreams across the county.

Nottinghamshire: The County Council have produced a video which provides a comprehensive overview of how they are using digital technology to coordinate their community response.

Further information on the case studies above can be found on the [Local Government Association website](#).

Appendix 2: Outbreak Control Teams and Incident Management Structure roles and functions

Standards for managing outbreaks

Outbreak recognition

- Initial investigation to clarify the nature of the outbreak begun within 24 hours.
- Immediate risk assessment undertaken and recorded following receipt of initial information.

Outbreak declaration

- Decision made and recorded at the end of the initial investigation regarding outbreak declaration and convening of outbreak control team.

Outbreak Control Team

- OCT held as soon as possible and within three working days of decision to convene
- All agencies/disciplines involved in investigation and control represented at OCT meeting.
- Roles and responsibilities of OCT members agreed and recorded.
- Lead organisation with accountability for outbreak management agreed and recorded.

Outbreak investigation and control

- Control measures documented with clear timescales for implementation and responsibility.
- Case definition agreed and recorded.
- Descriptive epidemiology undertaken and reviewed at OCT. To include: number of cases in line with case definition; epidemic curve; description of key characteristics including gender, geographic spread, pertinent risk factors; severity; hypothesis generated.
- Review risk assessment in light of evidence gathered
- Analytical study considered and rationale for decision recorded.
- Investigation protocol prepared if an analytical study is undertaken

Communications

- Communications strategy agreed at first OCT meeting and reviewed throughout the investigation.

- Absolute clarity about the outbreak lead at all times with appropriate handover consistent with handover standards

End of outbreak

- Final outbreak report completed within 12 weeks of the formal closure of the outbreak.
- Report recommendations and lessons learnt reviewed within 12 months after formal closure of the outbreak

All groups within Derbyshire's governance structure for responding to COVID-19 have Terms of Reference, and meetings and associated decision making is formally recorded.

Appendix 3: Responsibility for local outbreaks in Derbyshire

- Care Homes - Derbyshire County Council/ Infection Prevention and Control
- Assisted living/ supported living/ extra care units - Derbyshire County Council/ Environmental Health
- Domiciliary care/ home care agencies - Where the registered workplace is in Derbyshire County Derbyshire County Council/ Environmental Health
- Hospitals – NHS and independent sector and NHS CCG
- Non-hospital healthcare settings e.g. GP, dentist, optometry, pharmacy, - NHS CCG
- Prisons/Immigration Centres - PHE
- Vulnerable settings e.g. homeless, hostels -PHE
- Schools, Nurseries and other Early Years Settings, Colleges, (non-SEN, non-boarding) - Derbyshire County Council
- SEN schools, Residential/Boarding Schools, Nurseries, Colleges - PHE
- Children’s Home -PHE
- Universities -Derbyshire County Council
- High-risk workplaces and critical infrastructure e.g. food production, transport, warehouse distribution centres, utilities -Derbyshire County Council/ Environmental Health
- All other workplaces- Derbyshire County Council/ Environmental Health

Appendix 3: Local Area Action Card

DERBYSHIRE COVID 19 RESPONSE LOCAL AREA ACTION CARD

Area(s) for further investigation:

Case rates: Describe the pattern of case rates. Is the case rate similar or different to other areas? Describe the age profile of positive cases. Are there any known links between the cases? Any links between current and historical cases?

Testing: Describe the trend for symptomatic/asymptomatic testing rates. What testing facilities are available in the local area? What testing facilities are local residents using?

Contact tracing: What is the completion rate for cases in this area? Has any enhanced contact tracing been completed? If so, what were the main findings?

Self-isolation: Is any information available on Test and Trace Support payment applications?

Outbreak Management: State any known outbreaks in the area. How many cases are directly and indirectly (eg through household transmission, shared transport) associated with known outbreaks?

Vaccine update: What is the local uptake rate for vaccination?

Community demographics and intelligence: Are there any community factors that may be impacting on transmission (such as deprivation, employment,

local attitudes and behaviours, non-English speaking population)? Does intelligence from communities or community partners highlight local concerns contributing to transmission?

Common exposures: Are there any common exposures identified worthy of further investigation?

Identified actions

- Further data analysis
- Access to testing
- Enhanced contact tracing
- Self-isolation support
- Outbreak management
- Vaccine uptake
- Common exposures
- Enforcement
- Comms/behavioural support
- Community engagement/leadership
- Other

Action card completed by:

Date:

Glossary

- Asymptomatic: (of a condition or a person) producing or showing no symptoms
- COVID-19: Coronavirus disease (COVID-19)
- CTAS: Contact tracing and Advice Service
- Domiciliary: Concerned with or occurring in someone's home
- Epidemiology: The branch of medicine which deals with the incidence, distribution, and possible control of diseases and other factors relating to health
- IMT: Incident Management Team
- Inequalities: A symbolic expression of the fact that two quantities are not equal
- Integrated: With various parts or aspects linked or coordinated
- Intervention: The action or process of intervening
- Lateral flow tests: Rapid test devices intended to detect the presence of a target substance in a liquid sample without the need for specialised equipment
- Local O: Project to increase local contact tracing arrangements
- LRF: Local resilience forums (LRFs) are multi-agency partnerships made up of representatives from local public services, including the emergency services, local authorities, the NHS, the Environment Agency and others
- MSOA: Middle Layer Super Output Areas (MSOA) are a geographic hierarchy designed to improve the reporting of small area statistics in England and Wales
- Non-Pharmaceutical Interventions: NPIs are also known as community mitigation strategies. When a new flu virus spreads among people, causing illness worldwide, it is called pandemic flu
- OCT: Outbreak Control Team
- Outbreak: A sudden occurrence of something unwelcome, such as war or disease
- Pandemic: (of a disease) prevalent over a whole country or the world
- PCR: Polymerase chain reaction
- PHE: Public Health England
- Public Health: The health of the population as a whole, especially as the subject of government regulation and support
- SARS CoV 2: Severe acute respiratory syndrome coronavirus 2 (SARS-CoV-2) is the strain of coronavirus that causes coronavirus disease 2019 (COVID-19), the respiratory illness responsible for the COVID-19 pandemic.
- SCG: Strategic Coordinating Group

- Suboptimal: Of less than the highest standard or quality
- Surge: a sudden large increase, typically a temporary one
- Symptomatic: exhibiting or involving medical symptoms
- TEN: Temporary Event Notice
- UKHSA: UK Health Security Agency
- VOC: Variant of Concern
- VUI: Variant under Investigation
- Wellbeing: The state of being comfortable, healthy, or happy

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Agenda Item

DERBYSHIRE COUNTY COUNCIL

CABINET

17 June 2021

Report of the Director of Public Health

**Universal Funding for Drug Treatment
(Health and Communities)**

1. Divisions Affected

1.1 County-wide

2. Key Decision

2.1 This is a key decision because it is likely to result in the Council incurring expenditure which is, or savings which are significant having regard to the budget for the service or function concerned (this is currently defined as £0.5m) and/or it is likely to be significant in terms of its effect on communities living or working in an area comprising two or more electoral areas in the County.

3. Purpose

3.1 To seek Cabinet approval for the allocation of a new national universal funding grant of £0.526m to be awarded to Derbyshire Recovery Partnership to expand and develop drug treatment services across Derbyshire.

4. Information and Analysis

4.1 The Government recently announced an additional £80 million national funding allocation in 2021-22 for one year to enhance drug treatment, focused on reducing drug-related crime and the rise in drug-related

deaths. This funding is in addition to the money local authorities already spend on substance misuse from the Public Health Grant and must be spent on additional services. Derbyshire County Council have been awarded £0.526m under the Universal funding element to be provided under a Section 31 grant.

- 4.2 The proposal locally is to focus on strengthening the criminal justice interventions relating to drug treatment which is a key element in the parameters of the new funding, and which it is felt would benefit from more robustness in Derbyshire. Despite extremely tight timescales of two weeks from being informed of the potential amount to submission of the proposal, discussions with partners and stakeholders were undertaken at pace to develop an acceptable and workable approach.

The parameters for the proposed spend were set nationally and the period of time for the expenditure is one year. The proposal developed for Derbyshire consists of a new Criminal Justice team within the Derbyshire Recovery Partnership (adult substance misuse treatment service) which will seek to engage more quickly and effectively with offenders at the pre-sentence stages to encourage more offenders into drug treatment, and to work with them under a more robust programme of interventions post-sentence. The majority of the one year funding (£0.509m) has been allocated to the function and delivery of this team which consists of a co-ordinator, three Court treatment requirement workers, five specific criminal justice workers including prison release and Integrated Offender Management, one employment specialist worker and one administrator.

A sum of £6,992 of the universal funding has been allocated to harm reduction including increased naloxone provision to reverse opioid overdose and help prevent drug related deaths, and a further £10,000 has been allocated to increase the network of peer support for recovery from drug misuse. Derbyshire Recovery Partnership will also lead on delivering these elements.

5. Consultation

- 5.1 It has not been possible to undertake a full consultation due to the timescales and purpose of this Section 31 grant. Stakeholder discussions and project development has been undertaken with a variety of treatment service and criminal justice partners.

6. Alternative Options Considered

- 6.1 The grant being administered by Public Health England comes with significant restrictions on its use. Therefore, decisions were made to allocate the grant where gaps exist in Derbyshire and where the greatest impact could be evidenced. Other nationally-approved options included elements which are already fully funded in Derbyshire and were discounted as they would duplicate existing provision.
- 6.2 The option of refusing this funding was not considered to be appropriate: additional investment in drug treatment for Derbyshire residents will impact positively on those who are drug users and commit offences, as they are among those suffering the greatest health inequalities and reduced life expectancy. Likewise, local families and communities will benefit from increased recovery among substance misusers, and their reduced criminal activity.

7. Implications

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

8. Background Papers

- 8.1 None identified

9. Appendices

- 9.1 Appendix 1- Implications.

10. Recommendation(s)

That Cabinet approves the allocation of a new national universal funding grant of £0.526m to be awarded to Derbyshire Recovery Partnership to expand and develop drug treatment services across Derbyshire.

11. Reasons for Recommendation(s)

- 11.1 To increase recovery and rehabilitation opportunities from drug use and to reduce harm to Derbyshire communities.

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

- 12.1 No

Report Author: Rosalie Weetman
Contact details: 07814141630

Appendix 1

Implications

Financial

- 1.1 The expenditure will not exceed the total amount awarded. Details of the planned expenditure are set out in section 4 of the Report.

Legal

- 2.1 The funding will be made available through the Section 31 grant provisions of the Local Government Act 2003 and the Section 151 officer will need to confirm that the spending has been incurred on additional services. The funding will be received by the Authority in two allocations over the year and will be grant funded to Derbyshire Recovery Partnership. All funding has to be spent by the end of quarter 1 of 2022/23. Some local data collection will be required but the funding allocation will mostly be monitored through existing reporting mechanisms

Human Resources

- 3.1 None

Information Technology

- 4.1 None

Equalities Impact

- 5.1 None

Social Value considerations

- 6.1 Drug treatment and recovery brings considerable benefits to individuals, families and communities. Public Health England ("Why invest?" 2018) estimates that the annual cost of drug misuse in the UK is over £10bn with costs including lost productivity, crime, policing and the NHS, with a

social return of £4 when investing £1 on drug treatment. On arrival at prison, 41% of women and 27% of men reported problematic drug use, demonstrating the significant prevalence of drug use among offenders.

- 6.2 Social value benefits of recovery are highlighted by the 'Life in Recovery' Study (September 2015) by Professor David Best from Sheffield Hallam University. This study showed that people moving into recovery were more likely to be in education or employment, to volunteer, eat healthily and take regular exercise.

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

- 7.1 None

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FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

17 June 2021

**Report of the Managing Executive Director for
Commissioning, Communities and Policy**

**Registration Service – Weddings and Civil Partnerships
(Health & Communities)**

1. Divisions Affected

1.1 County-wide

2. Key Decision

2.1 This is not a Key Decision

3. Purpose

3.1 To advise Cabinet of an urgent decision taken by the Managing Executive Director relating to wedding and civil partnership ceremonies in Derbyshire.

4. Information and Analysis

4.1 In accordance with the Health Protection (Coronavirus, Restrictions) (All Tiers) (England) Regulations 2020/1374 (as amended) and government guidance, the Managing Executive Director agreed on 7 January 2021, weddings and civil partnerships could only take place with up to 6 people in attendance (excluding staff working) and in exceptional circumstances. This decision was reported to Cabinet on 11 February 2021.

4.2 An example of exceptional circumstances is an urgent marriage where one of those getting married is seriously ill and not expected to recover, or is to undergo debilitating treatment or life-changing surgery. However, there may be other circumstances which are exceptional and

the wedding or civil partnership should be able to proceed. In recognition of this, delegated authority was granted to the Director of Legal and Democratic Services to approve any other circumstances which are deemed to be exceptional.

- 4.3 The Government subsequently issued the Health Protection (Coronavirus, Restrictions) (Steps) (England) Regulations 2021/364 which remove the “exceptional circumstances” restriction on weddings and civil partnerships. Therefore, with effect from 29 March 2021 wedding and civil partnership ceremonies were no longer limited to exceptional circumstances. As a result of these new Regulations, the Managing Executive Director agreed on 26 March 2021, that the exceptional circumstances restriction in relation to weddings and civil partnerships should be removed.

A copy of the decision record is appended to the report at Appendix 2.

5. Consultation

- 5.1 There is no requirement to consult in respect of the preparation of this report as it is simply for Cabinet to note a decision previously made. However, Cabinet should note that any changes to regulations governing weddings and civil partnerships would usually be the subject of consultation. However, these temporary measures were considered urgent due to unprecedented situation caused by the Covid-19 pandemic.
- 5.2 Councillor C Hart, Cabinet Member for Health and Communities was consulted in respect of the urgent officer decision and was in agreement with the decision.
- 5.3 Councillor G Musson – Chairman of the Improvement and Scrutiny Committee - People was consulted in respect of the urgent officer decision and agreed due to the urgency of the decision the call-in provisions could be waived.

6. Alternative Options Considered

- 6.1 Not to report the urgent officer decision to Cabinet, however this would not be in accordance with established process.

7. Implications

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

8. Background Papers

- 8.1 None identified

9. Appendices

9.1 Appendix 1- Implications.

9.2 Appendix 2 – Officer decision record.

10. Recommendations

That Cabinet notes the decision taken with regard to the removal of the exceptional circumstances condition in relation to weddings and civil partnerships in Derbyshire.

11. Reasons for Recommendation(s)

11.1 To ensure that Cabinet is aware of the urgent officer decision taken in order to comply with the Health Protection (Coronavirus, Restrictions) (Steps) (England) Regulations 2021/364 and government guidance.

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

12.1 No.

Implications

Financial

1.1 None directly arising out of this report.

Legal

2.1 None directly arising out of this report.

Human Resources

3.1 None directly arising out of this report.

Information Technology

4.1 None directly arising out of this report.

Equalities Impact

5.1 None directly arising out of this report.

Corporate objectives and priorities for change

6.1 None directly arising out of this report.

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


7.1 None directly arising out of this report.

DERBYSHIRE COUNTY COUNCIL
OFFICER DECISION AND DECISION REVIEW RECORD

Officer: Emma Alexander <i>*For emergency powers, this would be the Executive Director</i>		Service: Registration
Delegated Power Being Exercised: Executive Director - delegated Power under the emergency powers contained in the constitution <i>*The delegation detailed in the Constitution to the specified officer or emergency powers</i>		
Subject of Decision: (i.e. services affected)	Weddings and civil partnerships – removal of the ‘exceptional circumstances’ restriction from 29 March 2021	
Is this a review of a decision? If so, what was the date of the original decision?	No, this is not a review of a decision but is a response to a change in legislation and government guidance which affects an earlier decision.	
Key decision? If so, have Democratic Services been notified?	No	
Decision Taken (specify precise details, including the period over which the decision will be in place and when it will be (further) reviewed):	<p>To agree to remove the ‘exceptional circumstances’ restriction on wedding and civil partnership ceremonies, so that with effect from 29 March, weddings and civil partnership ceremonies will no longer be limited to exceptional circumstances.</p> <p>To agree that future wedding and civil partnership ceremonies will be conducted in accordance with the Health Protection (Coronavirus, Restrictions) (Steps) (England) Regulations 2021/364 whilst they are in force.</p>	
Reasons for the Decision (specify all reasons for taking the decisions including where necessary reference to Council policy and anticipated impact of the decision) Where the decision is subject to statutory guidance please state how this has been taken into consideration.	To comply with the Health Protection (Coronavirus, Restrictions) (Steps) (England) Regulations 2021/364 and government guidance.	

Alternative Options Considered (if appropriate) and reasons for rejection of other options	To retain the 'exceptional circumstances' restriction, however, to do so would mean that the Council would not be complying with government guidance and current legislation.
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	<p>To allow weddings and civil partnerships to continue without restriction, however in doing so the Council would not be complying with the legislation and government guidance.</p> <p>To cancel all weddings and civil partnerships, however under the legislation and government guidance weddings and civil partnerships are permitted subject to the limitations set out above. There is no evidence to justify a departure from legislation and government guidance.</p>
<p>Has a risk assessment been conducted?- if so what are the potential adverse impacts identified and how will these be mitigated?</p>	<p>An appropriate risk assessment is already in place to ensure that any wedding or civil partnership can be conducted in a covid secure way.</p>
<p>Would the decision normally have been the subject of consultation with service users and the public? If so, explain why this is not practicable and the steps that have or will be taken to communicate the decision</p>	<p>Any changes to regulations governing weddings and civil partnerships would usually be the subject of consultation. However, these temporary measures are considered urgent due to unprecedented situation caused by the Covid-19 pandemic. Re-arrangement and cancellation fees have been waived.</p> <p>Although general consultation will not take place, individuals who have booked a wedding or civil partnership will be contacted to discuss whether they wish the ceremony to go ahead in accordance with the revised government guidance limiting the numbers to 6 people. If not, the individuals will be offered to re-arrange the ceremony on a priority basis once the restrictions are lifted.</p>
<p>Has any adverse impact on groups with protected characteristics been identified and if so, how will these be mitigated?</p>	<p>Marriage and civil partnerships – arrangements are in place to re-arrange cancelled weddings and civil partnerships on a priority basis in line with the Government’s phased approach to lifting the restrictions.</p>
<p>Background/Reports/Information considered and attached (including Legal, HR, Financial, Equality and other considerations as required))</p>	<p>Previously, the Health Protection (Coronavirus, restrictions) (All Tiers) (England) Regulations 2020/1374 as amended - Schedule 3A Tier 4 restrictions and government guidance, provided that weddings and civil partnerships could only take place with up to 6 people and in exceptional circumstances. Exceptional circumstances were defined as “an urgent marriage where one of those getting married is seriously ill and not expected to recover, or is to undergo debilitating treatment or life-changing surgery.”</p> <p>This was the subject of an ODR taken by the Managing Executive Director on 7 January 2021.</p>

	<p>As part of Step 1 of the roadmap out of lockdown, government guidance has been amended and the Health Protection (Coronavirus, Restrictions) (Steps) (England) Regulations 2021/364 made on 22 March. With effect from 29 March 2021, in accordance with the revised guidance and Regulations, weddings and civil partnership ceremonies will still be able to proceed with 6 people only but will no longer be limited to exceptional circumstances.</p> <p>A decision is required to remove the 'exceptional circumstances' restriction and ensure that the Council is complying with the current legislation and latest government guidance.</p> <p>As Derbyshire moves into Step 2 and Step 3 the limits on weddings and civil partnership ceremonies will be relaxed further and any future restrictions will be applied in accordance with the Health Protection (Coronavirus, Restrictions) (Steps) (England) Regulations 2021/364.</p>
<p>Consultation with relevant Cabinet Member (s) – please note this is obligatory.</p>	<p>Councillor C Hart, Cabinet Member for Health and Communities has been consulted and is in agreement with the decision.</p>
<p>Approval of Chair of appropriate Improvement and Scrutiny Committee where call in is intended to be waived – please note this is obligatory in those circumstances</p>	<p>Councillor G Musson – Chairman of the Improvement and Scrutiny Committee - People has been consulted and has agreed due to the urgency of the decision call in can be waived; and supports the action being taken.</p>
<p>Decision:</p>	<p>Approved by Emma Alexander, Managing Executive Director</p>
<p>Signature and Date:</p> <div style="text-align: center;">  </div> <p>Emma Alexander Managing Executive Director 26 March 2021</p>	



Agenda Item

FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

17 June 2021

Report of the Monitoring Officer

**Report of the Local Government & Social Care Ombudsman -
Investigation into Complaint No 18/000/932 against Derbyshire County
Council
(Children's Services)**

1. Divisions Affected

1.1 County wide.

2. Key Decision

2.1 This is not a key decision.

3. Purpose

3.1 To inform Cabinet of a recent case investigated by the Local Government and Social Care Ombudsman (LGSCO) who has made a finding of fault by the Council causing injustice to the complainant.

4. Information and Analysis

4.1 Members are aware that if an individual is dissatisfied with the service provided by the Council he/she may complain under the Council's Corporate Complaints Procedure. If a complainant remains dissatisfied they are able to refer the complaint to the Local Government and Social Care Ombudsman. If the LGSCO decides to investigate a complaint he will determine whether, in his opinion, the Council has been guilty of

“maladministration” and if so whether the complainant has sustained “injustice” in consequence.

- 4.2 Section 5A of the Local Government and Housing Act 1989 imposes a duty upon the Monitoring Officer to prepare a report to the Executive if at any time it appears to her that there has been maladministration in the exercise of its functions. The duty does not arise in respect of a finding of maladministration by the LGSCO unless the LGSCO has conducted an investigation (S. 5A(4)). The Monitoring Officer is obliged to and has consulted the Head of Paid Service and Chief Financial Officer in the preparation of this section 5A report and provided a copy to each Member of the Council.
- 4.3 As soon as practicable after the Executive has considered the Monitoring Officer’s report it must prepare a report which specifies:-
- (a) What action (if any) the Executive has taken in response to the Monitoring Officer’s report,
 - (b) What action (if any) the Executive proposes to take in response to the report, and
 - (c) The reasons for taking the action or for taking no action.

Background

- 4.4 This report relates to a complaint in relation to Z, a child with several physical and mental health conditions. He was previously supported by a Statement of Special Educational Needs which Derbyshire County Council transferred to an Education Health and Care Plan (EHCP) in January 2018. The EHCP is a legal document which outlines a young person’s needs, support and educational placement.
- 4.5 On 27 June 2018, towards the end of Z’s time in Year 5, his school held an annual review meeting, the minutes of which were sent on to the special educational needs and disabilities (SEND) assessment team on 23 July 2018. An annual review is a process which needs to take place each year in order to determine whether any changes are needed to a young person’s package of support. The annual review for Z stated the Council needed to amend Z’s EHCP to reflect that his increased anxiety required a higher ratio of adult support with therapeutic provision included and an enhanced transition package at the end of key stage 2 , In September 2018, Z moved into Year 6, his last year at primary school.
- 4.6 On 23 October 2018, the Council issued Z’s parents with a notice stating it planned to amend Z’s EHCP and on 7 November, Ms X sent the Council a request to consult with her preferred placement which was

a mainstream secondary school called School 1. Ms X's second preference, School 2, was an independent special school.

- 4.7 The Council consulted with School 1 and another school and Derbyshire County Council agreed to name School 1 as the school of choice, but unfortunately this was not actioned. Over June and July the Council consulted with School 2 (Ms X's second preferred choice) and another school. However, on 15 July 2019, the Council issued Z's final EHCP allocated Z *"a further year at [his current primary school] or until a suitable secondary school can be found"*.
- 4.8 Ms X did not appeal the EHCP because she said officers agreed to consult with six secondary schools over the summer holidays. Ms X could then visit the schools once they reopened in September. However, the officer leading on the case did not action this and did not explain to Ms X that there had been a change in the intention to consult.
- 4.9 In September 2019, Z was due to start Year 7 at secondary school. As the Council had not named a secondary school place for him, Z remained at his primary school. Whilst he was at primary school, Z received 1:1 teaching each morning based on the Year 7 curriculum. In the afternoons, he joined his class for Year 6 lessons. Ms X felt this worked well for Z because the teachers at his primary school understood him and could avoid the triggers which he found distressing.
- 4.10 In November 2019, Ms X told the Council she had been to School 3 and it seemed suitable for Z. School 3 was an independent special school. Unfortunately, the council officer leading the case was too slow in agreeing to consult with this school and eventually failed to do so.
- 4.11 In January 2020, officers consulted with two further schools. It named one of those schools, school 4, on Z's Plan which it finalised in February 2020. Ms X took up her rights to appeal to a tribunal and the case was heard the case in June 2020. The tribunal directed the Council to name School 3 on Z's EHCP.

The initial complaint to the Council

- 4.12 On 29 November 2019, while the above events were taking place, Ms X complained to Derbyshire County Council and on 28 April 2020 a stage 1 response was sent which upheld the majority of complaints and offered an unreserved apology. Ms X was unhappy with the Council's initial response and she escalated her complaint to Stage 2/final response of the Council complaint procedure on 22 May 2020. The complaints and Council responses are below:

- a) Delays in the annual review process and the issuing of the final amended EHCP - The Council partially upheld the complaint as the plan was late in being issued.
- b) Failure to consult with schools - The Council did not uphold this part of the complaint as Ms X's preferred school was consulted with in a timely manner.
- c) Delay in Z transferring to secondary school - The Council upheld this part of the complaint as officers did not act on the agreed transfer to secondary school.
- d) Poor communication with the Council- The Council upheld this part of the complaint at Stage 1 but Ms X felt the response had taken too long. Ms X said this had left Z academically behind his peers and feeling isolated and lacking in self-worth because he thought he had been forgotten. The Council responded within timescale on 30 June 2020 through a stage 2 investigation and agreed it had taken too long to address the initial complaint for which it apologised.
- e) Failed to find Z a suitable secondary school - The Council only partially upheld this part of the complaint. The Council said it acted in line with legislation when it named School 4 on Z's EHCP and would shortly amend his plan in accordance with the tribunal's order to name School 3. The Council acknowledged it had been a difficult time for Ms X and Z, made worse by COVID-19. However, it only partially accepted it was responsible for the delays in Z starting secondary school. The Council said in future it would ensure that SEND officers communicated effectively with Ms X and it would issue Z's amended EHCP within the required timescales.

The complaint to the LGSCO

- 4.13 Ms X remained unhappy with the Council's response to her complaint and complained to the LGSCO who agreed to investigate. As a result of its investigation, the LGSCO found the Council was at fault when it delayed in carrying out Z's annual review, issuing his final amended Education, Health and Care Plan and consulting with secondary schools. As a result, Z missed out on special educational provision and had to remain in primary school for an additional year. A copy of the LGSCO report setting out the decision is attached at Appendix 2 for information. In summary the actions the Council has agreed with the LGSCO are:

- a) The Executive to consider the report and confirm within three months the action it has taken or proposes to take.
- b) To remedy the injustice identified in the report, within three months of the date of the report to:
 - apologise to Ms X for the faults we have identified; and
 - pay Ms X on behalf of herself and Z, £1,000 to acknowledge the distress Z experienced when he was unable to transfer to secondary school at the same time as his peers for a whole school year and for the unnecessary frustration, distress and time and trouble Ms X experienced because of the Council's faults.
- c) Within six months of the date of the report review its processes to ensure it is carrying out annual reviews, issuing decision notices and finalising amended Education, Health and Care Plans in line with the statutory guidelines.
- d) To provide the LGSCO with evidence it has carried out these recommendations.

Response to the LGSCO's report

- 4.14 The Council has accepted the LGSCO's findings and agreed to the recommendations, which has been welcomed by the LGSCO. Following receipt of the report, the Council has already apologised fully to Ms X for the faults identified and paid Ms X on behalf of herself and Z, £1,000.
- 4.15 In accordance with the LGSCO requirement, the Council will place two public notices announcements in two local newspapers/websites within two weeks of the LGSCO publishing the report. It will also made copies of the report available free of charge at one or more of the Council Offices.
- 4.16 This report fulfils the requirement to arrange for the LGSCO's report to considered by the "executive" and following this meeting the LGSCO will be informed that this has been done.
- 4.17 The LGSCO requires that within six months of the date of the final report the Council should review its processes to ensure it is carrying out annual reviews, issuing decision notices and finalising amended EHCPs in line with the statutory guidelines. The Council has begun a review into it processes for the completion of annual reviews to ensure practice is as efficient as possible. Annual reviews are conducted by the provisions delivering an EHCP and the council's role is to ensure any amendments required are made in a timely manner.
- 4.18 Work already begun has identified elements of the annual review process that will enable shorter timeframes which includes termly

prompts to nurseries, schools and colleges about which annual reviews are due, date checking procedures and chasing up of returns. As part of this, the SEND assessment team has attended recent regional training to maintain knowledge of up to date practice which can be shared through county training. The training for Derbyshire's provider leaders in inclusion is currently being reviewed and will include training on best practice for annual reviews. The SEND assessment team also have a programme of legal training in place to ensure their work is fully compliant with the law. The Council will provide evidence to the LGSCO by the required date to confirm the actions have been taken in accordance with the agreed remedy.

- 4.19 Importantly, the SEND assessment service has also considered the final aspect of the LGSCO's recommendations regarding the response to Ms X's complaint. During the last year, the number of complaints has fallen and all complaints are taken seriously. However, in this instance, it is clear that Ms X's complaint should have been fully upheld rather than two aspects being partially upheld.

Further actions already taken to address the matters arising within this historical complaint.

- 4.20 The Director of Legal and Democratic Services had noticed in 2019 that there was a theme in complaints to the LGSCO relating to Children's Services matters and SEN. This was also the situation nationally. The Council received a LGSCO report relating to another SEN matter in 2019 and this was reported to the Governance, Ethics and Standards Committee on 3 October 2019.
- 4.21 Following the Governance Ethics and Standards Committee, the Director of Legal and Democratic Services contacted Children's Services Quality & Assurance Team to discuss the number of Children's Services SEN LGSCO complaints and asked whether Legal Services could support Children's Services to address the underlying issues and to reduce the likelihood of a further LGSCO report on a Children's Services SEN matter. There were a number of meetings with Legal and Children's Services and at that time a new Assistant Director of Children's Services with responsibility for SEN had also been appointed. Children's Services were confident that since the last LGSCO report in relation to SEN they were making good progress on complaints generally and SEN matters.
- 4.22 The SEN assessment team is responsible for delivery of the Council's statutory duties with regard to the assessment of need, writing and reviewing of EHCPs. Significant change has taken place within this

team to address the matters that have arisen in the history of this complaint. These are detailed below.

(a) Performance in the team

- 4.23 During the last year, there has been a significant change of leadership and officers across the department of Schools and Learning and the SEND assessment team. A new induction process for recently appointed senior officers within the SEND assessment team is now in place which ensures they are aware of expectations and team performance. This is supported by regular supervision of senior officers by the Head of Service aligned to the performance data.
- 4.24 A performance culture has been introduced into the SEND assessment team which ensures that officers track their performance to meet statutory deadlines. This has resulted in significantly improved timeliness of new EHCP assessments being completed within their statutory timescales of twenty weeks. This has increased from 38% in 2018 and 44% in 2019 to 71% in 2020 (above national average). There has also been a rise in timeliness of annual review completion rates from 11.6% in August 2020 to 49.8% in December 2020.
- 4.25 Since November 2019, officers have looked at the emerging themes from complaints and actioned a change of practice. There are now regular weekly meetings between the SEND head of service and complaints' manager to ensure communication and timely response to complainants and this has resulted in a significant reduction in lower level complaints and timely response now in place.

During 2019-2020, 103 complaints were received with only 26 responded to in time.

Month	Number received	Response within timeframe	
April 2019	9	2	22%
May 2019	15	4	27%
June 2019	13	3	23%
July 2019	16	3	19%
August 2019	8	3	37%
Sept 2019	2	2	100%
October 2019	4	2	50%
November 2019	13	2	15%
December 2019	4	0	0%
January 2020	7	2	28%
February 2020	5	1	20%
March 2020	7	2	28%

Total	103	26	25%
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However, there was a significant improvement in performance in 2020-21 with 55 out of 72 complaints responded to in time. The number of complaints received and responses by month April 2020 – March 2021 are set out below:

Month	Number received	Response within timeframe	
April 2020	1	1	100%
May 2020	7	6	86%
June 2020	6	4	67%
July 2020	12	5	42%
August 2020	6	4	67%
Sept 2020	5	4	80%
October 2020	7	6	86%
November 2020	3	3	100%
December 2020	6	5	83%
January 2021	5	5	100%
February 2021	6	5	83%
March 2021	8	7	87.5%
Total	72	55	76%

- 4.26 There are now also fortnightly meetings between the SEND head of service and SEND quality assurance manager to address any matters arising from EHCP quality.
- 4.27 It is important that when considering this LGSCO report, Members are mindful that this and many of the recent complaints to the LGSCO are legacy complaints that originated in practice from previous years, prior to the above changes. A strategic working group from SEND and the complaints team is now in place to monitor and address LGSCO reports specifically, ensure actions are delivered and to also monitor refusals to investigate.
- 4.28 It must also be noted that sometimes agreement of EHCPs may be late for a variety of reasons including parents' illness and therefore the team may be unable to agree a plan. However, performance has improved in this area and plans where there are significant delays have reduced from approximately 38 in May 2020 to 20 in July 2020, 7 in October 2020 and 2 in January 2021.

(b) Communication

- 4.29 In addition to the focus on a performance culture, there have been a number of developments internally with Learning Access and Inclusion Services and across departments that have significantly improved

internal communications to ensure that delays are picked up for vulnerable cohorts. Those involving the SEND assessment team are listed below:

- SEND attendance secured at team monitoring meetings (eg Education Planning Group which addresses children not in school)
- SEND and Elective Home Education meetings in place
- SEND and Social Care meetings in place
- SEND and Virtual School meetings in place.

4.30 There have also been increased and improved communications with parents over the year which have been recognised as making significant difference by the parents themselves and the regional adviser. These include:

- Regular virtual afternoon and evening meetings with Derbyshire Parents Carer Voice, Derbyshire Information and Advice Support Service, Schools and Learning Director, Assistant Director for Learning, Access and Inclusion, SEND head of service and co-production theme leads from Educational Psychology
- Weekly/fortnightly meetings with Derbyshire Parent Carer Voice, SEND head of service and senior officers
- Work has begun on a parents drop in with Derbyshire Parent Carer Voice to provide way to raise immediate concerns

Further recommendations of the Monitoring Officer

4.31 The Council has already apologised fully to Ms X for the faults identified and paid Ms X on behalf of herself and Z, £1,000. In respect of the action to review processes to ensure the Council is carrying out annual reviews, issuing decision notices and finalising amended EHCPs in line with the statutory guidelines, it is recommended that Cabinet consider requiring a progress report to the relevant Cabinet member in August and November.

4.32 In view of the fact that specific changes had already been made in areas identified prior to receipt of the LGSCO's report and the Council has accepted the LGSCO's recommendations, no further activity is recommended.

5. Alternative Options Considered

- 5.1 In view of the fact that the LGSCO has categorised the complaint as “Upheld: maladministration and injustice”, the statutory process for reporting the decision must be followed.
- 5.2 The Executive could decide to take no action other than to implement the recommendations made by the LGSCO. This could however result in the Council receiving further complaints and there being further instances of maladministration in the exercise of this function. The Executive could also decide to take a different course of action to that recommended in the report, however it is considered that the actions proposed are appropriate based on the information considered.

6. Implications

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

7. Background Papers

- 7.1 None Identified

8. Appendices

- 8.1 Appendix 1- Implications.
- 8.2 Appendix 2 – Report of the Local Government & Social Care Ombudsman.

9. Recommendations

That Cabinet:

- a) notes the findings of the Local Government and Social Care Ombudsman set out in the report at Appendix 2 and the actions which have been taken by the Council in response to that report and more generally to prevent further escalations of complaints;
- b) confirms whether it is satisfied with the steps taken to address the findings and whether the additional action set out in paragraph 4.31 should be taken; and
- c) notes that a copy of this report has been circulated to all members of the Council.

10. Reasons for Recommendations

10.1 To comply with the provisions of the Local Government and Housing Act 1989.

10.2 To ensure that there is a robust plan in place to put right the issues identified by the LGSCO and avoid any complaints or instances of maladministration in the exercise of this function in the future.

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

11.1 No

Report Author: Helen Barrington

Contact details: helen.barrington@derbyshire.gov.uk

This report has been approved by the following officers:

<p>On behalf of:</p> <p>Director of Legal Services and Monitoring Officer Director of Finance and ICT Managing Executive Director</p>	<p>Drafted by the Monitoring Officer) Consulted in the preparation of the) report as Head of Paid Service and Chief Financial Officer</p>
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Implications

Financial

- 1.1 Payments have already been made to the complainant in accordance with the recommendation of the LGSCO.

Legal

- 2.1 The Local Government and Social Care Ombudsman's powers are defined by the Local Government Act 1974 as amended by the Local Government and Public Involvement in Health Act 2007. The LGSCO may investigate complaints of maladministration causing injustice.
- 2.2 The LGSCO cannot question whether a Council's decisions are right or wrong simply because the complainant disagrees with them. He must consider whether there was fault in the way the decision was reached. (Local Government Act 1974, section 34(3)).
- 2.3 Section 31 of the Local Government Act 1974 requires a report to be submitted to "the authority" when a report on maladministration is received from the Local Government and Social Care Ombudsman. The specific requirement is that the report to "the authority" is made to the "executive" i.e. Cabinet (s.25(4ZA) Local Government Act 1974).
- 2.4 The Director of Legal and Democratic Services' report is made to the "executive" under the Director's role of Monitoring Officer (s.5A Local Government and Housing Act 1989). In the role of Monitoring Officer the Director of Legal and Democratic Services is also obliged to consult with the Head of Paid Service and S151 Officer when preparing the report. The report must be sent to each member of the Council and Cabinet must meet to consider the report within 21 days of the report being sent to the Executive.
- 2.5 The Council is required to give public notice by advertisements in two local newspapers stating that copies of the LGSCO's report will be available to inspect by the public at the Council's offices for a period of three weeks (s.30 Local Government Act 1974). In view of Covid restrictions the Council intends to go further than this and the public notices will state that the Council will send a copy of the report by post or email and it will also be available on the Council's website and the LGSCO's website.

- 2.6 The LGSCO's recommendations are not legally enforceable although it is extremely unusual for a Council not to accept them. The Council must inform the LGSCO of the actions it proposes to take within 3 months of the date on which the Council received the report. If the Council fail to do this or the LGSCO is not satisfied with the action proposed by the Council then the LGSCO can issue a further report.
- 2.7 The Council's Constitution provides that one of the roles and function of the Governance , Ethics and Standards Committee is '*11. To receive regular reports on the of the Corporate Complaints process, Local Government Ombudsman referrals and to recommend revisions to related policies and procedures as appropriate*'. A report will therefore also be prepared for the Committee.

Human Resources

- 3.1 None directly arising from this report.

Information Technology

- 4.1 None directly arising from this report.

Equalities Impact

- 5.1 As this is a statutory report in response to the findings of the Local Government and Social Care Ombudsman no equality impact assessment has been prepared.

Corporate objectives and priorities for change

- 6.1 None directly arising from this report.

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

- 7.1 None directly arising from this report.

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**Report by the Local Government and Social Care
Ombudsman**

**Investigation into a complaint against
Derbyshire County Council
(reference number: 20 000 611)**

22 February 2021

The Ombudsman's role

For more than 40 years the Ombudsman has independently and impartially investigated complaints. We effectively resolve disputes about councils and other bodies in our jurisdiction by recommending redress which is proportionate, appropriate and reasonable based on all the facts of the complaint. Our service is free of charge.

Each case which comes to the Ombudsman is different and we take the individual needs and circumstances of the person complaining to us into account when we make recommendations to remedy injustice caused by fault.

We have no legal power to force councils to follow our recommendations, but they almost always do. Some of the things we might ask a council to do are:

- > apologise
- > pay a financial remedy
- > improve its procedures so similar problems don't happen again.

Section 30 of the 1974 Local Government Act says that a report should not normally name or identify any person. The people involved in this complaint are referred to by a letter or job role.

Key to names used

Ms X	The complainant
Z	Her son

Report summary

Education and Children's Services – Special Educational Needs and Disability Assessments and Reviews

Ms X complained the Council delayed carrying out her son's annual review, issuing his final amended Education, Health and Care (EHC) Plan and consulting with secondary schools.

Finding

Fault found causing injustice and recommendations made.

Recommendations

The Council must consider the report and confirm within three months the action it has taken or proposes to take. The Council should consider the report at its full Council, Cabinet or other appropriately delegated committee of elected members and we will require evidence of this. (*Local Government Act 1974, section 31(2), as amended*)

To remedy the injustice identified in this report, within three months of the date of this report the Council has agreed to:

- apologise to Ms X for the faults we have identified; and
- pay Ms X on behalf of herself and Z, £1,000 to acknowledge the distress Z experienced when he was unable to transfer to secondary school at the same time as his peers for a whole school year and for the unnecessary frustration, distress and time and trouble Ms X experienced because of the Council's faults.

Within six months of the date of this report the Council should review its processes to ensure it is carrying out annual reviews, issuing decision notices and finalising amended Education, Health and Care Plans in line with the statutory guidelines.

The Council has accepted our recommendations.

The complaint

1. Ms X complained the Council failed to:
 - carry out her son, Z's, annual review in line with the statutory timescales;
 - consult with secondary schools in a timely manner;
 - issue Z's final amended Education, Health and Care (EHC) Plan within the statutory timescales when he transitioned to secondary school;
 - ensure Z received a suitable education from September 2019 to June 2020 when she appealed to the Tribunal;
 - communicate appropriately with her; and
 - deal with her complaints in a timely manner.
2. As a result, Z had to remain at primary school for an additional school year and Ms Z says that during this time only received part of the Year 7 curriculum. Ms X said this led to a deterioration in Z's behaviour and feelings of low self-esteem and isolation.

Legal and administrative background

The Ombudsman's role and powers

3. We investigate complaints about 'maladministration' and 'service failure'. In this report, we have used the word 'fault' to refer to these. We must also consider whether any fault has had an adverse impact on the person making the complaint. We refer to this as 'injustice'. If there has been fault which has caused an injustice, we may suggest a remedy. (*Local Government Act 1974, sections 26(1) and 26A(1), as amended*)
4. We cannot investigate complaints about what happens in schools. (*Local Government Act 1974, Schedule 5, paragraph 5(b), as amended*)
5. SEND is a tribunal that considers special educational needs. (*The Special Educational Needs and Disability Tribunal ('SEND')*)
6. The law says we cannot normally investigate a complaint when someone can appeal to a tribunal. However, we may decide to investigate if we consider it would be unreasonable to expect the person to appeal. (*Local Government Act 1974, section 26(6)(a), as amended*)
7. The law says that a parent or carer can appeal to the tribunal after the Council has issued a final EHC Plan. The Council issued Z's EHC Plan in July 2019 and at this point Ms X could have appealed the placement named in Z's Plan. In this case we have decided to exercise our discretion and also investigate after this date. This is because at this time, the Council told Ms X it would consult with schools to identify a suitable secondary school placement for Z. Ms X was entitled to expect the Council to do this in a timely manner, so she had no reason to appeal at the time.
8. We have no jurisdiction where a parent has appealed to the Tribunal to investigate events from the date the SEN appeal right arises until the appeal is completed. Any loss of education or fault during this period which is a consequence of the decision being appealed is out of jurisdiction, even if this means the injustice will not be remedied.

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9. When the Council issued a further final amended EHC Plan in February 2020, Ms X was unhappy with the school named by the Council and appealed to the Tribunal. Therefore, we cannot look at the events which took place after this date.
 10. Under the information sharing agreement between the Local Government and Social Care Ombudsman and the Office for Standards in Education, Children's Services and Skills (Ofsted), we will share this decision with Ofsted.

Relevant law and guidance

Children with special educational needs

11. A child with special educational needs may have an EHC Plan. This sets out the child's needs, what arrangements should be made to meet them and where or how the child will be educated. The EHC Plan is set out in sections. We cannot make changes to the sections about special educational provision or name a different school. Only the SEND Tribunal can do this.

Annual reviews

12. Councils should ensure an annual review of the child's EHC Plan is carried out within 12 months of the issue of the original plan or the completion of the last annual review. The purpose of the annual review is to consider whether the special educational support and educational placement is still appropriate. The annual review is not complete until the council has decided to either maintain the Plan, cease the Plan or amend the Plan.
13. Within four weeks of a review meeting, a council must notify the child's parent of its decision to maintain, amend or discontinue the EHC Plan. *(s20 (10) Special Educational Needs and Disability Regulations 2014)*
14. Where a council proposes to amend an EHC Plan, the law says it must send the child's parent or the young person a copy of the existing (non-amended) Plan and an accompanying notice providing details of the proposed amendments, including copies of any evidence to support the proposed changes. *(s22 (1) & (2) Special Educational Needs and Disability Regulations 2014)*
15. The Special Educational Needs and Disability Code (the Code) states if a council decides to amend the Plan, it should start the process of amendment "without delay". *(SEN Code para 9.176)*
16. The council must give the parent or young person at least 15 calendar days to comment on the proposed changes. *(s22 (2)(c) SEND Regulations 2014)*
17. Following comments from the child's parent or the young person, if the council decides to continue to make amendments, it must issue the amended EHC Plan as soon as practicable and within eight weeks of the date it sent the EHC Plan and proposed amendments to the parents. *(s22 (3) & (4) SEND Regulations 2014)*
18. If the council decides not to make the amendments, it must notify the child's parent or the young person, explaining why, within the same time limit.
19. Where a child is transferring from one phase of education to another, for example, from primary to secondary school, their EHC Plan must be reviewed and amended by 15 February in the calendar year of the transfer. *(s18 (1)(b) SEND Regulations 2014)*

How we considered this complaint

20. We produced this report after examining relevant files and documents and speaking to the complainant.
21. We considered the relevant legislation and statutory guidance.
22. We gave Ms X and the Council a confidential copy of this report and invited their comments. We took the comments they made into account before finalising this report.

What we found

What happened

23. Z is classed as a child with several physical and mental health conditions. He used to have a Statement of Special Educational Needs which the Council transferred to an EHC Plan in January 2018.
24. Z's 2018 EHC Plan detailed the style of teaching he needed to achieve the outcomes in his Plan.
25. On 27 June 2018, towards the end of Z's time in Year 5, his school held his annual review. The school sent the Council the outcome of the review on 23 July 2018. This stated the Council needed to amend Z's EHC Plan.
26. In September 2018, Z moved into Year 6, his last year at primary school.
27. On 23 October 2018, the Council issued Ms X with a notice stating it planned to amend Z's EHC Plan. The Council sent Ms X a copy of Z's existing Plan.
28. On 7 November 2018, Ms X sent the Council a request to consult with her preferred placement which was Secondary School 1, a mainstream school. Ms X's second preference, School 2, was an independent special school.
29. On 16 and 30 November 2018, the Council consulted with School 1 and another school.
30. The Council held a Panel meeting in January 2019 to consider Z's school placement. The Panel agreed to name School 1 in Z's EHC Plan. However, the Council did not act upon this.
31. On 20 February 2019, the Council sent Ms X a copy of Z's draft amended EHC Plan.
32. In June and July 2019, the Council consulted with School 2 (Ms X's second preferred choice) and another school.
33. On 15 July 2019, the Council issued Z's final EHC Plan. Section I of the Plan said the Council had allocated Z *"a further year at [his current primary school] or until a suitable secondary school can be found"*.
34. The Plan also said one of Z's main difficulties was social interaction and Sections E and F contained the type of support he needed to develop his social skills so he could interact and co-operate with his peers.
35. Ms X did not appeal the Plan. This is because she said the Council agreed it would consult with six secondary schools over the summer holidays to speed up the process. Ms X could then visit the schools once they reopened in September. In response to our enquiries, the Council said it decided not to do this. It did not explain to Ms X that it had changed its intention to consult.

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36. In September 2019, Z was due to start Year 7 at secondary school. However, because the Council had not found a place for him, Z remained at his primary school. Whilst he was at primary school, Z received one to one teaching each morning based on the Year 7 curriculum. In the afternoons, he joined his class for Year 6 lessons. Ms X told me this worked well for Z because the teachers at his primary school understood him and could avoid the triggers he found distressing.
37. In November 2019, Ms X told the Council she had been to School 3 and it seemed suitable for Z. School 3 was an independent special school. Ms X asked the Council to consult with the School. Ms X said the Council refused to do so until Z had been for a trial placement. She said the Council also told her it would not consult with the school unless she requested an annual review. Ms X said the Council then conceded and said it would consult with School 3. It did not do so.
38. In January 2020, the Council consulted with two further schools. It named one of those schools, School 4, on Z's Plan which it finalised in February 2020. Ms X appealed to the Tribunal the same month.
39. The Tribunal heard the case in June 2020. It directed the Council to name School 3 on Z's EHC Plan. Since being at School 3, Z has followed the full Year 8 curriculum.

Ms X's complaint to the Council

40. On 29 November 2019, while the above events were taking place, Ms X complained to the Council. The Council responded on 28 April 2020, around five months after Ms X had complained. The Council made the following findings.

Delays in the annual review process

41. The Council said it took eight weeks too long to inform Ms X that it would amend Z's EHC Plan when the process began in 2018. It said this was due in part to the school which took four weeks to send the Council the request to amend Z's Plan following the annual review meeting. It also said the summer term was the "*main season*" for annual reviews which added to the delay. The Council said "*in terms of the overall transition process to secondary school, [we] do not find this to be a material delay in the process*".
42. The Council partially upheld this complaint.

Issuing of Z's final amended EHC Plan

43. The Council informed Ms X that it "*is not subject to a statutory timescale from the date of a decision to amend an EHC Plan following a SAR [statutory annual review] until a draft amended version of the EHC Plan has been sent to the parent. The LA then has 8 weeks in which to finalise that draft EHC Plan...*".
44. The Council stated it had issued Z's EHC Plan seven weeks late and also after the 15 February deadline required when pupils were transferring between key phases in their education. The Council upheld Ms X's complaint.

Consultations with schools

45. The Council did not uphold this complaint. It said it consulted with Ms X's preferred school promptly. It said it had no obligation to consult with Ms X's second preferred school (School 2) because it was not a school which had been approved by the Secretary of State.
46. The Council said "*the sending of consultations could have been 'more timelier'*" but did not uphold Ms X's complaint.

Delay in Z transferring to secondary school

47. The Council said the Panel had approved a place for Z at School 1 in January 2019 but officers had failed to act on this. The Council upheld Ms X's complaint.

Poor communication with the Council

48. The Council said Ms X had requested case officers contact her on 23 occasions between September 2018 and November 2019. The records show Ms X did not receive any substantive contacts from officers at all during this period. The Council upheld Ms X's complaint.
49. The investigating officer apologised to Ms X where they had found fault.
50. Ms X was unhappy with the Council's response and on 22 May 2020 she escalated her complaint to stage 2 of the complaint procedure. Ms X complained the Council had:
- taken too long to respond to her initial complaint; and
 - failed to find Z a suitable secondary school.
51. Ms X said this had left Z academically behind his peers and feeling isolated and lacking in self-worth because he thought he had been forgotten.
52. The Council responded on 30 June 2020, around six weeks later. It agreed it had taken too long to deal with Ms X's initial complaint and apologised for this.
53. The Council only partially upheld Ms X's complaint that it had failed to find Z a suitable secondary school. It said it acted in line with legislation when it named School 4 on Z's EHC Plan and it would shortly amend his Plan following the Tribunal's order to name School 3.
54. The Council acknowledged it had been a difficult time for Ms X and Z, made worse by COVID-19. However, it only partially accepted it was responsible for the delays in Z starting secondary school.
55. The Council said in future it would ensure the SEND Team communicated effectively with Ms X and it would issue Z's amended EHC Plan within the required timescales.
56. Ms X remained unhappy and complained to us.

Conclusion

Delays in the annual review process and the issuing of a final amended EHC Plan

57. Following an annual review meeting, a council must issue a decision letter within four weeks of holding the meeting. If amendments are required, the Code says councils must send the parent a copy of the proposed amendments "*without delay*". Councils then have a maximum of eight further weeks after sending the copy of the amendments to issue the final amended EHC Plan.
58. The school held Z's annual review meeting on 27 June 2018. The school informed the Council Z's Plan needed amending on 23 July 2018. The Council issued Ms X with the decision it would amend the Plan on 23 October 2018. This was nearly 17 weeks after the annual review was held. This substantial delay was 13 weeks longer than the law allows and was fault.

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59. A council must start the process of amending the EHC Plan without delay and then issue the final amended Plan within eight weeks of issuing the proposed amendments. The Council eventually issued Z's final amended EHC Plan on 15 July 2019, 56 weeks after the annual review process began in 2018. This was a significant delay and was fault.
60. The faults above are further compounded by the fact that the delays took place in a transition period for Z from primary to secondary school. The law says councils must review and issue the final amended EHC Plan by 15 February of the calendar year the child moves school. The Council issued Z's final amended Plan on 15 June 2019, 21 weeks after the deadline. This was also significant delay and was fault.
61. Ms X stated from the beginning that her preferred school was School 1. The Council consulted with the school and the Panel decided in January 2019 this should be the school named in Z's Plan. The Council failed to action this and this was fault.
62. In November 2019 Ms X asked the Council to consult with School 3. The Council did not have a duty to consult with this school, but it should have explained its reasons why it did not. It failed to do so and this was fault.

Injustice caused to Z

63. We can look at fault and the injustice caused by that fault up to the date Ms X's appeal rights were triggered which was in February 2020 because Ms X went on to lodge an appeal with the Tribunal.
64. Because of the delays in the EHC Plan process and the Council's failure to follow the Panel's instructions to name School 1 on Z's Plan, Z had to remain at primary school for Year 7. During this time, the Council ensured he received one to one Year 7 tutoring each morning. This meant that when he was able to transfer to secondary school in September 2020, Z was able to go into Year 8 with his peers. The Council therefore took appropriate steps to ensure he received a suitable education whilst remaining at primary school.
65. However, Z's EHC Plan included an outcome to develop Z's social skills so he could interact and co-operate with his peers more successfully. Because Z was kept behind for a year, he had to socialise with children who were not his peers, but who were younger than him. As a result, he missed out on the opportunity to mix with children his own age.
66. Ms X has said the delays in going to secondary school have been traumatic for Z. He felt like he had been forgotten and this led to distress and upset. He also had to join his school year late, when the other children had already made friendship groups. This will have been additional and unnecessary stress on an already vulnerable child. And it will also have caused Ms X distress as Z's mother.
67. Furthermore, because of the delays we have identified, Ms X's right of appeal to the Tribunal was also delayed which caused her additional frustration. The fact she then used that right when she could, shows she experienced injustice because of the Council's delays.

Council complaint responses

68. In its complaint responses to Ms X, although the Council admitted to some errors, it failed to identify the full extent of its fault. It only partially upheld Ms X's complaint that it delayed in the annual review process, when the delays were significant. It should have upheld her complaint in full. Its failure to do so was fault.
69. The Council also informed Ms X it delayed by "7 weeks" in issuing Z's EHC Plan. This was incorrect. The whole process from holding the annual review to issuing Z's Plan took over a year. The Council should have acknowledged the full extent of the delays. Instead, in its stage 1 response to Ms X, the Council said it "*is not subject to a statutory timescale from the date of a decision to amend an EHC Plan following a SAR [statutory annual review] until a draft amended version of the EHC Plan has been sent to the parent. The LA then has 8 weeks in which to finalise that draft EHC Plan...*".
70. This is not in line with the legislation. The regulations state councils must issue a decision letter to amend within four weeks of the annual review. It should then issue the amendment notice and draft Plan "*without delay*" and the final Plan within eight weeks of the amendment notice. The Council took 17 weeks to issue the notice to amend Z's Plan and did not finalise Z's Plan until 56 weeks after the annual review. At no stage did it act "*without delay*" and where there were specific statutory guidelines it failed to meet them. The Council should have acknowledged this to Ms X and apologised. The Council should amend its procedures to ensure they are in line with legislation.
71. The Council also stated its faults only partially led to the delays in Z transferring to secondary school. Again, we disagree. The Council's failure to name School 1 in January 2019 on Z's EHC Plan in line with the Panel's instructions was a significant fault and caused Z to remain at primary school.
72. The Council took around five months to respond to Ms X's stage 1 complaint. This was significantly longer than we would expect and was fault. The Council's response at stage 2 was within six weeks and we do not find fault with that timescale.
73. Because the Council's complaint response was delayed at stage 1 and failed to acknowledge in full where the Council had acted with fault, Ms X was left feeling unnecessarily frustrated. She was also caused additional time and trouble because she had to complain to us.

Agreed actions

74. The Council must consider the report and confirm within three months the action it has taken or proposes to take. The Council should consider the report at its full Council, Cabinet or other appropriately delegated committee of elected members and we will require evidence of this. (*Local Government Act 1974, section 31(2), as amended*)
75. To remedy the injustice identified in this report, within three months of the date of this report the Council has agreed to:
- apologise to Ms X for the faults we have identified; and
 - pay Ms X on behalf of herself and Z, £1,000 to acknowledge the distress Z experienced when he was unable to transfer to secondary school at the same time as his peers for a whole school year and for the unnecessary frustration,

distress and time and trouble Ms X experienced because of the Council's faults.

76. Within six months of the date of this report the Council has agreed to review its processes to ensure it is carrying out annual reviews, issuing decision notices and finalising amended Education, Health and Care Plans in line with the statutory guidelines.
77. The Council has agreed to provide us with evidence it has carried out these recommendations.

Decision

78. The Council was at fault when it delayed in carrying out Z's annual review, issuing his final amended Education, Health and Care Plan and consulting with secondary schools. As a result, Z missed out on special educational provision and had to remain in primary school for an additional year. The Council has agreed to take the action identified in paragraphs 74 to 76 to remedy that injustice and prevent a similar recurrence in the future.

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Agenda Item

FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

17 June 2021

Report of the Executive Director of Children's Services

**Urgent Decision taken by the Executive Director
Children's Services**

COVID Local Support Grant

(Children's Services and Safeguarding)

1. Divisions Affected

1.1 Countywide

2. Key Decision

2.1 This is a key decision as it concerns expenditure in excess of £500,000 and will impact of communities living in more than two electoral districts.

3. Purpose

3.1 Cabinet is asked to note the urgent decision taken by the Executive Director of Children's Services on 10 May 2021 to approve additional spending plans for the Derbyshire County Council allocation of the COVID Local Support Grant (CLSG). This scheme is a successor to the Covid Winter Grant Scheme (CWGS) for vulnerable families which ran from 1 December 2020 until 16 April 2021 and will continue until 20 June 2021. The CLSG Delivery Plan attached with Enclosures at end of this paper, had to be submitted to DWP no later than 14 May 2021, and

therefore time for the normal decision-making protocols was not possible.

4. Information and Analysis

- 4.1 On 14 April 2021, the Government announced a successor to the COVID Winter Grant Scheme with an additional £40 million funding which will be available nationally from 17 April 2021. CLSG will be allocated to local authorities on the same basis as the previous CWGS, using the population of each authority weighted by a function of the English Index of Multiple Deprivation. The allocation for the Council was £513m.
- 4.2 The Executive Director of Children's Services has taken the urgent decision that the extension of the scheme continues in the same manner as that contained within the Cabinet Report dated 14 January 2021 at Appendix 1. with the continued distribution of a shopping voucher scheme to eligible cohorts. Further details of plans to distribute the funding to vulnerable adults are set out in the attached report and enclosures.

5. Consultation

- 5.1 Consultation was undertaken with Age UK Derby and Derbyshire to establish the need and ongoing opportunity to support vulnerable older people, and this is a client group that is under-represented in the applicant profile for Derbyshire Discretionary Fund. Given the short time frame available, they indicated that a grant fund of £35,000 would be a manageable allocation for Age UK Derby and Derbyshire to disperse and ASCH colleagues have offered to work to extend existing CWGS arrangements to monitor this.

6. Alternative Options Considered

- 6.1 To not extend the scheme. This is not recommended as children, families and vulnerable adults would not receive the benefits from the scheme. No other options were considered.

7. Implications

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

8. Background Papers

8.1 The following background papers and published documents are available to aid decision making:

- Executive Directors Urgent Decision – COVID Winter Grant Scheme dated 2 December 2020.
- Cabinet Report - Report of the Executive Director of Children's Services – Urgent Decision taken by the Executive Director of Children's Services COVID Winter Grant – dated 14 January 2021.
- COVID Winter Grant Scheme Update – dated 26 February 2021
- Cabinet Report - Report of the Executive Director of Children's Services – Urgent Decision taken by the Executive Director of Children's Services COVID Winter Grant Extension– dated. 15 April 2021
- DWP COVID Local Support Grant 3 guidance: 17 April 2021 to 20 June 2021 (Updated 21 May 2021)

9. Appendices

9.1 Appendix 1- Implications.

9.2 Appendix 2 – Executive Director Urgent Decision, COVID Local Grant Scheme Report – 10 May 2021

10. Recommendation(s)

That Cabinet notes the Urgent Decision taken by the Executive Director.

11. Reasons for Recommendation(s)

11.1 It was essential that the Executive Director took an urgent decision in order to ensure that plans could progress to meet the DWP grant requirements to commit all CLSG expenditure before the 20 June 2021.

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

12.1 *Yes, it is necessary to waive the call-in period as the decision is urgent and any delay likely to be caused by the call-in process would seriously prejudice the Council's or the public interest.*

Report Author: Sarah Edwards,

Contact details: sarah.edwards@derbyshire.gov.uk

Implications**Financial**

- 1.1 The Children's Services revenue budget will be adjusted to reflect this new ring-fenced grant and it will be monitored through the usual financial monitoring process and in line with the grant conditions. A summary of the grant allocation is set out in Table 1.
- 1.2 It must be noted, as per the Cabinet Report dated 14 January 2021, it is the intention of the Council to ensure that all of the grant directly reaches vulnerable members of the community. Consequently, the Council will not take administrative costs from the grant unless there is remaining unused grant at the close of the scheme to prevent unused funds having to be returned or become unclaimed.

Table 1:

	Food & Utilities	Other	Total
	£m	£m	£m
Vouchers for vulnerable families with children (including FSM) and care leavers	478,182	0	0
Vulnerable Adults	0	35,000	0
Administration	0	0	0
Total	93%	7%	513,182

Legal

- 2.1 The Council's Constitution provides that "notwithstanding any other provision of the Constitution Strategic Directors shall have the power, after discussion, if practicable, with the Leader of the Council or the relevant Cabinet Member or Chair, to take such actions deemed to be necessary and expedient in matters requiring urgent consideration and which, because of the timescale involved, or the need to safeguard the interests of the County Council, cannot be dealt with by submission to the next following meeting of the Council, Cabinet, Cabinet Member or Committee."

Human Resources

- 3.1 None.

Information Technology

4.1 None.

Equalities Impact

5.1 Equality of opportunity has been considered in preparing this report.

Corporate objectives and priorities for change

6.1

Other

7.1 In preparing this report the relevance of the following factors has been considered: Human Rights, equality of opportunity, health, environmental, transport, property and crime and disorder considerations.

**CHILDREN'S SERVICES
EXECUTIVE DIRECTOR URGENT DECISION
COVID Local Grant Scheme**

Head of Service Submitting request	Sarah Edwards, Head of Service – Programmes, Commissioning and Transformation, Childrens Services)
Date of Submission	10 May 2021
Date submitted to Executive Director	10 May 2021
Executive Director Decision	Approved
Executive Director Approval	<p>Signed:</p>  <p>JANE PARFREMENT</p>
Date of Executive Director Decision	10 May 2021

RESTRICTED

Urgent Decision Report of the Executive Director of Children's Services

DERBYSHIRE COUNTY COUNCIL

10 May 2021

Report to the Strategic Director for Children's Services

The COVID Local Support Grant

Purpose of the Report

1. The purpose of this report is to ask the Executive Director for an urgent decision to approve additional spending plans for the Derbyshire County Council allocation of the COVID Local Support Grant (CLSG). This scheme is a successor to the Covid Winter Support Scheme (CWGS) for vulnerable families which ran from 1 December 2020 until 16 April 2021 and will continue until 20 June 2021. The CLSG Delivery Plan attached with Enclosures at end of this paper, must be submitted to DWP no later than 14 May 2021, and therefore time for the normal decision-making protocols has not been possible.

Information

2. On 14 April 2021, the Government announced a successor to the COVID Winter Grant Scheme with an additional £40 million funding which will be available nationally from 17 April. CLSG will be allocated to local authorities on the same basis as the previous CWGS, using the population of each authority weighted by a function of the English Index of Multiple Deprivation.
3. CLSG funding reflects the easing of lockdown restrictions as we move through the roadmap outlined by the Government in February. This funding will ensure that County Councils and Unitary Authorities can support those most in need across England with the cost of food, energy and water bills and other associated costs. Derbyshire County Council's allocation is £513,182.
4. The CLSG has the same eligibility criteria as CWGS and uses the same reporting template (incorporating the Statement of Grant Usage Management Information (MI) Return), as the previous Covid Winter Grant Scheme. A new summary report setting out how the authority intends to

spend the additional grant is attached in Appendix 3 at end of this paper and this must be submitted to DWP by 14 May 2021.

5. Apart from the change in name the grant conditions remain the same with the exception of a new rule that no underspends from the previous tranches of grant funding can be brought forward.
6. The Department for Work and Pensions (DWP) will continue to provide funding to County Councils and Unitary Authorities, under section 31 of the Local Government Act 2003, who will administer the scheme and provide direct assistance to vulnerable households and families with children particularly affected by the pandemic. This will include some families who normally have access to Free School Meals during term time. County Councils and Unitary Authorities in England will have the ability to deliver the scheme through vouchers or grants. The newly named CLSG will run from 17 April to 20 June 2021.
7. The Local Authority can determine eligibility in their area and target their support within the scope of the grant conditions:
8. Given the smaller amount of grant that Derbyshire is eligible to receive for this next tranche and the short timescale for spending the grant it is proposed that a the majority of the grant is spent on the provision of food vouchers for families meeting local criteria of vulnerabilities, those families where children are in receipt of free school meals due to low income of the household and to care leavers across the May half term holidays. In addition to this a grant fund of £35,000 will be given to Age UK Derby and Derbyshire to support vulnerable older people. No allowance would be set aside for administrative costs but it should be noted that up 10% could be claimed if there is an underspend in the budget when the final account is prepared in June 2021. For reference, the administrative costs incurred in facilitating distribution of the Covid Winter Grant Scheme across the three previous tranches of support are estimated to be approximately £100,000. Most of this cost is internal staff time.

Families with Children

9. It is recommended that the scheme continues in same manner as that contained within the Cabinet Report dated 14 January 2021 at Enclosure 2, with the continued distribution of a voucher to the eligible cohort. However, in line with the reduction in size of the grant the voucher per eligible child will be £20 based on issue of vouchers to 27,000 eligible children. The rationale for the different voucher values is set out in paragraph 11.

Vulnerable Adults Scheme

10. Discussions with Adult Social Care and Health colleagues, who in turn have discussed with third party providers, confirm that the support measures under the Covid Winter Grant scheme have been well received and effective in offering support to vulnerable households impacted over the winter. Alternative extended provision is being made available through the Derbyshire Discretionary Fund (one of the channels for the CWGS vulnerable households support) for the next six months at least, using Public Health CONTAIN funding.

Age UK Derby and Derbyshire have indicated a potential need and ongoing opportunity to support vulnerable older people, and this is a client group that is under-represented in the applicant profile for Derbyshire Discretionary Fund. Given the short time frame available, a grant fund of £35,000 would be a manageable allocation for Age UK Derby and Derbyshire to disperse and ASCH colleagues have offered to work to extend existing CWGS arrangements to monitor this.

In addition, it is proposed to replicate the CWGS provision to Care Leavers aged 18 – 25 and these are included in the voucher costs figures in this report.

Options for the value of the vouchers

11. It should be noted that on each of the three previous rounds of allocation of vouchers at Christmas, February half terms and Easter an average of 20% of vouchers have not been redeemed. Despite considerable effort to contact parents/carers sending out reminders to recipients by email and text and extending the expiry date of the vouchers not all recipients have chosen to redeem their vouchers. A piece of work is ongoing to establish any reasons for this. This has resulted in an underspend in all three voucher issues at Christmas, half term and Easter. Each time any available funding has been released to allocated to vulnerable families. To avoid the risk of this situation occurring again and the Council potentially having to underclaim against the full potential grant allocation one option would be to issued vouchers of a higher value on the assumption that there will only be an 80% take up of vouchers. Vouchers can only be issued in multiples of £5 so we have considered two options to issue vouchers valued at £15 or £20 and the implication of each is set out in Table 1 below for consideration by SMT.

Table1: Implication of the proposed different voucher values

Number of vouchers to be issued		27000		Total budget available		£478,182	
Voucher value £	Total spend	Assumptions based on 80% redemption rate			Potential over-spend		Risks
		Actual cost	No of vouchers redeemed	Potential under-spend	85% voucher redeemed	100% voucher redeemed	
£15	£405,000	£324,000	21,600	£154,182	Nil	Nil	There is a risk that there will be an underspend based on pattern of voucher redemption (80% in all previous rounds)
£20	£540,000	£432,000	21,600	£46,182	Nil Under-spend reduced to £19,182	£61,818	There is a risk of a small budget underspend based on 80% take up or an overspend of £61k if there is 100% take-up

The implications of the different voucher values are set out in the table above and members of SMT are asked to consider the risks and benefits of issuing vouchers valued at £15 or £20 per child /care leaver. It is recommended that the vouchers are valued at £20.

Please note in either scenario no administration time is accounted for and this is a cost to the Council.

Additional Information

- It has been agreed that surrounding local authorities will continue to support eligible children schooled in their area regardless of their home address; it is recommended this remains the same for Derbyshire County Council. Therefore, children who go to school in Derbyshire but live outside the County are included in this calculation in keeping with other Local Authority plans.

13. The Derbyshire scheme will be supporting individual children (eg.one voucher per child) within the family group as opposed to awarding the same grant to each family regardless of size.

Other Options Considered

14. To not extend the scheme. This is not recommended as children, families and vulnerable adults would not receive the benefits from the scheme. No other options were considered.

Reason for Recommendations

15. The recommendations support the conditions and purpose of the grant as set by government whilst meeting local priorities and have proved to be successful to date.

Statutory and Policy Implications

16. This report has been compiled after consideration of implications in respect of crime and disorder, data protection and information governance, finance, human resources, human rights, the NHS Constitution (public health services), the public sector equality duty, safeguarding of children and adults at risk, service users, smarter working, sustainability and the environment and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

17. The Children & Families revenue budget will be adjusted to reflect this new ring-fenced grant and it will be monitored through the usual financial monitoring process and in line with the grant conditions.

It must be noted, as per the Cabinet report 14 January, it is the intention of Derbyshire County Council to ensure that all of the grant directly reaches vulnerable members of the community, consequently the Council will not take administrative costs from the grant unless there is remaining unused grant at the close of the scheme to prevent unused funds having to be returned or become unclaimed.

Legal Considerations

18. The Council's Constitution provides that "notwithstanding any other provision of the Constitution Strategic Directors shall have the power, after discussion, if practicable, with the Leader of the Council or the relevant Cabinet Member or Chair, to take such actions deemed to be necessary and expedient in matters requiring urgent consideration and which, because of the timescale involved, or the need to safeguard the interests of the County Council, cannot be dealt with by submission to the next following meeting of the Council, Cabinet, Cabinet Member or Committee."
19. The Improvement and Scrutiny Procedure Rules State: "13(6) The call-in procedure set out above shall not apply where the decision being taken by Cabinet is urgent. A decision will be urgent if any delay likely to be caused by the call-in process would seriously prejudice the Council's public interest. All reports recommending that decision to be taken should say whether or not it is proposed that call-in be waived. The record of the decision, and notice by which it was made public, shall state whether in the opinion of the decision-making person or body, the decision is an urgent one, and therefore not subject to call-in. The Chairman of the appropriate Improvement and Scrutiny Committee should agree both the decision proposed is reasonable in all circumstances and to it being treated as a matter of urgency. Decisions taken as a matter of urgency should be reported to the next available meeting of the Council, together with the reason for urgency."
20. Councillor Musson, Chair of the Improvement and Scrutiny Committee has been consulted about the waiver of call-in due to the urgent nature of the decision required; to get his agreement that special urgency applies and the notice of key decision is not required; and to seek support for the action being taken.

Background Papers and Published Documents

21. The following background papers and published documents are available to aid decision making:
 - Executive Directors Urgent Decision – COVID Winter Grant Scheme dated 2 December 2020.
 - Cabinet Report - Report of the Executive Director of Children's Services – Urgent Decision taken by the Executive Director of Children's Services COVID Winter Grant – dated 14 January 2021.

- COVID Winter Grant Scheme Update – dated 26 February 2021
- Cabinet Report - Report of the Executive Director of Children's Services – Urgent Decision taken by the Executive Director of Children's Services COVID Winter Grant Extension– dated. 15 April 2021

Key Decision

22. Yes.

Officer's Recommendation(s)

23. That the Executive Director:

- Approves the overarching succession Covid Local Support Grant spending plan for Derbyshire County Council as detailed above
- Approves the recommendation to issue vouchers with a value of £20 taking into account the risks and benefits set out in table 1 in paragraph 11.

Sarah Edwards,
Head of Service - Programmes,
Commissioning and Transformation
Childrens Services

APPENDIX 3

COVID Local Support Grant 17 April – 20 June 2021 Delivery Plan	
Name of Authority	
How are you planning to spend your allocation	
Supporting children eligible for Free School Meals (FSM) (£s)	
Supporting children not currently eligible for FSMs (£s)	
Support for utilities (£s)	
Other Essentials (£s) (Please provide examples)	
Scheme Administration (£s)	
Not allocated yet (£s)	
Total of above (£s)	
If the above does not total your allocation is the balance likely to be unspent at the end of the scheme? Y/N. Please explain.	
If you are planning to provide support to vulnerable children during the half term school holidays please advise:	
How are you providing support (Vouchers; food parcels; delivering support through schools; delivering support through other third party organisations)?	
How much have you allocated per child per week (£s)	
How many vulnerable children will you be supporting	
Are you providing support to all children that would receive FSM in term time (Y/N)	
If No, how are you selecting which families to support?	
If you are <u>not</u> targeting provision to cover FSM during the half term school holiday with the additional funding	
Are you using other funds to provide support during half term school holiday? Y/N or N/A	
If Y or N to previous question, please	

explain including where funding is coming from e.g. previous periods of the scheme, own LA funds, HAF etc.	
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FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

17 June 2021

Report of the Executive Director - Place

Impact of the National Bus Strategy on the Future Development of Bus Services in Derbyshire

(Highways, Asset and Transport)

1. Divisions Affected

1.1 County-wide.

2. Key Decision

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

3. Purpose

3.1 To update Cabinet on the implications of the Government's recently announced National Bus Strategy which sets out the future shape and ambitions for local bus service provision and the options available to local transport authorities.

- 3.2 To consider the viability of the options and agree the creation of an Enhanced Partnership for Derbyshire supported by a Bus Service Improvement Plan, within the timescales set out in the Strategy.

4. Information and Analysis

4.1 Background

On 15 March 2021, Government published the first National Bus Strategy for England. The main objective of the Strategy is to reverse the long-term decline in bus use nationally which has been exacerbated by the impact of the COVID-19 pandemic. It aims to achieve this by making bus services more frequent, reliable, better co-ordinated and cheaper. To enable this, Government wants to see major improvements in a variety of areas including bus priority measures, vehicle emission standards, the provision of service information, simplified ticketing arrangements and the joint marketing of services. Government has committed to provide £3bn of new transformation funding nationally to help drive forward these improvements.

- 4.2 Central to these changes, the Strategy expects all local transport authorities (LTAs) in England to play a much bigger role than they do currently in the way bus services are operated in their area. Under the existing deregulated model of bus provision which has been in place since the 1986, most services are provided on a commercial basis. This means it is the bus companies themselves who decide the route of the service, the timetable, fares, types of vehicle used, etc, based on what they think makes the best commercial proposition. It is only when bus companies feel there is not a commercial case to operate a route in a particular area, or time of day, that LTAs can become involved by specifying and funding additional services to fill gaps in commercial provision. Prior to the pandemic, approximately 80% of bus passenger journeys in Derbyshire were made on commercially operated services, with the remainder 20% of journeys taken routes financially supported by the Council.

- 4.3 The Strategy expects all LTAs in England to replace this deregulated model in their area with one of two options:

- 4.4 **Franchising** – Under a franchising model, LTAs determine which bus services should be provided, with bus operators bidding for the right to run them on a contractual basis. Although the franchising model gives LTAs full control of where and when buses operate, the fares charged, etc, it also means the LTA is required to meet the overall cost of providing all the services in their area that are not met by passenger fares and other income. As a result, any requirement by the LTA to

make financial savings in its bus service budget would mean routes having to be scaled back or withdrawn altogether as there would be no commercial network to fall back on. There are also a variety of other costs associated with franchising, such as the need to establish large scale bus planning, procurement and monitoring teams within the LTA to manage and develop the whole network over time. Other costs, such as buying depot sites for franchise service operators to garage their buses, may also be required. As the specifier of the bus network, it would be the LTA which would also become directly responsible for any problems linked to the services which may, in turn, result in the need for additional political involvement in the day to day operation of the network.

- 4.5 Under current legislation, only Mayoral Combined Authorities (MCAs) have an automatic right to use franchising powers. For franchising to be introduced in Derbyshire, the County Council would need to develop a full business case setting out the reasons why it wanted this arrangement and then apply to the Secretary of State for Transport for permission to receive these powers. To date, no non-MCA has decided to pursue this model and the franchising system is only operational in London. Greater Manchester is, however, actively pursuing plans to introduce franchising, but it has taken nearly four years of work by Transport for Greater Manchester (TfGM) to reach the point where the final decision to commit to the franchise model has now been taken. It is anticipated that the first franchised services will start operating in Manchester in 2023 with the process being completed by 2025. TfGM anticipate the cost of introducing franchising in its area will be £135m.
- 4.6 **Enhanced Partnerships** - Enhanced Partnerships (EPs) are a new type of partnership arrangement between LTAs and bus operators. The purpose of the EP is to create a formal, collaborative agreement between LTAs and bus operators to deliver bus improvement objectives. As part of an EP, the LTA and operators can set service standards, including the timing or frequency of services along specific routes, the type of vehicle to be used and the availability of ticket products and payment methods. EPs also allow for integration between different modes, such as bus and rail, with more joint ticketing arrangements and better timetabling to allow interchange. An EP would therefore bring many of the benefits of a franchise in terms of providing a more joined up bus network, but would be cheaper to introduce for LTAs as the financial risk for running commercial services would still remain with the bus operators. In this way, it would also support more effective and sustainable place making as part of the County's green recovery ambitions, allowing due consideration to be given to existing and future travel to learn, travel to work and leisure patterns and

encouraging modal shift in line with 'good growth' principles. EPs would, however, still place significant obligations on the LTAs, with the National Bus Strategy making it clear they would need to invest in significant bus priority measures, as well as upgrades to bus stop infrastructure. Other elements of EPs, such as establishing integrated ticketing arrangements, joint marketing of the network and improvements to information provision would also inevitably result in addition costs to the LTA.

- 4.7 To date, only one EP has been introduced in England which covers the whole of the Hertfordshire County Council area. The Partnership's objectives include prioritising bus services in traffic, closer integration of the different bus companies' networks, upgrading roadside infrastructure and improving the image of bus travel generally. As the EP was only launched in April 2020, it is too soon to comment on its impact. However, Hertfordshire has, in the past, been involved in a number of different bus partnership arrangements which have been successful at increasing passenger numbers.
- 4.8 The National Bus Strategy makes it clear that adoption of either franchising or EPs is essential if LTAs are to receive future funding from the Department for Transport (DfT), not only for bus related activities but for transport projects more generally, such as new roads or cycle schemes. Future Government funding to bus operators is also likely to be dependent on them taking part in these arrangements. It is therefore in the best interest of bus passengers, the Council and bus operators to fully commit to the process proposed.
- 4.9 The DfT anticipates that most LTAs will choose to pursue EPs rather than franchising, and this is the recommended approach for Derbyshire. Implementation of franchising would be significantly more complex and costly and would bring additional financial risk for the Council which, given the significant impact of Covid-19 on bus use, is difficult to quantify. This is not to say franchising could not be introduced at a later stage if an EP approach does not prove to be a success. However, in the short to medium term, EPs would seem to offer the best option to achieve improvements, whilst at the same giving the Council an opportunity to get a better understanding of how the new franchise arrangements in places such as Greater Manchester, work in practice.
- 4.10 **Implementation process and progress to date**
A very challenging timetable is set out in the Strategy to introduce these changes:

- 4.11 By 30 June 2021, the Council and bus operators will need to commit in principle to establishing EPs across Derbyshire. From initial discussions with the local bus operators in Derbyshire, it is pleasing to note that all have expressed a willingness to take part in the process.
- 4.12 By 31 October 2021, the Council must publish a Bus Service Improvement Plan. This will be developed by the County Council in collaboration with bus operators, local businesses, district and borough councils and passenger groups and it will focus on what needs to be done to deliver the bus network that the LTAs wants to see. The Bus Service Improvement Plan (BSIP) will also be used by the DfT to judge how much of the £3bn Transformation Fund each LTA will be allocated for future bus projects and support.
- 4.13 From 1 April 2022, an EP will need to be in place covering all of Derbyshire.
- 4.14 The Bus Service Improvement Plan (BSIP) is central to achieving the objectives set out in the National Bus Strategy. The DfT has therefore set out a very detailed list of the contents it wants to see specified in the plans. These include:
- Setting bus journey time and reliability improvement targets for services across the County as a whole, and in each of the largest towns.
 - Identifying where bus priority measures are needed and how traffic management can be improved to benefit buses.
 - Setting targets for passenger growth and customer satisfaction which will need to be reported publicly every six months.
 - A fares policy to make bus travel cheaper including integrated and multi-modal ticketing schemes and discounted youth fare options.
 - Improving roadside bus infrastructure.
 - Considering how a coherent and integrated bus network should serve schools, health, social care, employment and other key locations across the County.
 - Creating a strong network identity across all bus services in the area.
 - Measures to improve connectivity between different bus services and between bus and other modes such as rail.
 - Improvements to bus service information.
 - Committing to establish a Bus Passenger Charter that sets out what passengers can expect from bus operators providing services across the EP area.
 - Details of the level of funding provided by the Council for supported bus services.

- 4.15 The BSIP will also need to set out how these changes will be delivered by the EPs along with the associated investment plans of the Council and the bus operators to achieve this. BSIPs will need to be updated annually and be reflected in the Council's Local Transport Plan and other local transport strategies, such as those for cycling and walking. In the Strategy, the DfT particularly highlights the East Midlands as a region where it wants to see ambitious BSIPs with higher frequency services and lower fare proposals to create "superbus" networks.
- 4.16 After the BSIP is submitted at the end of October 2021, it is anticipated there will be a period of extended negotiation with the bus operators to finalise the details of the EP. At the same time, detailed consultation will be undertaken with passenger groups, the Derby, Derbyshire, Nottingham and Nottinghamshire Local Enterprise Partnership (D2N2 LEP), businesses, borough and district councils and other stakeholders to ensure their views and aspirations are included in the final partnership document.
- 4.17 As most staffing resources within the Public Transport Unit are already committed with ongoing operational issues and service recovery, following the ending of Covid restrictions, external consultants from Systra have been appointed to help develop the draft EP documentation and the BSIP. This work has been supported by initial capacity building money from DfT. Currently, officers are also working with neighbouring LTAs to see if a joint EP covering a number of areas would be appropriate. Bus routes and their passengers take little account of council boundaries and it is therefore considered there is potential merit to having a joined-up set of standards across neighbouring authorities. However, this would not preclude each LTA setting out their own BSIP covering the specific improvements they would like to see in their area. Following the preliminary meetings with bus operators to ensure they were willing to commit in principle to an EP, more detailed discussions are now taking place.

5. Consultation

- 5.1 Initial informal consultation with the various companies who provide bus services in Derbyshire has already taken place and all of them have confirmed they would be willing to take part in an EP. Further detailed consultation will take place over the coming months as the terms of the EP are developed in detail, along with the BSIP. Informal consultation has also taken place with neighbouring LTAs to explore the potential for joint EP arrangements.

- 5.2 During the development of the EP and BSIP, it is expected that further consultation will be undertaken with a variety of other stakeholders including bus users groups, D2N2, businesses, and borough and district councils to ascertain views and commitment to the partnership.

6. Alternative Options Considered

- 6.1 The following alternative options have been considered:

6.2 **Do nothing and continue with current arrangement** – The National Strategy makes it clear that unless an LTA agrees to introduce an EP or franchising in their area by the 30 June 2021, they will not receive future discretionary funding from the DfT, for bus related activities or for transport projects more generally. Doing nothing is therefore not considered a practical option.

6.3 **Introduce franchising rather than an enhanced partnership** – Franchising would bring with it considerable financial risks for the County Council as it would be responsible for meeting the overall cost of providing all the services in Derbyshire not covered by passenger fares and other income. Currently, estimating this cost would be very difficult due to the significant impact of the pandemic on bus passenger numbers over the last year. Also, the County Council does not have the automatic right to introduce franchising as, under the existing legislation, only MCAs have these powers. To gain this authority from the Secretary of State for Transport and start the process by the end of June is not considered a practical option.

7. Implications

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

8. Background Papers

- 8.1 Bus Back Better, the National Bus Strategy for England
https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/980227/DfT-Bus-Back-Better-national-bus-strategy-for-England.pdf

9. Appendices

- 9.1 Appendix 1- Implications.

10. Recommendation(s)

That Cabinet:

- a) Notes the new National Bus Strategy and the increased responsibilities this places on the Council in relation to bus services.
- b) Approves entering into an Enhanced Partnership arrangement and the associated relevant notice of intent process with all of the bus operators who provide local bus services in Derbyshire, other relevant stakeholders in Derbyshire, and potentially with other local transport authorities if a joint area Partnership is found to be mutually beneficial.
- c) Notes the requirement for an increased commitment to revenue and capital funding for public transport to support the Enhanced Partnership over the medium term.
- d) Agrees to receive a further report later in the year which will set out in more details the terms of the Enhanced Partnership proposed and the measures in the Bus Service improvement Plan.

11. Reasons for Recommendation(s)

- 11.1 The new National Bus Strategy sets out the long-term policy direction for bus services in England and Cabinet needs to be aware of the increased role this places on local transport authorities.
- 11.2 For the reasons set out in the report, enhanced partnerships are considered to be the more appropriate of the two options proposed in the Strategy and the County Council will need to enter into such an agreement with other stakeholders to meet the Department for Transport's requirements.
- 11.3 Enhanced partnership arrangements will require the County Council to consider future budget implications, the planning of which needs to commence at the earliest opportunity as part of the Medium Term Financial Strategy.
- 11.4 To ensure Cabinet is fully apprised of the details of the Enhanced Partnership and content/ implications of the Bus Service Improvement Plan once these have been developed.

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

- 12.1 No.

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Implications

Financial

- 1.1 The Council has a total of around £35m committed revenue expenditure per annum across all transport services, including statutory Home to School (HTS), Special Educational Needs or Disabilities (SEND), and Adult Social Care Transport. This includes around £10m of concessionary fare payments which is a statutory duty. In 2021/22, the Council is also committing £1.2m from its capital programme on public transport infrastructure schemes. At the moment, it is difficult to anticipate what changes are needed to Council funding arising from the creation of an EP as this will depend on the measures introduced, the funding received from Government to support the BSIP and the spending commitments of the various bus operators. Government has already committed to provide an initial funding of £100,000 to support the development of the EP process and to continue to pay other discretionary funding to the Council, including Covid Bus Service Support Grant (CBSSG) until such times as it is no longer needed (NB: provided the Council and operators agree to commit to the EP process by the end of June 2021). It is, however, clear there will need to be an ongoing revenue and capital funding commitment from the Council to support the process over the life of the initial EP agreement which is anticipated to be 5-10 years. The EP is however a lower cost solution than the alternative of introducing Franchising, or not pursuing either, which would result in all discretionary funding from Government ending.

Legal

- 2.1 Section 63(1) of the Transport Act 1985 places a duty on Derbyshire County Council to secure the provision of '*such passenger transport services as the Council considers appropriate to meet any public transport requirement within Derbyshire which would not, in its view, be met, apart from any action taken by them for that purpose*'.

As part of the Strategy the government is proposing to issue further guidance to expand the definition of this duty to include services which are "socially or economically necessary".

Human Resources

- 3.1 Whilst much of the initial work on the process to date has been undertaken by the Passenger Transport Unit and their consultants, there will be a requirement for staff from the rest of the Place

Directorate to become more fully engaged in the development of the EP and BSIP. For example, it is essential the new Local Transport Plan currently being developed by the Transport Strategy Team reflects the objectives for bus services in the EP. The development of bus priority infrastructure will also require the active involvement of the highways teams to design and implement schemes. Other Council departments such as the communications team may also need to be involved in the process of marketing the EP. More generally, the Council will also need to ensure that none of the other schemes being developed by the authority create a significantly adverse effect on bus services.

Information Technology

4.1 There are no direct information technology implications to this report.

Equalities Impact

5.1 Bus services are particularly important to a variety of disadvantaged groups such as young people, older people, women, and those from economically deprived communities, all of which make a higher proportion of journeys by bus than the population as a whole. The introduction of an EP and the measures associated with the BSIP will not only enhance the quality of bus services available but will support our wider levelling up agenda across all communities and ambitions for driving 'good growth'. Particularly, it, will improve the opportunity for these people to access a variety of key opportunities such as education, employment and health care provision.

Corporate objectives and priorities for change

6.1 This proposal is helping deliver the following Council Plan priorities: Resilient, Healthy and Safe Communities; High Performing, Value for Money and Resident-Focused Services; A Prosperous and Green Derbyshire. Specifically, creation of an Enhanced Partnership will also enable the delivery of Place Directorate priorities around sustainable transport and travel. and

6.2 The following issues have also been considered: environmental sustainability and property.

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

7.1 None arising directly from this report. Individual projects may involve the acquisition of property as they progress.



FOR PUBLICATION

DERBYSHIRE COUNTY COUNCIL

CABINET

17 June 2021

Report of the Executive Director - Place

Regeneration Kick Start Fund – Management Arrangements

(Infrastructure and Environment)

1. Divisions Affected

1.1 County-wide

2. Key Decision

2.1 No. Allocation of £2 million to the Regeneration Kick Start Fund was approved by Cabinet on 21 January 2021.

3. Purpose

3.1 To seek Cabinet approval to the management arrangements for the approved Regeneration Kick Start Fund, provide an overview of infrastructure schemes currently in preparation with potential for Government funding that may be supported by the Kick Start Fund, and to delegate authority for initial submissions to be made for two such projects.

4. Information and Analysis

4.1 Background

At its meeting of 21 January 2021, as part of the Revenue Budget Report 2021-22, Cabinet approved funding for a Regeneration Kick-

Start Fund of £2,000,000 (Minute No 18/21 refers). As described in the report, there is a need to pump prime, or 'kick start', capital projects that can bring forward good growth for Derbyshire, providing housing, jobs and skills. Where these projects involve bids for external grant funding, they will always require significant up-front investment to cover activity such as economic and transport modelling, preliminary design and cost estimating, planning consent and land assembly (in order to demonstrate deliverability for funders) all of which form essential elements of the business cases that get submitted to the grant funders. Typically, the costs associated with these early activities have to be funded from revenue, prior to any capital grant being confirmed.

- 4.2 The context for this 'kick start' initiative is a combination of the need to bring forward suitable projects not only for the Council's 'business as usual' programme, but also in response to ad hoc funding opportunities announced by Government, typically within the context of COVID economic recovery. In recent months, these funding announcements have included: Levelling Up Fund; Community Renewal Fund; Towns Fund; Restoring Your Railways; and Zero Emission Bus Regional Areas (ZEBRA).
- 4.3 It is often the case that the timescales for project delivery are tight to fit within the constraints of funding availability and that this can rule out the submission of projects which have not reached a certain level of 'readiness' ahead of the launch of a fund. This is exemplified by the Getting Building Fund (GBF), designed to ensure early delivery of regeneration projects as part of a national Covid-19 recovery strategy where the grant conditions required that all funding was spent within a 15-month period from funding confirmation. Due to the limited amount of revenue funding to support project readiness (e.g. detailed design work, planning consent, land assembly etc) the Council had no suitable projects in the pipeline that were capable of taking advantage of the GBF and being delivered within the requisite timescale.
- 4.4 Similarly, the Levelling Up Fund which was launched in March 2021, requires (except for a limited number of large projects) works to have commenced on site during 2021-22 and all grant funding to have been spent by March 2024. For any significant project requiring consents or land assembly, it will never be possible to take advantage of such funds unless work on these aspects is complete or, at the very least, already in hand prior to submission for grant funding. Even where it is possible to bring forward schemes which can be delivered quickly, these will tend to be those with the fewest constraints rather than those bringing the greatest benefits to residents, businesses or the wider economy.

4.5 The availability of the Regeneration Kick Start Fund will help to address this issue by ensuring the Council has funded and completed preparatory work for potential projects and is at an advantageous stage of project preparation, thus making it more likely to successfully access external funding. Ultimately, this approach will help ensure the Council's own resources go further.

4.6 **Developing the Process for Identifying Priorities**

The current Strategic Growth and Infrastructure Framework (SGIF) has been drawn together on behalf of the D2 (Derby and Derbyshire) Joint Committee for Economic Prosperity. This provides a comprehensive picture of potential projects around the County and has been developed in partnership with district and borough councils using established/accepted project assessment methodologies; it is proposed this Framework be used as the initial basis of assessing candidate projects for the Kick Start Fund, notwithstanding any emerging or priority considerations that may also need to be applied (e.g. new Government policy announcements). Cabinet will note, though, as set out in paragraph 4.2 above, that a number of funds have recently emerged which offer opportunities to address emerging priorities (such as low-carbon fuels) which may also be valid for the Fund.

4.7 Projects already identified that are worthy of consideration include:

- South Derby Growth Zone/Infinity Garden Village (SDGZ):

The enabling infrastructure for this major land-use development has a strong strategic and economic (value for money) case, and already enjoys the benefit of planning consent. It is of such a scale and complexity that it will be difficult to make a credible case within Government funding programmes unless further preparation is undertaken in advance.

Promoters of 'large' transport schemes such as SDGZ have the option of submitting to Government an Application Form to the Levelling Up Fund which, if accepted, will lead to an invitation to prepare a business case. The first round of Levelling Up funding has a submission deadline of 18 June 2021, and officers are working with colleagues from Derby City and South Derbyshire District councils on a potential application form submission by this date, although later submission may be required. Although submission of the Application Form will not impose any binding commitment, the project itself could have a number of longer term implications for the Council in terms of delivery and resourcing. To facilitate access to the potential £50m Levelling Up transport pot, preparation of a credible business case is essential and will require 'pump priming' funding, either from the Kick

Start Fund or elsewhere. Given the short timescales for submission, Cabinet is asked to delegate to the Executive Director – Place the authority to submit an Application Form for Levelling Up fund and to progress business case preparation.

- Derwent Valley Corridor:

This work programme involves a potential package of schemes, including transport and energy projects, Elvaston Castle and the re-purposing of other key buildings within the World Heritage Site. This programme is scalable but complex and could benefit from early work on some of its key components.

- Restoring Your Railway:

Government announced a major funding opportunity for local authorities, community and interest groups to submit expressions of interest around re-opening defunct passenger lines. Three potential projects have emerged that impact upon Derbyshire and are in the initial stages of consideration by Government:

- Barrow Hill Line
- Maid Marian Line
- Ivanhoe Line

Each of these is being led by other public bodies, but if the schemes are confirmed by Government as successful in moving into the next stage of approval - and to ensure the economic and social benefits to Derbyshire are maximised, they will require County Council investment in some form.

- Recovery and Renewal Priorities

Amongst the various workstreams reporting to the County's Economic Recovery Board, the Low Carbon Mobility Task Force has been focussed upon ways to accelerate the take-up of low-carbon fuels for larger vehicles. Potentially very helpful to this has been the launch of the ZEBRA fund, as referred to above in 4.2, and designed to support exactly this area of work. Like the Levelling Up fund, this has been launched with a short preparation period for the submission of Expressions of Interest, with a 25 June deadline. Again, submission of an expression of interest does not represent any firm commitment on the part of the County Council at this stage but it does represent an important statement to Government of our low carbon and future fuels ambitions. Given the short timescales for submission for the expression of interest, Cabinet is requested to authorise the Executive Director – Place to submit an expression of interest on the Council's behalf in order to keep options open for future business case submissions.

- **Further Levelling Up Propositions**

As well as the South Derby Growth Zone/Infinity Garden Village there is potential for a number of district or borough-led propositions to be made for Derbyshire. These will not necessarily require the support or resources from the County Council, but some may seek this or raise opportunities where the provision of some Kick Start funding would add value.

Each of the above will need some capacity funding to ensure they fully achieve their regeneration potential and are ready to access suitable sources of capital 'development' grants (see below).

4.8 Prospects for Grant or Other External Funding

As described previously to Cabinet, the Regeneration Kick Start Fund will be deployed on the early stages of work on regeneration and infrastructure projects. It will not provide either the capital required for delivery nor a source of revenue to support ongoing costs. A key consideration in identifying suitable projects for Kick Start support will therefore be the likelihood of a project being able to attract grant funding or becoming a sustainable, commercial proposition.

4.9 Potential to Recover Invested Monies

The current Regeneration Kick Start Fund is limited to £2m and whilst this is a substantial sum, it will not be sufficient to support an endless number of projects over the long term, therefore the ability to recover aspects of Kick Start funding (and return it to the original pot of money) as a projects progress through other funding stages is essential; in short, it will help create a 'revolving fund'. It is proposed that two potential sources of recovering funding be taken into account in project selection:

- The scope for incurred Kick Start costs to be recovered retrospectively from any future grant funding. It is anticipated that most capital-linked costs incurred in preparation will be recoverable in this way, but that revenue costs on early (feasibility) stages of work will not. Clearly, with recovery from this source alone the fund will continue to deplete over time.
- The scope for public sector revenue generation. Although this is not the core objective of the Kick Start Fund, if it can be used to support projects which do create revenue it has the potential to become truly 'revolving' and to enable regeneration projects over the longer term. Examples of where this opportunity may arise would be projects which involve the delivery of commercial premises in which the Council could take a role in management or ownership. Sources of opportunities could include Markham Vale and the One Public Estate programme - although Kick Start funding will not normally be

considered where there is capacity funding in place from another source.

4.8 The Council has successfully made use of an assessment framework for feasibility projects for other similar initiatives, notably the Derby and Derbyshire Business Rate Pooling programme. This included support for feasibility work, with priorities assessed against the Government's Green Book requirements and the framework can be utilised again in slightly modified form to assess priorities for Kick Start funding; the modification being to reflect the criteria above on the recoverability of the investment. The proposed project template and assessment method are included in the report as Appendix 2.

4.9 **Governance**

The Place Directorate operates a standing Strategy and Growth Panel which brings together senior representatives from within the Department and relevant corporate functions (including legal, property and finance). The Panel meets monthly to review progress on regeneration projects in feasibility or preparation stages and carries out 'due diligence' on any potential new projects ahead of recommendations to Cabinet on whether and how the Council should involve itself in them. The Panel is well placed to review proposals for the Kick Start Fund against the selection criteria set out above and to carry out gateway reviews between stages of work. The Panel will assemble recommendations, taking into account the above criteria, and make these to the Executive Director – Place who will allocate the fund to projects in liaison with the Director of Finance (in line with the agreed conditions of the original Cabinet report in January 2021).

4.10 **Ensuring Appropriate Alignment of Resources to Support Delivery**

The early stages of work on any potential project inevitably will involve the commissioning of work to explore engineering options, transport modelling and cost estimating for which the Council currently has limited capacity. Therefore, to ensure that any work sent to external consultants is necessary, properly scoped and meets the objectives of the Kick Start fund, an initial 'sift' and assessment of work packages will be required. The most expedient and efficient way of doing this assessment will be utilising in-house resources to essentially reduce the long list of SGIF projects down to a more manageable number by undertaking work around: production of briefs, assessment of proposals against the frameworks outlined above, preparation of funding packages, review of findings etc. The Economy and Regeneration Service has limited capacity to undertake this additional volume of work so it is proposed the Fund makes provision for two, fixed term project officers (detailed in Human Resources Considerations below) to carry

out those elements of work which are best undertaken in-house and to administer the work which is commissioned to consultants.

5. Consultation

- 5.1 None associated with this decision. Individual regeneration projects will be the subject of public and internal consultation as appropriate during their preparation and prior to commencement on site.

6. Alternative Options Considered

- 6.1 Alternatives to the allocation of the Regeneration Kick Start Fund would be:

Option 1

For the Council to await scarce, external resources to become available before beginning preparatory work on potential major regeneration projects. This is not considered an appropriate option as pump priming funds are almost non-existent and this would result in the Council – and D2 – having very few projects ready to take advantage of capital grant funds. This would significantly hamper Derbyshire's regeneration and growth ambitions, to the detriment of local communities and businesses.

Option 2

For the Council to utilise other limited revenue funds and undertake pump priming work on projects outside of a confirmed evaluation framework. This could result in vast sums being expended on work packages that aren't necessary, timely or meaningful. Again, this would significantly hamper Derbyshire's regeneration and growth ambitions, to the detriment of local communities and businesses.

Cabinet has already approved the £2m Kick Start Fund to support project preparation so the best option is considered to be the adoption of a systematic approach to evaluation and prioritisation of projects (and related work packages) as set out in this report.

7. Implications

- 7.1 Implications of this decision are set out in Appendix 1.

8. Background Papers

- 8.1 The Regeneration Kick Start Fund was created through Revenue Budget Report 2021-22 approved by Cabinet on 21 January 2021.

9. Appendices

9.1

Appendix 1: Implications

Appendix 2: Assessment Framework

10. Recommendation(s)

That Cabinet:

- a) Approves the evaluation and assessment processes set out in the report for the allocation to projects of the Regeneration Kick Start Fund, noting that the Executive Director – Place will approve the final, proposed allocations in liaison with the Director of Finance & ICT.
- b) Notes the potential projects listed in the report, but with the acknowledgement that these may not be the ones approved on full assessment.
- c) Authorises the Executive Director – Place to submit an Application Form for the Levelling Up Fund for the South Derby Growth Zone and an Expression of Interest for the Zero Emission Bus Regional Area, noting that these do not represent any firm commitments on the Council at this stage.

11. Reasons for Recommendation(s)

- 11.1 To put in place proportionate governance for the allocation of the Regeneration Kick Start Fund, ensure the best use of Council resources and allow progression of priority projects.

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

- 12.1 No.

Report Author: Jim Seymour Contact details:

Implications

Financial

- 1.1 The report sets out appropriate and proportionate arrangements for the allocation of funding already approved by Cabinet. Included in the budget proposals are the costs for two full time, fixed term (up to two years) project officer posts to support delivery of project assessment.

Legal

- 2.1 None.

Human Resources

- 3.1 As set out in the body of this report, it is recommended that the Kick Start fund be utilised in part to create two, fixed-term (potentially up to two-years) project officer roles. The posts are proposed to be fixed term on the basis that the Economy and Regeneration Service has a pending restructure and the substantive alignment of roles/responsibilities around project support will be considered as part of this work. Notwithstanding the restructure, however, the volume of work pending and the timescales for the likely launch of new capital funding schemes (March 2022 onwards) means there is a significant amount of work progress in the meantime and the ability for the Council to carry out the early feasibility work on projects will ensure opportunities to access this external funding will be maximised.
- 3.2 If approved in principle by Cabinet, the draft job person profiles (provisionally Grade 11) will be submitted and evaluated in accordance with the Council's job evaluation scheme and funded from the overall Kick Start budget. Recruitment to the posts would be undertaken in accordance with the Council's recruitment procedures.

Information Technology

- 4.1 None other than the provision of appropriate equipment for project officers.

Equalities Impact

- 5.1 None. Individual projects will be the subject of Equalities Impact Assessments as they are prepared.

Corporate objectives and priorities for change

6.1 None

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

7.1 None arising directly from this report. Individual projects may involve the acquisition of property as they progress.

Project Details

Project Name:			
District/ Location:			
What is the project and what will it deliver? (Promoter's mandate)			
Lead Delivery Organisation:		Lead Contact:	
Other Delivery Partners:			
Other Key Stakeholders:			
Additional comments:			
Appraisal Completed By:		Date Completed:	

The Strategic Case

The strategic case demonstrates that there is a clear rationale for intervention and that the project/ programme will fit with wider public policy objectives.

What is the rationale for the project	
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<p>What are the project objectives?</p>		
<p>Why is public funding or approval potentially required?</p>		
<p>Fit with wider policies and objectives. Which national, sub-national or local strategies/policies are supported?</p>		
<p>The Economic Case</p>		
<p>The Economic Case demonstrates that the project will deliver clear outputs, outcomes and appropriate best value economic impacts</p>		
	<p>Assessment</p>	<p>Justification for assessment</p>

		nothing ?	beneficiaries?									
Jobs and economic growth	Appraisal Objectives											
	Enabling future delivery - activities which comprise preliminary works to initiate a project which will provide additional economic benefit in the longer term.					++ Strong positive impact, no negative impacts	+ Slight to moderate positive impact	0 No impact or neutral impact	+/- Mixed positive and negative impacts - no overall consensus at this stage.	- Slight to moderate negative impact	-- Strong negative impact and significant conflict which needs to be resolved.	? The impact cannot be predicted at this stage
	Business support - projects which enable the safeguarding and growth of business					++ Strong positive impact, no negative	+ Slight to moderate positive impact	0 No impact or neutral impact	+/- Mixed positive and negative impacts - no overall	- Slight to moderate negative impact	-- Strong negative impact and significant conflict which	? The impact cannot be predicted at this stage

The Management Case demonstrates that the proposal will be delivered within the relevant timescale.

<p>Is there a delivery plan to ensure successful completion of the feasibility study? Please provide a project timetable.</p>		Yes					No	
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The Financial Case

What are the estimated costs of the feasibility study?

<p>Is the cost of the study expected to be eligible for reimbursement from grant funding?</p>	Yes					No	
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Would the project reflected in the study bring about an increase in public sector revenues?	Yes					No		

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