

Please ask for Democratic Services

Phone (01283) 595722/ 595848

Typetalk 18001

DX 23912 Swadlincote

Democraticservices@southderbyshire.gov.uk

Our Ref

Your Ref

Date: 1 July 2020

Dear Councillor,

Finance and Management Committee

A Meeting of the **Finance and Management Committee** will be a **Virtual Committee**, held via Microsoft Teams on **Thursday, 09 July 2020 at 18:00**. You are requested to attend.

Yours faithfully,



Chief Executive

To:- **Conservative Group**

Councillor Watson (Chairman), Councillor Angliss (Vice-Chairman) and Councillors Mrs. Brown, Fitzpatrick, Ford, MacPherson and Roberts

Labour Group

Councillors Dr. Pearson, Rhind, Richards, Southerd and Taylor

AGENDA

Open to Public and Press

- | | | |
|-----------|---|------------------|
| 1 | Apologies and to note any Substitutes appointed for the Meeting. | |
| 2 | To note any declarations of interest arising from any items on the Agenda | |
| 3 | To receive any questions by members of the public pursuant to Council Procedure Rule No.10. | |
| 4 | To receive any questions by Members of the Council pursuant to Council procedure Rule No. 11. | |
| 5 | Reports of Overview and Scrutiny Committee | |
| 6 | CORPORATE PLAN 2020 TO 2024 - QUARTERLY PERFORMANCE REPORT (2019-2020 QUARTER 4 - 1 JANUARY TO 31 MARCH | 4 - 33 |
| 7 | EVALUATION OF CAPITAL PROJECTS | 34 - 44 |
| 8 | TRANSFORMATION AND BUSINESS CHANGE PLAN 2020 TO 2024 | 45 - 67 |
| 9 | SPONSORSHIP | 68 - 82 |
| 10 | COMMENTS, COMPLIMENTS, COMPLAINTS & FREEDOM OF INFORMATION REQUESTS | 83 - 89 |
| 11 | CORPORATE EQUALITIES ANNUAL REPORT 2019-20 | 90 - 111 |
| 12 | COMMITTEE WORK PROGRAMME | 112 - 117 |

Exclusion of the Public and Press:

- 13** The Chairman may therefore move:-
That in accordance with Section 100 (A)(4) of the Local Government Act 1972 (as amended) the press and public be excluded from the

remainder of the Meeting as it is likely, in view of the nature of the business to be transacted or the nature of the proceedings, that there would be disclosed exempt information as defined in the paragraph of Part I of the Schedule 12A of the Act indicated in the header to each report on the Agenda.

- 14** To receive any Exempt questions by Members of the Council pursuant to Council procedure Rule No. 11.

Details

- 15** REGRADING OF POST - SENIOR ECONOMIC DEVELOPMENT OFFICER

| | | |
|--------------------------------|---|------------------------------|
| REPORT TO: | FINANCE AND MANAGEMENT COMMITTEE | AGENDA ITEM: 6 |
| DATE OF MEETING: | 9th JULY 2020 | CATEGORY: DELEGATED |
| REPORT FROM: | LEADERSHIP TEAM | OPEN DOC: |
| MEMBERS' CONTACT POINT: | FRANK MCARDLE (EXT. 5700) KEVIN STACKHOUSE (5811) | |
| SUBJECT: | CORPORATE PLAN 2020-24: PERFORMANCE REPORT (2019-2020 QUARTER 4 – 1 JANUARY TO 31 MARCH) | |
| WARD (S) AFFECTED: | ALL | TERMS OF REFERENCE: G |

1.0 Recommendations

- 1.1 That the Committee considers progress against performance targets set out in the Corporate Plan 2020 - 2024.
- 1.2 That the Risk Register for the Committee's services are reviewed.

2.0 Purpose of the Report

- 2.1 To report progress against the Corporate Plan under the priorities of Our Environment, Our People and Our Future.

3.0 Executive summary

- 3.1 The Corporate Plan 2020 – 2024 was approved following extensive consultation into South Derbyshire's needs, categorising them under three key priorities: Our Environment, Our People and Our Future. The Corporate Plan is central to the Council's work – it sets out its values and vision for South Derbyshire and defines its priorities for delivering high-quality services.
- 3.2 This Committee is responsible for overseeing the delivery of the key priorities and the following key aims

Our Environment

- *Improve the environment of the District*
- *Tackle climate change*
- *Enhance the attractiveness of South Derbyshire*



Our People

- *Engage with our communities*
- *Supporting and safeguarding the most vulnerable*
- *Deliver excellent services*

Our Future

- *Develop skills and careers*
- *Support economic growth and infrastructure*
- *Transforming the Council*

4.0 Detail

Council performance against the priorities– Quarter 4 2019-2020

- 4.1 Information can be found in the Performance Dashboard in **Appendix A**. A detailed description of each performance measure including mitigating actions and actions to sustain and improve performance is included in the detailed Performance Measure Report in **Appendix B**.
- 4.2 Questions regarding performance are welcomed from members in relation to the Corporate performance measures that fall under the responsibility of their Committee and are referenced in the detailed Performance Measure Report in **Appendix B**
4. The Risk Register for the Committee's services is detailed in **Appendix C**. This includes the register and risk mitigation plans for the relevant departmental Risk Register. Each risk has been identified and assessed against the Corporate Plan aims which are considered to be the most significant risks to the Council in achieving its main objectives. The Risk Register(s) detail a risk matrix to summarise how each identified risk has been rated.

5.0 Financial and Implications

- 5.1 None directly.

6.0 Corporate Implications

Employment Implications

- 6.1 None directly.

Legal Implications

- 6.2 None directly.

Corporate Plan Implications



- 6.3 This report updates the Committee on the progress against the key measures agreed in the Corporate Plan and demonstrates how the Council's key aims under the priorities, Our Environment, Our People and Our Future contribute to that aspiration.

Risk Impact

- 6.4 Key risks impacting on this Committee are detailed in Appendix C, alongside the treatment and the mitigating actions in place to manage these risks.

7.0 Community Impact

Consultation

- 7.1 None required.

Equality and Diversity Impact

- 7.2 Not applicable in the context of the report.

Social Value Impact

- 7.3 Not applicable in the context of the report.

Environmental Sustainability

- 7.4 Not applicable in the context of the report.

8.0 Appendices

Appendix A – Performance Dashboard 2020-2024

Appendix B – Performance Measure Report

Appendix C – Risk Register(s)

Notes:

- * Category – Please see the Committee Terms Of Reference in [Responsibility for Functions - Committees](#). This shows which committee is responsible for each function and whether it has delegated authority to make a decision, or needs to refer it elsewhere with a recommendation.



** Open/Exempt - All reports should be considered in the open section of the meeting, unless it is likely that exempt information would be disclosed. Please see the [Access to Information Procedure Rules](#) for more guidance.

*** Committee Terms Of Reference in [Responsibility for Functions - Committees](#).



| Priority | Key Aim | | Outcome | PI Ref | How success will be measured | (Q4) Jan 20- Mar 20 Outturn | Annual Target 2020-2021 | Plan Target 2020-2024 | Head of Service | Strategic Lead | Committee |
|-----------------|--|---|--|--------|---|---|--|--|--|---|-----------|
| Our Environment | Keeping a clean, green District for future generations | E1. Improve the environment of the District | E1.1 Reduce waste and increase composting and recycling | E1.1A | Household waste collected per head of population | Cumulative (Apr-Mar) 407 kgs (estimate) Q4 (Dec-Mar) 94kgs (estimate) | Sustain during Yr1 (407kgs) | Sustain during Y1 and Y2. See a downward trend in Yrs3 and 4 | Adrian Lowery, Head of Operational Services | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| | | | | E1.1B | % of collected waste recycled and composted | Cumulative (Apr-Mar) 46% (estimate) Q4 (Jan-Mar) 40% (estimate) | Sustain during Yr1 (46% or >) | Sustain during Y1 and Y2. See an upward trend in Yrs. 3 and 4 | Adrian Lowery, Head of Operational Services | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| | | | E1.2 Reduce fly tipping and litter through education, engagement and zero tolerance enforcement action where appropriate | E1.2A | Number of fly tipping incidents | 714 (total figure for 2019/20) | < 714 | Downward trend over 4 years | Matt Holford, Head of Environmental Services | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| | | | | E1.2B | Improve the quality of the District through the Local Environmental Quality Survey | The first survey was completed in January 2020 the result was 89.67% above grade C+. Committee report being prepared. Some service PIs developed to assist overall performance. | >90% | >90% | Adrian Lowery, Head of Operational Services | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| | | | E1.3 Enhance biodiversity across the District | E1.3A | % of eligible new homes and commercial developments to achieve net gain in Biodiversity by a minimum of 10% compared to the sites pre development baseline. | Not possible to provide as outputs not held in software until April 2020. Monitoring underway and baseline data to be provided Q1 and Q2. | 85% | 85% | Steffan Saunders, Head of Planning and Strategic Housing | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| | | E2. Tackle climate change | E2.1 Strive to make South Derbyshire District Council carbon neutral by 2030 | E2.1A | Reduce South Derbyshire District Council carbon emissions | No update required for Q4. First update to be provided Q1 2020-21. | Achievement of Actions contained in the South Derbyshire Climate and Environment Action Plan 2020-24 (C&EAP) | Achievement of Actions contained in the South Derbyshire Climate and Environment Action Plan 2020-24 (C&EAP) | Matt Holford, Head of Environmental Services | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| | | | E2.2 Work with residents, businesses and partners to reduce their carbon footprint | E2.2A | % of new homes to meet water efficiency targets as set out in the Part G optional standard of 110 litres of potable water usage per person per day | Baseline figure of 50% based on 18 qualifying decisions in Q4. | 85% | 85% | Steffan Saunders, Head of Planning and Strategic Housing | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| | | E3. Enhance the attractiveness of South Derbyshire | E3.1 Enhance the appeal of Swadlincote town centre as a place to visit | E3.1A | Increase Swadlincote Town Centre visitor satisfaction | 49% of respondents would recommend Swadlincote Town Centre - May 2019. No update required for Q4. First update to be provided Q2 2020-21 | 50% | National small towns average 72%. Target to be above the National average by 2023/24 | Mike Roylance, Head of Economic Development and Growth | Frank McArdle, Chief Executive | F&M |
| | | | E3.2 Improve public spaces to create an environment for people to enjoy | E3.2A | The number of Green Flag Awards for South Derbyshire parks | 2 | Four Year Target - 4 | Increase from two green flag park awards to four by 2024 | Mary Bagley, Head of Cultural and Community Services | Allison Thomas, Strategic Director, Service Delivery | H&CS |
| | | | | E3.2B | Proportion of good quality housing development schemes | 92% | 90.0% | % of schemes which score high | Steffan Saunders, Head of Planning and Strategic Housing | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| Our People | g the future needs of the District | P1. Engage with our communities | P1.1 Support and celebrate volunteering, community groups and the voluntary sector | P1.1A | Number of new and existing Community Groups supported | 36 | Proxy | Year 1 (Proxy)- collate baseline data. Year 2-4 we will show either an increase or decrease | Mary Bagley, Head of Cultural and Community Services | Allison Thomas, Strategic Director, Service Delivery | H&CS |
| | | | P1.2 Help tackle anti-social behaviour & crime through strong and proportionate action | P1.2A | Number of ASB interventions by type | 2,893 ASB reports | Proxy | Proxy Measure to show service activity | Matt Holford, Head of Environmental Services | Allison Thomas, Strategic Director, Service Delivery | H&CS |
| | | P2. Supporting and safeguarding the most vulnerable | P2.1 With partners encourage independent living and keep residents healthy and happy in their homes. | P2.1A | Number of households prevented from Homelessness | 103 cases | Proxy | Proxy Measure to show service activity | Paul Whittingham, Head of Housing | Allison Thomas, Strategic Director, Service Delivery | H&CS |
| | | | | P2.1B | Continue to undertake interventions per year to keep families out of fuel poverty | Numbers of interventions in 2019/20 were not recorded | 300 interventions | 300 interventions (2020-21) Target to be reviewed thereafter. | Matt Holford, Head of Environmental Services | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| | | | P2.2 Promote health and wellbeing across the District | P2.2A | Deliver the objectives identified in the South Derbyshire Health & Wellbeing Group | Not applicable for Q4 | 100% of actions delivered | 100% of actions identified delivered | Mary Bagley, Head of Cultural and Community Services | Allison Thomas, Strategic Director, Service Delivery | H&CS |
| | | | P2.3 Improve the condition of housing stock and public buildings. | P2.3A | Deliver the Planned Maintenance Housing programme over four years | £2,717,193.80 | 100% against the annual plan 2020-21 | 100% | Paul Whittingham, Head of Housing | Allison Thomas, Strategic Director, Service Delivery | H&CS |
| | | | | P2.3B | Develop and deliver the Public Buildings programme over four years | Project Plan for 2020-21 developed | 25% of assets to be surveyed and the planned maintenance programme for phase one to be created | 100% | Steve Baker, Head of Corporate Property | Kevin Stackhouse, Strategic Director, Corporate Resources | F&M |
| | | | | P2.3C | Average time taken to re-let Council homes | Q4 157 days YTD 122 days | Median Quartile Performance (Benchmark via Housemark) | Median Quartile Performance (Benchmark via Housemark) | Paul Whittingham, Head of Housing | Allison Thomas, Strategic Director, Service Delivery | H&CS |

| Priority | | Key Aim | Outcome | PI Ref | How success will be measured | (Q4) Jan 20- Mar 20 Outturn | Annual Target 2020-2021 | Plan Target 2020-2024 | Head of Service | Strategic Lead | Committee |
|--|--|---|--|--------------------------------|---|---|--|--|--|---|--|
| P e o p l e | Working with communities and meetin | | P2.4 Support social mobility to ensure people have the opportunity to access skilled jobs, higher and further education. | P2.4A | South Derbyshire's ranking in the Social Mobility Commissions Social Mobility Index increases | 311 | Ranked >311 on the Social Mobility Index | Upward Trend | Mike Roylance, Head of Economic Development and Growth | Frank McArdle, Chief Executive | F&M |
| | | P3. Deliver Excellent Services | P3.1 Ensuring consistency in the way the Council deal with service users | P3.1A | Increase the number of customers who interact digitally as a first choice | 1,219 Covid-19 Business Grants, 1,282 Council Tax and digital forms and 12,343 online website submissions | Upward Trend | Upward Trend | Elizabeth Barton, Head of Customer Services | Kevin Stackhouse, Strategic Director, Corporate Resources | F&M |
| | | | P3.2 Have in place methods of communication that enables customers to provide and receive information. | P3.2A | Reduce face-to-face contact to allow more time to support those customers who need additional support | 2,463 enquiries dealt with at Customer Services Desk. Visitors to office 4,490.Please note this was up to 20th March as offices then closed due to Covid19. | Downward trend in Face to Face interactions | Downward trend in Face to Face interactions | Elizabeth Barton, Head of Customer Services | Kevin Stackhouse, Strategic Director, Corporate Resources | F&M |
| | | | P3.3 Ensuring technology enables us to effectively connect with our communities. | P3.3A | Number of customer telephone calls answered by Customer Service | 21,350 calls handled & 4,930 automated call payments | Downward Trend | Downward Trend | Elizabeth Barton, Head of Customer Services | Kevin Stackhouse, Strategic Director, Corporate Resources | F&M |
| | | | | P3.3B | Increase digital engagement (Twitter, Instagram, Facebook) | Total FACEBOOK fans: 22,440, total TWITTER followers: 11,448, No Instagram account yet, total ALL SOCIAL MEDIA fans: 33,888. Social Media queries: 287 | Upward Trend | Upward Trend | Fiona Pittam, Head of Organisational Development & Performance | Kevin Stackhouse, Strategic Director, Corporate Resources | F&M |
| | | | P3.4 Investing in our workforce | P3.4A | Increase the level of staff engagement | No Q4 Update. First Staff survey to take place in 20/21. | No target for Yr1.Baseline Data only | Annual Increase in the % of Staff completing the survey | Fiona Pittam, Head of Organisational Development & Performance | Kevin Stackhouse, Strategic Director, Corporate Resources | F&M |
| | | | | P3.4B | Number of apprenticeships | 4 (1.2% of head count) | >2.3% of head count | >2.3% of head count | Fiona Pittam, Head of Organisational Development & Performance | Kevin Stackhouse, Strategic Director, Corporate Resources | F&M |
| | | | | P3.4C | % of staff days lost due sickness | 3.58% | Downward Trend | Downward Trend | Fiona Pittam, Head of Organisational Development & Performance | Kevin Stackhouse, Strategic Director, Corporate Resources | F&M |
| | | | | P3.4D | % of employees that consider that the Council has a positive health and safety culture | No Q4 update for 19/20. Baseline data to be collated during 20/21. | No target for Yr1.Baseline Data only | Upward Trend | Fiona Pittam, Head of Organisational Development & Performance | Kevin Stackhouse, Strategic Director, Corporate Resources | F&M |
| | | O u r F u t u r e | Growing our District and our skills base | F1. Develop skills and careers | F1.1 Attract and retain skilled jobs in the District | F1.1A | Increase the number of employee jobs in South Derbyshire | 32,000 | More than Q4 2019/20 | Upward Trend | Mike Roylance, Head of Economic Development and Growth |
| F1.2 Support unemployed residents back into work | | | | | | | | | | | |
| F2. Support economic growth and infrastructure | F2.1 Encourage and support business development and new investment in the District | | | F2.1A | Annual net growth in new commercial floorspace (sqm) | 2885 sqm | 12,269.5 sqm | Upward Trend | Mike Roylance, Head of Economic Development and Growth | Frank McArdle, Chief Executive | F&M |
| | | | | F2.1B | Total Rateable Value of businesses in the District | £67,486,786 | More than Q4 2019/20 | Upward Trend | Mike Roylance, Head of Economic Development and Growth | Frank McArdle, Chief Executive | F&M |
| | F2.2 Enable the delivery of housing across all tenures to meet Local Plan targets | | | F2.2A | Speed of decision on discharging conditions on housing applications | 80% | 90% within 8-13 weeks or as agreed with the applicant | 90% within 8-13 weeks or as agreed with the applicant | Steffan Saunders, Head of Planning and Strategic Housing | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| | | | | F2.2B | % of planning applications determined within the statutory period | 93% | >90% | >90% | Steffan Saunders, Head of Planning and Strategic Housing | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| | F2.3 Influence the improvement of infrastructure to meet the demands of growth. | | | F2.3A | Secure new facilities and contributions through Section106 to mitigate impacts of development. Achieve all necessary highway, education, healthcare, and recreation contributions | No Q4 update for 19/20. New indicator, data will be collected from April 2020 onwards as retrospective data is not possible to collect. | 90% | 90% | Steffan Saunders, Head of Planning and Strategic Housing | Allison Thomas, Strategic Director, Service Delivery | E&DS |
| F3. Transforming the Council | F3.1 Provide modern ways of working that support the Council to deliver services to meet changing needs. | | | F3.1A | Deliver against the Transformation Action Plan | No Q4 update for 19/20. Transformation plan to report from Q1 onwards | Deliver 100% against action plan | Deliver 100% against action plan | Anthony Baxter, Head of Business Change and ICT | Kevin Stackhouse, Strategic Director, Corporate Resources | F&M |
| | F3.2 Source appropriate commercial investment opportunities for the Council | | | F3.2A | Develop our approach towards the commercialisation of services which include grants, sponsorship, fees and charges and operating models and increase the income generated from these activities | Preliminary discussion between Operational Services and Finance have taken place, working group and action plan not yet established | Form a working group & Action Plan | Y1 – Form a working group & Action Plan Y2 – deliver against action plan and sustain an upward trend in revenue | Adrian Lowery, Head of Operational Services | Allison Thomas, Strategic Director, Service Delivery | F&M |

Corporate Plan 2020-2024

Performance Measure Report

Team: Organisational Development and Performance

Date: March 2020



Our Environment | Our People | Our Future

www.southderbyshire.gov.uk

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Performance Measure Report

Corporate Plan 2020-2024

Summary

The Corporate Plan 2020-2024 has 35 Corporate Measures which underpin the Council's three priorities Our Environment, Our People, Our Future. The following Committees are responsible for overseeing the delivery of the following key aims and outcomes:

Environmental and Development Services Committee (E&DS) is responsible for 12 Corporate measures under the key aims:

- E1. Improve the environment of the District
- E2. Tackle climate change
- E3. Enhance the attractiveness of South Derbyshire
- P2. Supporting and safeguarding the most vulnerable
- F2. Support economic growth and infrastructure

Housing and Community Services Committee (H&CS) is responsible for seven Corporate measures under the key aims:

- E3. Enhance the attractiveness of South Derbyshire
- P1. Engage with our communities
- P2. Supporting and safeguarding the most vulnerable

Finance and Management Committee (F&M) is responsible for 16 corporate measures under the key aims:

- E3. Enhance the attractiveness of South Derbyshire
- P3. Deliver Excellent Services
- F1. Develop skills and careers
- F2. Support economic growth and infrastructure
- F3. Transforming the Council



Environmental and Development Services Committee (E&DS) is responsible for 12 Corporate measures

Our Environment

Measure

[Household waste collected per head of population](#)

[% of collected waste recycled and composted](#)

[Number of fly tipping incidents](#)

[Improve the quality of the District through the Local Environmental Quality Survey](#)

[% of eligible new homes and commercial developments to achieve net gain in Biodiversity by a minimum of 10% compared to the site's predevelopment baseline.](#)

[Reduce South Derbyshire District Council carbon emissions](#)

[% of new homes to meet water efficiency targets as set out in the Part G optional standard of 110 litres of potable water usage per person per day](#)

[Proportion of good quality housing development schemes](#)

Our People

Measure

[Continue to undertake interventions per year to keep families out of fuel poverty](#)

Our Future

Measure

[Speed of decision on discharging conditions on housing applications](#)

[% of planning applications determined within the statutory period](#)

[Secure new facilities and contributions through Section106 to mitigate impacts of development. Achieve all necessary highway, education, healthcare, and recreation contributions](#)



Housing and Community Services Committee (H&CS) is responsible for seven Corporate measures

Our Environment

Measure

[The number of Green Flag Awards for South Derbyshire parks](#)

Our People

Measure

[Number of new and existing community groups supported](#)

[Number of Anti-social behaviour \(ASB\) interventions by type](#)

[% of households prevented from homelessness](#)

[Deliver the objectives identified in the South Derbyshire Health and Wellbeing Group](#)

[Deliver the Planned Maintenance Housing programme over four years](#)

[Average time taken to re-let Council homes](#)



Finance and Management Committee (F&M) is responsible for 16 corporate measures

Our Environment

Measure

[Increase Swadlincote Town Centre visitor satisfaction](#)

Our People

Measure

[Develop and deliver the Public Buildings programme over four years](#)

[South Derbyshire's ranking in the Social Mobility Commissions Social Mobility Index increases](#)

[Increase the number of customers who interact digitally as a first choice](#)

[Reduce face-to-face contact to allow more time to support those customers who need additional support](#)

[Number of customer telephone calls answered by Customer Services](#)

[Increase digital engagement \(Twitter, Instagram, Facebook\)](#)

[Increase the level of staff engagement](#)

[Number of apprenticeships](#)

[% of staff days lost due sickness](#)

[% of employees that consider that the Council has a positive health and safety culture](#)

Our Future

Measure

[Increase the number of employee jobs in South Derbyshire](#)

[Annual net growth in new commercial floorspace \(sqm\)](#)

[Total Rateable Value of businesses in the District](#)

[Deliver against the Transformation Action Plan](#)

[Develop an approach towards the commercialisation of services which include grants, sponsorship, fees and charges and operating models and increase the income generated from these activities](#)



CHIEF EXECUTIVE'S RISK REGISTER (AS AT Q4 2019/20)

Appendix C

| Risk | Rating and Current Position | Risk Treatment | Mitigating Actions | Change since last Quarter |
|--|--|---|--|-----------------------------------|
| CE1. Failure of economic development partnerships leading to an adverse impact on businesses and local economy. | Likelihood is unlikely and impact is moderate. | Tolerate the current situation and keep under review. | <ul style="list-style-type: none"> Proactive engagement in partnerships and with individual partners. Commitment of officer time and resources to partnership activities. Monitoring of projects and performance. | No change to rating or treatment. |
| CE2. Failure of the South Derbyshire Partnership, leading to non-delivery of the community's vision and priorities set out in the Community Strategy | Likelihood is unlikely and impact is moderate. | Treat the risk through continuous action and review. | <ul style="list-style-type: none"> Proactive support for partnership. Commitment of officer time and resources to partnership facilitation. Engagement of partners in policy making and project design and delivery. | No change to rating or treatment. |
| CE3. Failure of Sharpe's Pottery Heritage & Arts Trust, leading to a loss of service to visitors and residents through the Tourist Information Centre. | Likelihood is medium and impact is moderate. | Treat the risk through continuous action and review. | <ul style="list-style-type: none"> Officer advice and support available to Trust. <ul style="list-style-type: none"> Member involvement in Trust Board. Monitoring of services and performance, including Service Level Agreement and Work Programme. | No change to rating or treatment. |
| CE4. Poor quality performance data. | Likelihood is unlikely and impact is moderate. | Treat the risk through continuous action and review. | <ul style="list-style-type: none"> Reviewed quarterly as part of the performance reporting process. Methodology statements compiled and continually monitored and updated. <ul style="list-style-type: none"> Annual data quality audit undertaken. | No change to rating or treatment. |
| CE5. Failure of joined up Council approach to effectively manage the election process and canvassing. | Likelihood is unlikely and impact is moderate | Treat the risk through continuous action and review. | <ul style="list-style-type: none"> Elections Project Team in place and meets as necessary with representatives from all services involved. Arrangements in place for an Election to be called at short notice. Arrangements in place for Referenda/By-Elections to be called. | No change to rating or treatment. |

CHIEF EXECUTIVE'S RISK MATRIX (as at Q4 2019/20)

| Likelihood | | | | | |
|------------|--|---------|-----------------------|---------------|----------------|
| | | 1 Minor | 2 Moderate | 3 Significant | 4 Catastrophic |
| 4 High | | | | | |
| 3 Medium | | | CE3 | | |
| 2 Low | | | | | |
| 1 Unlikely | | | CE1, CE2, CE4 and CE5 | | |
| | | Impact | | | |

CE1 Failure of economic development partnerships leading to an adverse impact on businesses and the local economy.

CE2 Failure of the South Derbyshire Partnership, leading to non-delivery of the community's vision and priorities set out in the Community Strategy

CE3 Failure of Sharpe's Pottery Heritage & Arts Trust, leading to a loss of service to visitors and residents through the Tourist Information Centre.

CE4. Poor quality performance data.

CE5. Failure of joined up Council approach to effectively manage the election process.

CORPORATE RESOURCES RISK REGISTER (AS AT Q4 2019/20)

Appendix C

| Risk | Rating and Current Position | Risk Treatment | Mitigating Actions | Change since last quarter |
|--|--|---|--|--|
| <p>1 Universal Credit (UC) – the implementation of UC could have an impact on resources in Benefits and Customer Services.</p> <p>Housing Benefit is administered by the Council on behalf of the DWP and is one of the six benefits being rolled up into UC.</p> | <p>UC is being rolled out on a phased basis for working age claimants. During 2019/20, this has started to have a much bigger impact with claims for HB reducing by over 30%. However, the overall volume of work has broadly stayed the same as changes in UC are impacting on the Council's Council Tax Reduction Scheme (CTRS).</p> <p>More recently, the impact of Covid-19 has increased claims under the CTRS.</p> | <p>Treat the risk through continuous action and review.</p> | <ul style="list-style-type: none"> Greater automation is currently being progressed to process change of circumstances. The Local Council Tax Reduction Scheme is being redesigned to make it easier to understand and administer. Proposals for a new scheme, in principle, will be presented to the Finance and Management Committee in June 2020. Where spare capacity arises, off-site support, which is used to deal with peaks in workload, will be transferred in-house to utilise spare capacity. When future vacancies arise, these will be reviewed in the light of the longer-term position | <p>No change to rating or treatment.</p> |
| <p>2 Fraudulent activities – the possibility of fraud being undetected.</p> | <p>National studies show fraud leads to a significant loss of resources within the Public Sector as a whole. The likelihood is considered high because fraud has been detected and prevented locally.</p> | <p>Treat the risk through continuous action and review.</p> | <p>Public agencies such as the DWP and HMRC increasingly share data with local authorities on a real time basis. This allows compliance checks to take place to spot and eliminate the potential for fraud and error in a timely manner.</p> <p>The Council works in partnership with another Derbyshire authority to share a software package that enables data matching in Council Tax and Business Rates.</p> <p>Page 17 of 117 Single Person Discount checks on Council Tax are also regularly undertaken.</p> | <p>No change to rating or treatment.</p> |

| | | | | |
|---|--|--|---|--|
| | | | <p>In addition, the Council has a Shared Service Arrangement with Derby City Council which delivers a dedicated Fraud Unit. This Unit is resourced to prevent and detect fraud across all services, including raising awareness amongst Council Officers.</p> <p>The Fraud Unit have an annual work programme which is considered and approved by the Audit Sub-Committee. Outcomes are also reported to the Audit Committee.</p> | |
| <p>3 The Directorate is responsible for providing a procurement service. Given the specialised and regulatory nature, there is a risk of not having resources to enable good quality advice and support for Services.</p> | <p>The Council does not have its own procurement department but currently has access to support and advice, so the likelihood is considered low.</p> | <p>Treat the risk through continuous action and review</p> | <p>The Council is part of a Shared Service Arrangement with other Derbyshire Agencies. The Service commenced in January 2018 for an initial three year period and operates under a Service Level Agreement.</p> | <p>No change to rating or treatment.</p> |
| <p>4 Data Quality and Performance Management</p> | <p>Quality of Performance Data</p> | <p>Treat the risk through continuous action and review</p> | <p>This risk is linked to the Strategic Risk Register as part “<i>Technology and Data</i>” – keeping pace with developments together with the management and security of data.</p> <p>Following the Data Quality and Performance Management audit undertaken in September 2019 four recommendations have been actioned. Deadlines for the remaining three actions have been agreed with internal audit to align them with similar projects which are due to be delivered during 2020.</p> | <p>No change to rating or treatment</p> |

CORPORATE RESOURCES OPERATIONAL RISK MATRIX (AS AT Q4 2019/20)

| | | | | | |
|-------------------|--|--|------------|---------------|----------------|
| Likelihood | | | | | |
| 4 High | | Universal Credit (1) Fraudulent Activity (2) | | | |
| 3 Medium | | Performance Data (4) | | | |
| 2 Low | | Procurement (3) | | | |
| 1 Unlikely | | | | | |
| | | 1 Minor | 2 Moderate | 3 Significant | 4 Catastrophic |
| | | Impact | | | |

- | | |
|------------------------------|--|
| 1 Universal Credit | The implementation of Universal Credit could have an impact on resources in Benefits and Customer Services |
| 2 Fraudulent Activity | The possibility of fraud being undetected in Revenues, Benefits and Housing, etc |
| 3 Procurement. | The possibility of having limited access to good quality support and advice |
| 4 Data Quality & Performance | Quality of Performance Data |

SERVICE DELIVERY RISK REGISTER (AS AT Q4 2019/20)

Appendix C

| Risk | Rating and current position | Risk treatment | Mitigating actions | Change since last quarter |
|---|--|--|---|--|
| SD1 - Loss of income to the Housing Revenue Account | Rent reduction controls relaxed and rent increase now in place. Reduction of income through the Impact of COVID19 on Universal Credit (UC) claims is now greater. Likelihood is high and impact is now moderate | Treat the risk through continuous action and review. | Income policies/processes are being revised. The Council has invested in I.T. solutions to maximise opportunities to collect income and support those in financial difficulty. Increased focus on collection of rent and other housing debt. New dwellings mitigate revenue lost through Right to Buy (RTB). New Builds can still be purchased under (RTB) after three years for Secure Tenancies. The uptake of UC has risen sharply through the impact of COVID19 on Council tenants The Housing Service has made operational changes to deal with this increase in the short-term | Impact is moderate-likelihood is now high. |
| SD2 - Failure to collect financial contributions or to enforce the delivery of obligations within Section 106 Agreements. | Failure to collect financial contributions or to enforce obligations within Section 106 Agreements. Slight increase in likelihood of requests to defer payments or review viability of development schemes in response to COVID-19 impacts. Likelihood is unlikely but the impact is significant. | Treat the risk through continuous action and review. | Implementation of new software is now complete. Team Leader overseeing the process with dedicated officer monitoring and reviewing progress of agreements relating to 'live' sites. The Service has been recently audited and has put in place actions to address the minor recommendations. Continued use of District Valuer in vetting additional requests for viability review. Discretion over enforcement or payment plans can ensure collection of fees over longer period if cashflow a problem for developers. | No change to rating or treatment. |

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|--------------------------------|---|--|--|---|
| SD3 – Safety standards | <p>Failure to comply with basic safety standards in flats/blocks with communal areas.</p> <p>Work has been undertaken to put specialist fire asbestos, legionella contracts in place.</p> <p>Likelihood is medium and impact has potential to be significant.</p> | Treat the risk through continuous action and review. | <p>Process underway to update safety procedures for fire, gas, electricity, legionella and asbestos to ensure the Council has appropriate controls in place to manage risks. Progress made so far includes:</p> <ul style="list-style-type: none"> • Fire safety contractor appointed • Gas servicing 100% compliant • Electrical testing contractor appointed • Legionella - sheltered schemes testing in place, void properties shower heads/dead legs removed • Asbestos testing contractor appointed • Asbestos removal contractor appointed • Successful completion of an asbestos audit by the Health and Safety Executive <p>Whilst the likelihood reduces as contracts are in place, works programmes to the value of £250,000 per annum are required for the next two years to achieve full compliance, so the overall likelihood remains medium. Fire safety work is now underway in communal blocks, including consultation with tenants affected by the work.</p> | No change to rating or treatment. |
| SD4 – Universal Credit | <p>Loss of income to the Housing Revenue Account through full roll out of Universal Credit (UC) from November 2018.</p> <p>There is still uncertainty as to the financial impact of this, but the Council has plans in place working with internal/ external stakeholders to manage this process.</p> <p>Likelihood is high and the impact is moderate.</p> | Treat the risk through continuous action and review. | <p>Welfare Reform Group, including key internal/external partners, meets on a monthly basis to manage roll-out against an agreed action plan.</p> <p>Invested in I.T. solutions to maximise opportunities to collect income and support those in financial difficulty.</p> <p>The Impact of COVID19 on Council tenants has seen a sharp rise in the number of UC Claimants</p> <p>Delays in UC payments have led to a rise in rent arrears. The Housing Service has have made operational changes to mitigate this risk.</p> | Likelihood is now high. |
| SD5 – Reduction in funding for | | Treat the risk through continuous | <p>Page 21 of 117</p> <p>Forward budget planning over a number of years. Approvals for reserve spend to secure staffing positions up to March 2021 initially for Active Communities.</p> | Rating changed to amber because of the assessed |

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| Cultural and Community Services | <p>Reduction of Council funding into Cultural and Community Services. Unable to source external funding to service.</p> <p>There is likely to be additional funding needed to replace income lost through Covid-19</p> <p>Likelihood is moderate and the impact is moderate</p> | action and review of funding streams and Cultural and Community Services Restructure. | <p>Maintain current funding contribution that the Council makes towards the Active Communities service.</p> <p>The Council is in the first year of a three-year funding agreement with the Police and Crime Commissioner (PCC) for £25,000 per year Community Safety Funding.</p> <p>The Council receives £35,000 per year Basic Command Unit funding from the Chief Superintendent. This is received annually with no long-term commitment.</p> <p>Rolls Royce new three-year sponsorship of the Environmental Education Project confirmed.</p> <p>Continually seek external funding opportunities to support service delivery. This will extend to Covid-19 new funding pots.</p> | reduction in funding from the closing of Leisure Centres and Rosliston |
| SD6 - Failing infrastructure at Rosliston Forestry Centre. | <p>Failing Infrastructure at Rosliston Forestry Centre.</p> <p>Regular meetings held at operational and strategic levels with the Forestry Commission.</p> <p>Likelihood is moderate but the impact would be moderate</p> | Treat the risk through continuous action and review. | <p>Condition survey updated as part of procurement exercise for new contractor.</p> <p>Focus on implementing infrastructure requirements identified in external consultant's report.</p> <p>Make invest to save business cases.</p> <p>Collaboration with Head of Corporate Property on improvements to the Planned Preventative Maintenance (PPM).</p> <p>Engage tenants and keep Senior Leadership Team informed</p> | Rating changed to amber as procurement of new contract delayed with consequent delay in new operator investment. |
| SD7 - Failure to meet housing delivery targets set out in the five-year supply. | <p>Failure to meet housing delivery targets.</p> <p>Local Plan is in place which sets out the five-year supply. Latest monitoring for 19/20 indicates the</p> | Treat the risk through continuous action and review. | <p>Monitoring/review of performance ongoing.</p> <p>Active pursuit of schemes and opportunities. Increased focus on facilitating prompt commencement of development.</p> | No change to rating or treatment. |

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| | <p>Council was performing above target.</p> <p>Likelihood is low but could move to moderate in light of COVID-19 impacts pushing delivery back in the Plan period, but the impact would be significant.</p> | | <p>Develop action plan(s) where necessary.</p> <p>Current five-year housing land supply rate at 5.92 years - most sites started are building at a rate above that originally anticipated such that c.1300 were completed in 2019/20 - work to accelerate progress on two sites continues.</p> <p>Support government proposals to offer flexibility in supply and delivery requirements in light of COVID-19 effects.</p> | |
| SD8 - Failure of IT infrastructure that supports Planning Systems, LLPG and Land Charges. | <p>Ongoing issues with IT infrastructure that supports Planning systems.</p> <p>Likelihood is unlikely and the impact would be significant.</p> | Treat the risk through continuous action and review. | <p>New system went live on the 1st August 2019. Work continues towards implementing remaining 'modules' of the software, migrating data and decommissioning old systems.</p> <p>Monitoring performance of new system following implementation with consideration of what additional resource is necessary to complete the project and/or fully realise the benefits of the software.</p> | Likelihood reduced following implementation of new system |
| SD9—Melbourne Sports Park | <p>Failure to deliver against external funder requirements at the Melbourne Sports Park (MSP). Ongoing discussions with national funders.</p> <p>Likelihood is low but the impact would be significant.</p> | Treat the risk through continuous action and review. | <p>Regular Artificial Grass Pitch (AGP) Steering Group meetings.</p> <p>Matter under regular review at MSP Board meetings. Key funder in attendance at AGP steering group meetings.</p> <p>Specialist consultants, MSP representatives and Council officers progressing site drainage solutions. Planning permission approved.</p> <p>Engagement with landowner on site permissions progressed.</p> <p>MSP Board not meeting business plan income targets so close monitoring required.</p> | No change to rating or treatment. |

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|---|--|--|--|---|
| SD10– Sinfin Waste Plant | <p>Impact on delivery rounds of diverting all residual waste to Sinfin Waste Plant.</p> <p>Move to Sinfin now to be phased over three years, giving time to minimise impact on delivery rounds.</p> <p>Likelihood is low the impact would be moderate.</p> | Treat the risk through continuous action and review. | <p>The long-term waste management contract between Derby City Council, Derbyshire County Council and Resource Recovery Solutions (Derbyshire) Ltd (RRS) was brought to an end on the 2nd August 2019. RRS was a 50:50 partnership between Renewi and with national construction firm Interserve. Interserve was responsible for building the waste treatment facility.</p> <p>Contingency measures have been put in place by the County and City Councils to make sure waste that residents cannot recycle or choose not to recycle continues to be dealt with, and that recycling centres and waste transfer stations continue to operate.</p> <p>These services will continue to be run by waste management company Renewi under a new two-year contract.</p> <p>With contingency arrangements already in place, the City and County Councils are confident any further impact will be minimal.</p> <p>Current waste disposal directions are unlikely to change in the medium-term, there is no restart date as yet for the Sinfin plant, therefore no impact on collection rounds.</p> <p>Situation will be kept under review.</p> | Likelihood decreased to low following the contract end but impact remains the same. |
| SD11– Tree Management | <p>Failure to manage the Council's tree stock in line with adopted Tree Management policy.</p> <p>Likelihood is low but the impact would be significant.</p> | Treat the risk through continuous action and review. | <p>Review of approved Tree Management Policy completed.</p> <p>New Tree Strategy and Policy being drafted</p> <p>Implementation of the Cultural and Community Services restructure will enable greater staff resources for tree work.</p> | No change to rating or treatment. |
| SD12 – Failing infrastructure at Greenbank Leisure Centre | Failing infrastructure at Greenbank Leisure Centre including pipework to pool and roof structure. | Treat the risk through continuous action and review | <p>Building condition survey is being updated and a planned maintenance programme put in place. Head of Corporate Property.</p> <p>Focus on implementing the infrastructure requirements identified in external consultant's report.</p> | Amber |

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| | | | Ensure that there is capital funding to complete the necessary works. | |
|--|--|--|---|--|

| | SERVICE DELIVERY OPERATIONAL RISK MATRIX (as at Q4 19/20) | | | |
|---------------|---|------------|-------------------|----------------|
| Likelihood | | | | |
| 4 High | | SD1, SD4 | | |
| 3 Medium | | SD5, SD6 | SD3, SD12 | |
| 2 Low | | SD10 | SD7, SD9, SD11 | |
| 1 Unlikely | | | SD2, SD8 | |
| | 1 Minor | 2 Moderate | 3 Significant | 4 Catastrophic |
| | Impact | | | |

Risk Description

- SD1** Loss of income to the Housing Revenue Account
- SD2** Failure to collect financial contributions/enforce obligations within S106 Agreements
- SD3** Safety standards
- SD4** Universal Credit
- SD5** Reduction in funding for Cultural and Community Services
- SD6** Failing infrastructure at Rosliston Forestry Centre
- SD7** Failure to meet housing delivery targets set out in the five-year supply.
- SD8** Failure of IT infrastructure that supports Planning Systems, LLPG and Land Charges.
- SD9** Melbourne Sports Park
- SD10** Sinfin Waste Plant
- SD11** Tree Management
- SD12** Green Bank Leisure Centre

STRATEGIC RISK REGISTER (UPDATED AS AT Q4 19/20)

Appendix C

| Risk | Rating and Current Position | Risk Treatment | Mitigating Actions | Change since last Quarter |
|--|--|---|---|---|
| <p>1 Government Funding - a reduction in core funding.</p> <p><i>Because the Council's proportion of core funding is heavily reliant on the New Homes Bonus (NHB) and Business Rates, it makes it potentially vulnerable from changes to the current distribution system.</i></p> | <p>Overall income has been increasing in recent years through the NHB, Council Tax and other income. There has been uncertainty for some time regarding the replacement for the NHB and future changes to the Retention of Business Rates.</p> <p>The Government have delayed the consultation on the Fair Funding Review until 2021. The 2021/22 Settlement is not known.</p> <p>The longer-term impact of the current Covid-19 crisis on the level and distribution of resources remains to be seen.</p> | <p>Treat the risk through continuous action and review.</p> | <p>The Medium-Term Financial Plan (MTFP) was updated and approved by the Finance and Management Committee in February 2020. Overall, there continues to be a relatively healthy financial position into the medium-term.</p> <p>Longer-term budget savings may be required although General Reserves are currently adequate to finance projected deficits and known financial risks are being provided for in the MTFP.</p> <p>An initial review of Covid-19 on the short and medium-term financial position is currently being undertaken.</p> <p>An income generating (Commercialisation) Strategy is due to be drawn up in 2020 to identify and generate additional funding streams for the Council.</p> | <p><i>This risk has been increased to RED from Amber due to the uncertainty brought about by Covid-19.</i></p> <p>Although the short-term position may be protected due to the current level of reserves and short-term funding provided by the Government, the medium-term position remains as uncertain as ever.</p> |
| <p>2 The Economy - the impact of the national economic situation locally.</p> | <p>Prior to Covid-19, the local economy had been relatively strong and growing.</p> <p>The impact of the current Covid-19 crisis could have a longer-term impact on the Council's core income as residents and businesses may face difficulties in</p> | <p>Treat the risk through continuous action and review.</p> | <p>It is considered that the Council is undertaking as much action as is reasonably possible at this stage to mitigate the risk, but the position is being kept under review.</p> <p>The Government has provided funding and support for local businesses and residents.</p> <p>The MTFP is not reliant on interest rates increasing from the current level to generate revenue on its reserves and balances. Any increase would be a direct benefit to the Budget.</p> | <p><i>This risk has been increased to RED from Amber due to the uncertainty brought about by Covid-19.</i></p> |

| | | | | |
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| | <p>paying Council Tax, Business Rates and Rent. It could also mean a recession in the local economy.</p> <p>Income from key services such as Planning, Commercial Property and Trade Waste are already starting to fall below Budget.</p> | | <p>A significant amount of debt is at fixed interest rates and is affordable within the Housing Revenue Account's (HRA) financial plan.</p> <p>The Council's Property Strategy has focused on ensuring the Council's assets are being positioned to react to local investment opportunities, including land assembly and joint ventures.</p> <p>There is on-going dialogue through the Derby and Derbyshire Economic Prosperity Board to access funding and with developers to look at alternative options for regeneration. Funding through the One Public Estate has been secured and the Council has set-aside resources in its MTFP for economic regeneration.</p> | |
| <p>3a Technology and Data - keeping pace with developments together with the management and security of data.</p> | <p>ICT Strategy in place with on-going development. The Council is Public Sector Network (PSN) and GDPR compliant. However, technological opportunities could be missed and there is reputational damage, together with possible fines should a data breach occur.</p> | <p>Treat the risk through continuous action and review</p> <p>Aspects of this risk are also transferred as they are insured perils with the Council's Insurers.</p> | <p>Investment continues to be made in upgrading the ICT infrastructure and network to provide a modern and robust infrastructure.</p> <p>Laptop roll-out and upgrade to Microsoft 365 has been completed and this has allowed most staff to work remotely through the current "lockdown" brought about by Covid-19.</p> <p>An annual independent audit is undertaken each year to test the Council's compliance with PSN.</p> <p>Regular Internal Audit reviews test the robustness of systems and the infrastructure with recommendations to strengthen the ICT environment being monitored by the Audit Sub-Committee.</p> <p>Regular training and briefings given to Elected Members and Officers to raise awareness of data and security issues. An E-learning package has been rolled out for Council Officers.</p> <p>The Council's Data Protection Officer reports directly to the Leadership Team on matters concerning Information Governance.</p> | <p>No change to rating or treatment</p> |

| | | | | |
|--|---|--|---|---|
| | | | Due to potential virus attacks, additional measures have been implemented to restrict Internet access and use of mobile phone devices, together with implementing additional monitoring controls. | |
| 3b Technology and Data – quality of performance data. | If this is not robust and meaningful, it could lead to misreporting and incorrect decision making. | Treat the risk through continuous action and review. | Implementation of the recommendations made within the Data Quality and Performance Management Audit undertaken in September 2019. Undertake an annual quality audit if deemed necessary, performed by officers or Internal Audit. | No change to rating or treatment |
| 4 Business Continuity - arising from the loss of the main Civic Offices, ICT capability, together with a major displacement of the workforce, a flu pandemic or a fuel shortage, etc. | Previously, the impact of Brexit had been an issue, but as the UK has now left subject to a negotiated deal, this risk has been downgraded for the time being. However, the live issue is now the impact of Covid-19. | Treat the risk through continuous action and review. Aspects of this risk could also be transferred as depending on the circumstances, issues could be covered by the Council's Insurers. | Business Continuity and Emergency Plans are in place and regularly reviewed in accordance with the Civil Contingencies Act. Regular meetings and training exercises take place with other agencies in Derbyshire. An ICT Disaster Recovery (DR) solution is in place off-site. Data is also backed-up and stored in a secure off-site facility outside of the immediate region. Provision for home-working and remote access is in place. Comprehensive insurance in place with insurers providing support to secure temporary accommodation if required. As regards Covid-19, the Council is working to its Business Continuity Plan to ensure essential services are continued. This is being undertaken within national guidelines and in conjunction with other agencies in Derbyshire. Guidance is being provided to staff and the public regarding on-going services and to help protect their health and well-being. | The risk rating has not increased from Amber as the Council's Business Continuity arrangements have generally worked and allowed services, which have been allowed to operate by the Government, continuing to do so. However, this is being kept under review. |
| 5 Capacity and Resilience - recruitment, retention and development of the workforce | Resources set-aside and being invested to expand service provision and develop the workforce. | Treat the risk through continuous action and review. | Since 2018, there were restructures in Revenues and Benefits, Financial Services, Planning Services, together with Legal and Democratic Services. These restructures have provided additional resources and capacity in these services. | No Change to rating or treatment |

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| and dealing with additional demand for services due to Growth. | | | <p>A restructure of the Council's Senior Management was implemented on 1 April 2019. The aim of the new structure was to create resilience in service provision with the creation of new Head of Service posts, including a new post to focus on Organisational Development.</p> <p>The management restructure also combined resources to create centralised Business Change and Policy teams to support business transformation across the Council.</p> <p>The structure has now bedded in and the proposals aim to strengthen recruitment and retention of senior staff.</p> <p>Subsequently, reviews of ICT and Business Change, Property Services, Organisational Development, have also been implemented and changes made to increase capacity and resilience with reviews in Culture and Community Services and Environmental Services currently subject to consultation with implementation dates later in 2020.</p> <p>Due to Covid-19, capacity and resilience is being kept under review.</p> | |
| <p>6 Voluntary and Community Sector - a reduction in resources for partners who deliver services with or on behalf of the Council.</p> | <p>Evidence that this is occurring with CVS and Citizens Advice having core funding reduced.</p> | <p>Tolerate the current situation and keep under review.</p> | <p>It is considered that the Council is undertaking as much action as is reasonably possible at this stage to mitigate the risk.</p> <p>The Council's current grant funding has been maintained and been increased in 2020/21 by 2% for all supported organisations.</p> <p>Spending can be refocused to meet external funding requirements and is project-based.</p> <p>Dedicated officer time in place to support the voluntary sector and local organisations.</p> | <p>No change to rating or treatment.</p> |

| | | | | |
|---|---|--|--|-----------------------------------|
| | | | Capacity in the voluntary and community sector is being tested in the light of Covid-19 and the Council will continue to work with the CVS to support it. | |
| 7 Terrorism and potentially violent situations – as a public body there is a potential for the Council and its workforce to become a target. | From time to time, members of the workforce do face individual threats in the course of undertaking their duties. | Treat the risk through continuous action and review. Aspects of this risk are also transferred as they are insured perils. | Lone working systems in place including a 'Solo-Protect' warning and call for assistance system. A Potentially Violent Persons Policy and Risk Register are in place. Alarms and warning system in place in the Civic Offices. | No Change to rating or treatment. |
| 8 Statute and Regulation – the failure to meet requirements. | There is no recent evidence to suggest any significant issues; the impact would depend on the nature of the failure. | Treat the risk through continuous action and review. | This applies to many Council services. In general, the necessary skills and resources are in place to ensure that the Council meets its statutory duties. In addition, the Council's Constitution, policies and procedures aim to support strategic and regulatory delivery. | No change to rating or treatment. |
| 9. Health and Safety – the potential to contravene regulations through bad practice. | Due to the continuing focus on Health and Safety, the likelihood of a major incident is low, but the impact could be significant. | Treat the risk through continuous action and review | The Council employs a corporate Health and Safety Officer. An on-going training programme is in place for all staff and for parts of the workforce where there is a greater risk of an accident. Accidents and near misses are logged, reported and reviewed corporately and any major incidents are investigated to review procedures. Risk assessments are regularly undertaken, and procedures updated when necessary. | No change to rating or treatment. |
| 10. Managing the environmental impact of incidents across the District. | This risk concerns incidents arising directly from actions by the Council in the provision of its services. For example, an oil spill which contaminates land or water courses, or the production | Treat the risk through continuous action and review. | The Council has plans in place through Emergency Planning to manage the environmental impact of any incidents across the District. The Council is accredited to the prestigious international ISO 14001 standard for Environmental Management. | No change to rating or treatment. |

| | | | | |
|--|---|--|---|--|
| | of high carbon emissions adding to air pollution. | | The Council has also declared a “Climate Emergency” and has a Corporate Steering Group to oversee an action plan to reduce the Council’s carbon footprint and become carbon neutral as an organisation by 2030. | |
|--|---|--|---|--|

STRATEGIC RISK REGISTER (as at June 2019)

| Likelihood | | | | | |
|------------|-------------|---------------|---------------|---------------|----------------|
| 4 High | 3 Medium | 2 Low | 1 Unlikely | | |
| | | | | | |
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| | | | | | |
| | | Impact | | | |
| | | 1 Minor | 2 Moderate | 3 Significant | 4 Catastrophic |

Risk Description

1 Government Funding - a reduction in core spending power

- 2 The Economy - the impact of the national economic situation locally
- 3a Technology and Data - keeping pace with developments together with the management and security of data
- 3b Technology and Data - Quality of performance data
- 4 Business Continuity - arising from the loss of the main Civic Offices, ICT capability, together with a major displacement of the workforce or a fuel shortage, etc.
- 5 Capacity and Resilience - recruitment, retention and development of the workforce and dealing with additional demand for services
- 6 Voluntary and Community Sector - a reduction in resources for partners who deliver services with or on behalf of the Council
- 7 Terrorism and Potentially Violent Situations - as a public body, there is potential for the Council and its workforce to become a target
- 8 Statute and Regulation - as a local authority the Council has a statutory duty to deliver many services and is required to operate within a regulatory framework
- 9 Health and Safety - the potential to contravene regulations through bad practice
- 10 Environmental Impact - managing environmental impact of incidents across the district

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|--------------------------------|--|---|
| REPORT TO: | FINANCE and MANAGEMENT COMMITTEE | AGENDA ITEM: 7 |
| DATE OF MEETING: | 9th JULY 2020 | CATEGORY: |
| | | DELEGATED |
| REPORT FROM: | STRATEGIC DIRECTOR (CORPORATE RESOURCES) | OPEN |
| MEMBERS' CONTACT POINT: | KEVIN STACKHOUSE (01283 595811) Kevin.stackhouse@southderbyshire.gov.uk | DOC: u/ks/capital/evaluation 2020/evaluation proposals |
| SUBJECT: | EVALUATION OF CAPITAL PROJECTS | |
| WARD(S) AFFECTED: | ALL | TERMS OF REFERENCE: FM 08 |

1.0 Recommendations

- 1.1 That the prioritisation of new capital expenditure is subject to the Evaluation system as detailed in the report.
- 1.2 That the Service and Financial Planning Working Group (SFPWG) is convened to consider bids for capital investment in accordance with the Evaluation system.
- 1.3 That the SFPWG submits investment proposals back to the Committee for consideration following the evaluation process

2.0 Purpose of the Report

- 2.1 To review and update the Evaluation system which is used to prioritise bids for new capital investment. The system was last used some years ago, but with a new Corporate Plan, together with the generation of capital receipts, it is timely that the system is updated.
- 2.2 The proper evaluation of capital resources is in accordance with the Council's Capital Strategy which was approved in January 2019.

3.0 Detail

- 3.1 Unlike the Housing Revenue Account where there is a regular capital programme, General Fund schemes tend to be more ad-hoc. This is due to a capital programme being reliant on external funding and the generation of capital receipts.
- 3.2 The current General Fund programme is limited apart from the annual planned maintenance of public buildings, together with the replacement of vehicles, plant and IT infrastructure.

- 3.3 With the recent generation of capital receipts from land sales a more significant sum of capital receipts has been and will continue to be accumulated over the next 12 to 18 months.

Potential Resources

- 3.4 As reported to the Committee on 2 July, the Council will have approximately £3 million of general capital receipts, in total, for investment by 31 March 2022. This is subject to approximately 50% of this sum still to be received in 2020 and 2021 from the sale of the former depot site and from land at the Cadley Village (Oversetts Road) Development.

Potential Schemes and Evaluation

- 3.5 Therefore, this provides potential for new capital investment. There are likely to be competing schemes and even a sum of £3 million may not meet the cost of all potential projects.
- 3.6 The Council uses an Evaluation scheme to prioritise investment to ensure resources are directed to Corporate Plan priorities and provide Value for Money. The updated Evaluation system is detailed in **Appendix 1**. Effectively, the Evaluation system requires that bids be subject to the assessment of a business case.
- 3.7 The scoring system and guidance notes for the completion of bids are also detailed in Appendix 1.

Service and Financial Planning Working Group (SFPWG)

- 3.8 All bids would be considered by the SFPWG, which is a working group of the Committee. It comprises five Members who evaluate bids and make recommendations back to the Committee.

4.0 Financial Implications

- 4.1 As detailed in Section 3.

5.0 Corporate Implications

Employment Implications

- 5.1 None associated with the Evaluation system itself.

Legal Implications

- 5.2 As above.

Corporate Plan Implications

- 5.3 As detailed in the report, the Evaluation system ensures that finite capital resources are targeted towards the Council's approved priorities.

Risk Impact

- 5.4 None associated with the Evaluation system itself.

6.0 Community Impact

Consultation

6.1 None required.

Equality and Diversity Impact

6.2 None associated with the Evaluation system itself.

Social Value Impact

6.3 As above.

Environmental Sustainability

6.4 As above.

7.0 Background Papers

7.1 None.

APPENDIX 1

CAPITAL INVESTMENT: BUSINESS CASE APPRAISAL

Title of Proposed Project:

Head of Service Responsible:

Project Lead:

Brief Outline of the Project:

Of the three themes contained in the Corporate Plan (*Our Environment, Our People, Our Future*) specify which one the project is mostly aligned to?

FINANCIAL IMPLICATIONS (*Please liaise with Financial Services regarding this Section*)

Summary of the Estimated Capital Cost of the Project over the Project's Life-Cycle.

| | Year 1 £ | Year 2 £ | Year 3 £ | Year 4 £ | Year 5 £ |
|---|-------------|-------------|-------------|-------------|-------------|
| Direct Costs | | | | | |
| Additional Staffing/Support to deliver the project | | | | | |
| Total Cost | | | | | |
| Less External Funding | | | | | |
| Net Cost | | | | | |

On what basis have the costs been estimated

Source of the external funding and how secure/certain it is

Existing budget or capital allocation being used and/or what additional finance is required

On-going effect for the General Fund Revenue or Housing Revenue Account Budget

Potential implications for the Council's VAT position

CONTRIBUTION TO THE CORPORATE PLAN

How the project will contribute to the Plan and in particular how it relates to specific priorities.

What are the expected Outputs, Outcomes and Measures of Success and how will it help to deliver performance measures agreed in the Corporate Plan?

VALUE FOR MONEY TEST (See Appendix for Guidance)

How will the Project be Economical?

How will the Project deliver Efficiencies?

How will the Project be Effective?

How will the Project be Equitable?

COMMUNITY INVOLVEMENT & CONSULTATION

Provide details of any consultation, feasibility study, surveys and/or any other evidence to support the Project.

PARTNERSHIPS

What is the extent of working with partners and third parties, including their input and requirements to/from the Project?

RISKS and OPPORTUNITIES

What are the potential risks or missed opportunities of the Project not progressing, including any effects on the Council's reputation?

So, what is Plan B or are there any other options.

VALUE FOR MONEY

1. Being Economic – Spending Less

- Providing improvements in a service within existing resources.
- Providing the same level of service at a lower cost.
- Getting the best price for a service or supply.
- The generation of additional income.

2. Being Efficient – Spending Well

- Developing services which have a minimal impact on current resources.
- Changing services to improve capacity and resilience.
- One-off capital investment which reduces long-term revenue costs.
- Transferring potential liabilities.
- Securing external funding to finance investment.

3. Being Effective – Spending Wisely

- Developing services that meet the needs of service users.
- Providing services that are aligned to Corporate Plan priorities and improve key performance indicators.
- Changing services to mitigate risk for the Council.

4. Being Equitable – Spending Fairly

- Providing services which are accessible to all potential users.
- Improving services which have a beneficial impact on vulnerable groups.

CAPITAL EVALUATION: SCORING SYSTEM (MARCH 2020)

| | |
|--|-----|
| Alignment to the Corporate Plan | 50% |
| Value for Money Test | 20% |
| Community Involvement and Consultation | 10% |
| Partnership Working | 10% |
| Risk Mitigation and Other Options | 10% |

Alignment to the Corporate Plan

| | |
|---|-----------|
| Significantly meets Corporate Plan priorities | 50 |
| A Medium/Moderate Impact | 30 |
| Minimal Impact | 10 |

Value for Money Test

| | |
|-------------------------|-----------|
| Meets all 4 Criteria | 20 |
| Meets 3 of the Criteria | 15 |
| Meets 2 of the Criteria | 10 |
| Meets 1 of the Criteria | 5 |

Community Involvement and Consultation

| | |
|---|-----------|
| Substantial Evidence of involvement or an evidence base | 10 |
| Some evidence | 6 |
| Minimal evidence | 2 |

Partnerships

| | |
|--|-----------|
| Partnership working is integral to the Project | 10 |
| Some partnership or third party involvement | 6 |
| Minimal involvement | 2 |

Risk Mitigation and other Options

| | |
|---|-----------|
| There is a Plan B | 10 |
| Some scope to amend the project to overcome risk or reputational damage | 6 |
| Minimal scope | 2 |

| | | |
|--------------------------------|--|--|
| REPORT TO: | FINANCE and MANAGEMENT COMMITTEE | AGENDA ITEM: 8 |
| DATE OF MEETING: | 9th JULY 2020 | CATEGORY: |
| | | DELEGATED |
| REPORT FROM: | STRATEGIC DIRECTOR (CORPORATE RESOURCES) | OPEN |
| MEMBERS' CONTACT POINT: | ANTHONY BAXTER (01283 595712) Anthony.baxter@southderbyshire.gov.uk | DOC: u/ks/transformation/transformation plan report March 2019 |
| SUBJECT: | TRANSFORMATION AND BUSINESS CHANGE PLAN 2020 TO 2024 | |
| WARD(S) AFFECTED: | ALL | TERMS OF REFERENCE: FM 13 |

1.0 Recommendations

- 1.1 That the Transformation and Business Change Plan 2020 to 2024 as detailed in the report is approved.
- 1.2 That the Governance arrangements to monitor implementation and report on progress, as detailed in the report, are approved.
- 1.3 That the Committee appoint a Member Champion to sit on the Transformation Steering Group.

2.0 Purpose of the Report

- 2.1 Transforming processes, systems and customer interface are key priorities in the Council's new Corporate Plan. This report sets out the strategy and four year plan in order to support the delivery of several other corporate priorities and to enable business change at the Council.

3.0 Executive Summary

- 3.1 The Transformation and Business Change Plan is split into 4 core Themes to support the Corporate Plan. These themes cover Customers, Technology, People and Process.
- 3.2 Although a greater use of technology and system improvements will underpin much of the planned improvements, the split recognises that business change is not solely reliant on technology. It will also encompass improvements in standards, approach and back-offices processes, without the need for significant investment in IT.
- 3.3 Against each principle, definitive projects have been identified. These projects will differ in their length and complexity, with some being on-going iterations over a

period of time. A summary of the Plan, with the key projects, is shown in the following table.

| Core Theme | Key Projects |
|--|---|
| Our Customers – <i>focussing on how residents, visitors, etc. are treated and improving their experience when contacting the Council.</i> | <ul style="list-style-type: none"> • Standards and consistency of approach • Contact Centre – calls dealt with at first point of contact • Customer Relationship Management System • Expansion of on-line and Digital Services • Booking and appointments system • Telephony system – call recording and payments |
| Our Technology – <i>focussing on key corporate solutions to embrace on-going developments.</i> | <ul style="list-style-type: none"> • Upgrade to Microsoft 365 (Cloud) • Web site & Intranet development • Data warehouse and document store • Asset Management System • Corporate system upgrades • Contractor Management Solution |
| Our People – <i>supporting employee engagement, together with learning and development.</i> | <ul style="list-style-type: none"> • E-learning and induction packages • Streamlining HR processes • Learning and Development - booking and recording |
| Our Process – <i>supporting service specific projects, together with environment and commercialisation commitments.</i> | <ul style="list-style-type: none"> • Data bases for work scheduling • Extending “Paperlite” • Mobile working • Annual Service Reviews |

Governance

- 3.4 The Plan is underpinned by governance arrangements, including a formal monitoring and reporting process from Members down to working groups. It is proposed to establish a Transformation Steering Group to oversee the Plan.
- 3.5 Delivery of the Plan will involve cross departmental working through Heads of Service, supported by the corporate Business Change Unit.

Evidence Base

- 3.6 The Plan is ambitious but is considered to be deliverable. It is expected that measurable improvements will be made over the period 2020 to 2024.
- 3.7 The Plan builds on outcomes already achieved and includes consultation through Heads of Service, Elected Members through the Corporate Planning process, together with expectations from an expanding local population and opportunities arising from technological advancements.

4.0 Detail

- 4.1 The Transformation and Business Change Plan, is detailed in **Appendix 1**. This sets out the background and strategy which leads to a proposed work programme at the end of the document.
- 4.2 The work programme is broad with indicative time frames that allow some flexibility to alter projects if required. The broad Plan will be distilled down into individual work programmes which will be delivered in accordance with project management methodology.
- 4.3 The Plan is ambitious but is considered achievable following investment into the senior management restructure from April 2019 and the setting up of a corporate Business Change Unit, together with the establishment of processes and documentation to support governance.
- 4.4 It should be noted that this Plan is an evolution of work already completed or currently in progress to provide the basis to deliver the key projects identified. Work already completed is highlighted in **Appendix 2**.

Roles and Responsibilities

- 4.5 It is proposed that a Transformation Steering Group is established to oversee delivery of the Plan. The proposed Terms of Reference and composition of the Group are detailed in **Appendix 3**.

Reporting

- 4.6 Progress against many projects will be included in the quarterly performance report on delivery the Corporate Plan. In addition, an Annual Transformation and Business Change Report will be reported to the Committee.

5.0 Financial Implications

- 5.1 It is anticipated that current resources and budgets will be utilised to deliver the Plan. Some of the larger projects, for example investing in a new Customer Relationship Management (CRM) system may need additional capital resources. Where this is the case, the business case will be reported to the Committee.
- 5.2 In accordance with the approval process, all projects will continue to be subject to a business case, which will include a Value for Money (VFM) test. This will be overseen by the proposed Steering Group.

6.0 Corporate Implications

Employment Implications

- 6.1 None

Legal Implications

- 6.2 None.

Corporate Plan Implications

- 6.3 As detailed in the report, the Transformation and Business Change Plan will support delivery of the new Corporate Plan.

Risk Impact

- 6.4 None associated with the Plan itself.

7.0 Community Impact

Consultation

- 7.1 None required.

Equality and Diversity Impact

- 7.2 None

Social Value Impact

- 7.3 None.

Environmental Sustainability

- 7.4 None.

8.0 Background Papers

- 8.1 None.



Transformation and Business Change Plan 2020-2024



TRANSFORMATION & BUSINESS CHANGE PLAN 2021-2024

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| | |
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FOREWARD

Welcome to the South Derbyshire Transformation & Business Change Plan 2020-2024.

This plan outlines the central themes of a four year Transformation programme which will act, alongside Service Plans, as the delivery model for the newly introduced Corporate Plan 2020-2024.

Our Corporate Plan has our vision and values at its core which play an important role in ensuring that we deliver our services and care for our District and its people to the best of our abilities.

The Corporate Plan concentrates on the issues that are most important to the people who live and work in South Derbyshire, on national priorities set by the Government and on the opportunities and challenges presented by the environmental, economic and social aspects of the District. We have identified our three key priorities as:

Our Environment,
Our People,
Our Future.

This plan concentrates on how we can deliver our objectives under each of our three key priorities.

Tailored public services need to be delivered, or at least accessible, through multiple channels on an anytime, anywhere basis and the responsibility to transform services falls to Local Authorities.

By working to put appropriate and more streamlined processes, systems and channels in place, the Council will be able to establish an increasing focus on local communities and places, in addition to more efficient and repeatable services.

This Transformation & Business Change Plan is directly aligned to the needs of the Council as defined in the Corporate Plan, but is also influenced by a backdrop of national, social and economic factors, such as:

- Consumerisation, personalisation and the proliferation of web-connected devices.
- Rapid change in how people interact with and consume information.
- Greater availability and automation of digital services
- Continued Government focus on rebalancing the economy and public finances
- A growing commitment to achieve environmental and sustainability targets.
- A more flexible and innovation focused workforce

TRANSFORMATION

The plan has been created to support the Council achieve and where possible exceed its Corporate Plan targets. Naturally, the baseline for projects contained within the plan are companions to the Corporate Performance measures which have been implemented to document and govern the progress against our ambitions. The three key priorities [Our People, Our Environment, Our Future] each have a subset of objectives and altogether there are 38 Corporate Indicators.

There are ten indicators that are not directly reliant on transformation projects, however these indicators will gain indirect assistance due to the breadth of corporate improvement in other projects, such as more flexible and resilient technology and processes.



Fifteen of the Corporate Indicators are directly delivered or dependant on outcomes from the Plan. A further twelve indicators will be supported through joint delivery and collaborative working between departments and the Business Change Team.

The projects included in the roadmap are largely a product of the requirements of Corporate and Services Plans but are also in response to known risks and inherent corporate improvements.

The Transformation & Business Change Plan provides a focal point for change in the Council.

As the core delivery model for integrating our ambitions into day to day operations of the Council, the Transformation & Business Change Plan establishes four clear building blocks for success. These themed areas provide the focused professional support to groups of common projects.

Each theme will have an annual plan, which will be governed by the roadmap to act as a change agent in their area, galvanising the transformation agenda under one unified approach and governance scheme. Each themed area will be responsible for the delivery of their annual plan and report to the Transformation Steering Group which will oversee the four year roadmap and report progress accordingly.

CUSTOMERS

The purpose of this theme is to enhance the way in which the Council serves its customers, including designing and delivering new systems and processes to enhance customer service delivery.

A cornerstone of this work will be the scoping and delivery of a CRM solution and customer account that interfaces with key back office/line of business systems. Increasing the number of customer queries that are handled centrally and resolved at first point of contact, whether by phone, online or face-to-face will also be key to this theme.

Ultimately this theme aims to make it so easy for customers to interact with us online or by phone, that we'll have more time to serve customers who need face-to-face support, and as a result can provide better, more tailored and more quality support when needed.

Delivering more services digitally will also be central to this theme. Digital delivery is only set to grow in importance as a channel over the period of the plan. The public sector has already made significant investment to bring itself in line with the changing expectations of a digitally minded public.

From 2020 onwards, it will be Generation Y in their 30s and 40s that will start to influence public sector service demand. Generation Y is the self-service generation, comfortable conducting all aspects of their lives online and as such, they want public services to be compatible with their lifestyle. This is the first generation to be completely immersed in digital life from birth, Generation Y, has expectations of local government and the services it provides, that are distinctly different from those before them.

In 2019, almost nine in ten UK households had internet access, with 82% of people using home broadband and 70% using a 4G mobile service to get online. It's not surprising that 99% of all 16-45 year olds use the internet on a regular basis, however it is also worth noting the overall internet usage figure only drops to 95% when taking all age groups into consideration (16-75+).

This theme will also deliver standardisation of service, under a well understood and well embedded Customer Promise, as well as produce a commitment for internal customer interactions



Our guiding principles;

We will provide a clear, consistent and accessible service to all our customers

We will aim to resolve customer requests at the first point of contact through the Customer Services team

We will increase the number of customers who interact digitally as a first choice

We will be better connected with our customers and keep them up to date

We'll make it so easy to interact with us online or by phone, that we'll have more time to serve customers who need face-to-face support

*subject to final consultation.

TECHNOLOGY

The projects identified under this theme will deliver ICT infrastructure to provide a robust and connected digital estate, including modern and secure solutions to allow best use of technology across the Council, supporting line-of-business systems, both customer facing and back-office.

The purpose of the theme is to harness the potential of technology available to the Council and its partners and create a digital connected knowledge platform, underpinning modern ways of working.

Each of the four building blocks identified in the roadmap are co-dependent however a special relationship exists between the Customers and Technology themes. The Council is data rich but information poor and will implement a new approach to corporate data management throughout the roadmap.

A new architecture for integration of systems will be developed throughout the life cycle of this them to enable the Council to make best use fo the information is gathers.

"The purpose of the theme is to harness the potential of technology available to the Council and its partners and create a digital connected knowledge platform, underpinning modern ways of working. "

Technology will play a crucial role in automating blended services and provisioning information on the move. Access to information and systems will be vital to tailoring services and ensuring the maintenance of individual online portals. Slick back-office processes ensure resources are synchronised and demand is met.

Local Authority services need to be able to flex and adapt to citizens' demands, right down to their communication channel and format of choice. As technology evolves at an increasing pace, the Council will respond to technology savvy citizens, partners and employees through the projects identified in this theme.

There's no doubt that technology and 'as a service' delivery will play a leading role in the new business models, automation and processes over the next decade, to enable authorities to meet both financial and service delivery targets.

PEOPLE

Staff are the council's greatest and most valuable resource. We are proud of our staff and want to recognise their skills, knowledge and understanding, as these are fundamental to delivering successful transformation, a sustainable organisation and our Corporate Plan ambitions.

Workforce planning is a core business process to align changing organisation needs with people strategy. It is one of the most effective activity an organisation can engage in.

The Council want to develop a clear, strategic approach to workforce development, building on the excellent work and good practice to date. This will enable us to develop our current and future workforce with the right skills, competencies and behaviours to deliver services and manage businesses of the future with appropriate and effective HR and Organisation Development policies and practices.

The Workforce Strategy provides direction for all staff and the learning and development elements also cover all elected Members. It covers pay and reward, recruitment, retention, performance management, training and development of the workforce.

The purpose of this theme is to continually improve the working environment and the satisfaction of our employees, as well as provide flexible, modern and secure working practices and policies. The objective of the theme is to enable the Council to have a skilled and engaged workforce of high performing, professional teams to achieve the objectives of the identified in the Corporate Plan.

We aspire to be recognised as an employer of choice, aligning recruitment and retention with employee satisfaction levels to identify the council as a "great place to work"

It is our mission to construct a high performing workforce with the right skills and behaviours, supported by an induction and development programme, performance management and effective internal communications to deliver the Council's vision and priority outcomes.



PROCESS



The responsibility to transform local services falls to Local Authorities. By working to put appropriate and more streamlined processes, systems and channels in place early, the Council will be able to establish an increasing focus on local communities and places, in addition to more efficient and repeatable services.

In order to provide streamlined and efficient customer experiences, make best use to modern and flexible technology and align talented and engaged employees to Council objectives, the correct process must be in place.

Often transformative work programmes are derailed through not getting the basics right. More frequent still is the perception that transformation needs to occur in the form of new technological solutions, when fundamentally a process change would give a far greater return on investment.

The purpose of this theme is to collaborate with colleagues across the Council to deliver service reviews and change interventions that bring about positive results.

The working group will manage service improvement projects that are required in response to the Corporate plan, risk registers or service reviews that are not already in delivery through the other themes. These projects will deliver process changes that will lead to efficiency gains, reduced costs, reduced risk, or increased satisfaction.

The theme will have more capacity to assign emerging projects than the other three in the roadmap due to its interventive nature and is the reason this theme has a reoccurring programme of work relating to service reviews.

A standardised approach for reviewing the Council's process is now in place allowing for an evaluation across the organisation to happen in a unified way. In many cases the output from a service review will then feed into the next annual work programme for the other themes.

IDEA



In order to remain relevant and effective the Council must continually evolve and improve its processes. To do this we must foster a culture of innovation and creativity. The People theme has this objective at its heart and the Process theme provides a suitable framework to extract these ideas from the workforce and apply it to any given situation.

PROCESS



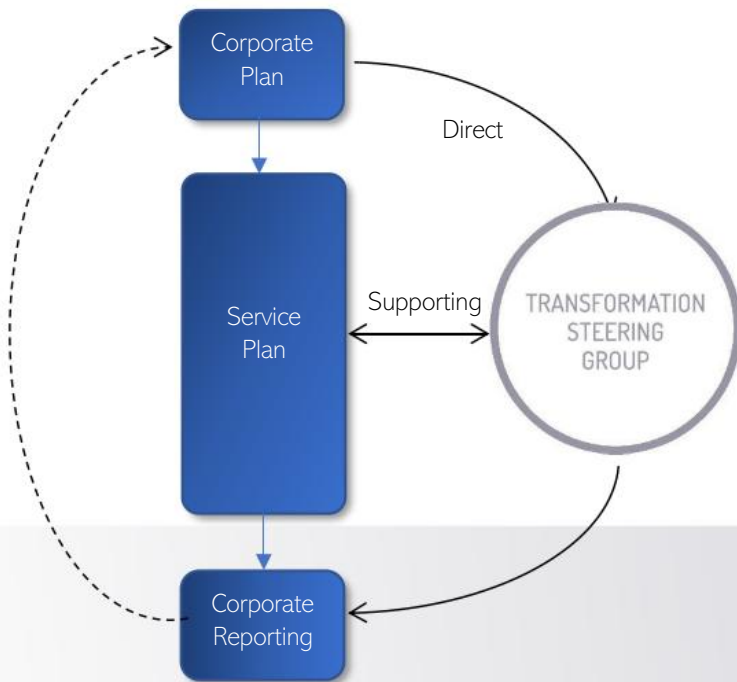
The Council has taken bold steps to restructure its approach to transformation not least the introduction of the corporate Business Change team to act as a neutral consultancy partner for the construction and evaluation of change projects, rooted in business cases principles such as ROI and Benefits Realisation.

GOAL



The Council has set itself ambitious goals, both at a strategic and operational level, however have done so in a confident self-image with the knowledge that adversity is inevitable through any challenging endeavour and outcomes realised the roadmap will provide the skills and effective operating model commensurate to the challenge.

GOVERNANCE



It is important to have a clear and well documented governance structure when embarking on any objective. The Council has robust governance in place in relation to the Corporate Plan which forms the ultimate layer of reporting and escalation in the organisation. The output of the Transformation & Business Change Plan will be measured in line with this framework as is represented by the diagram to the right. A mixture of supporting and directly projects have been highlighted to contribute towards achieving the 38 objectives in the four year Corporate Plan 2020-2024.

The Transformation Steering Group is responsible for Programme Management of the roadmap and the projects it contains. The group will be attended by the Council's Strategic Directors, the Chair of each of the operational groups established under each Transformation Plan theme, in addition to other relevant resources, such as key stakeholders. The group will meet less regularly than the operational groups with the objective to act as an executive authority to project delivery, evaluate project progress and manage risks, conflicts and escalations.

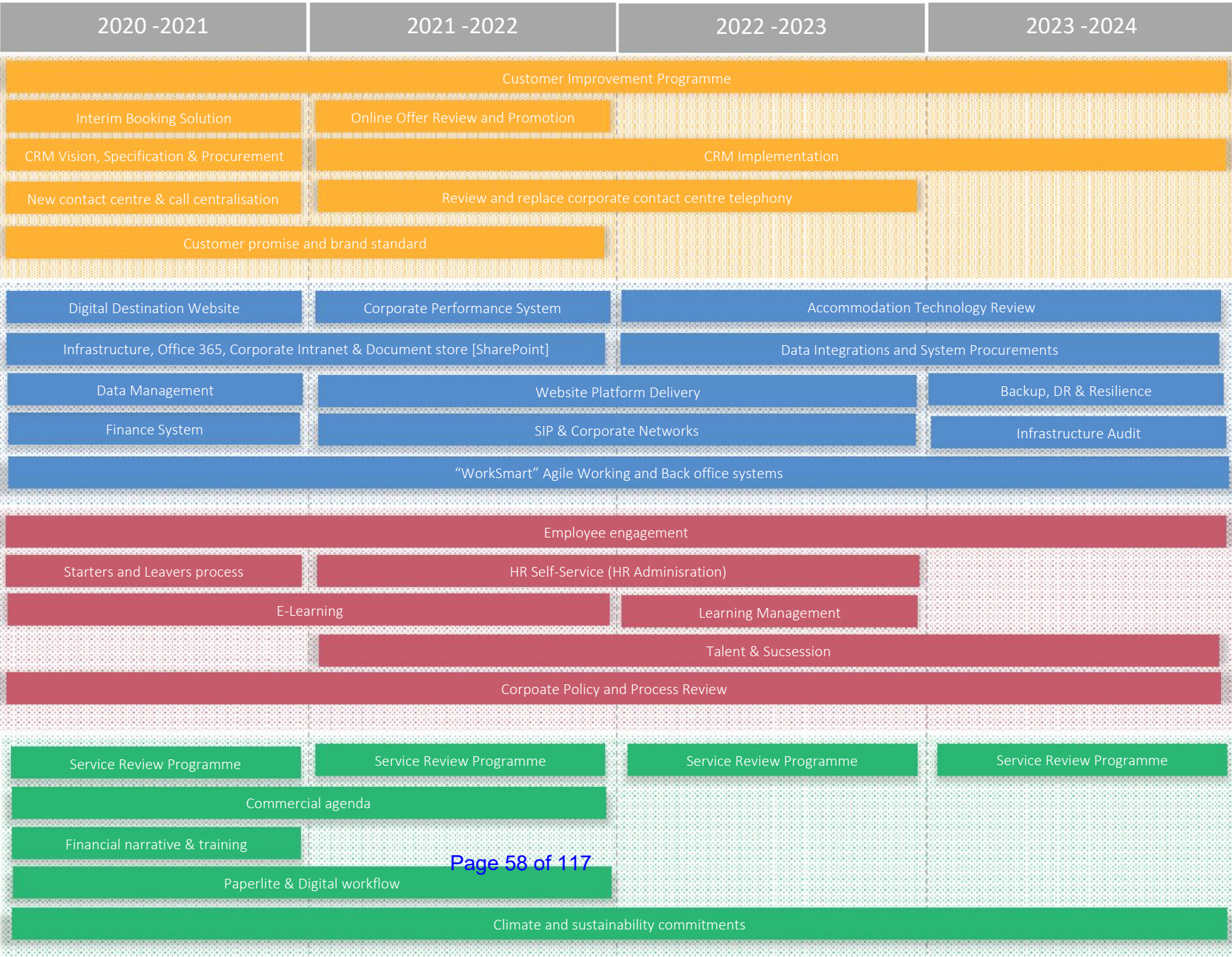


Each of the four themes has a working group to progress core pieces of work relating to the four year roadmap.

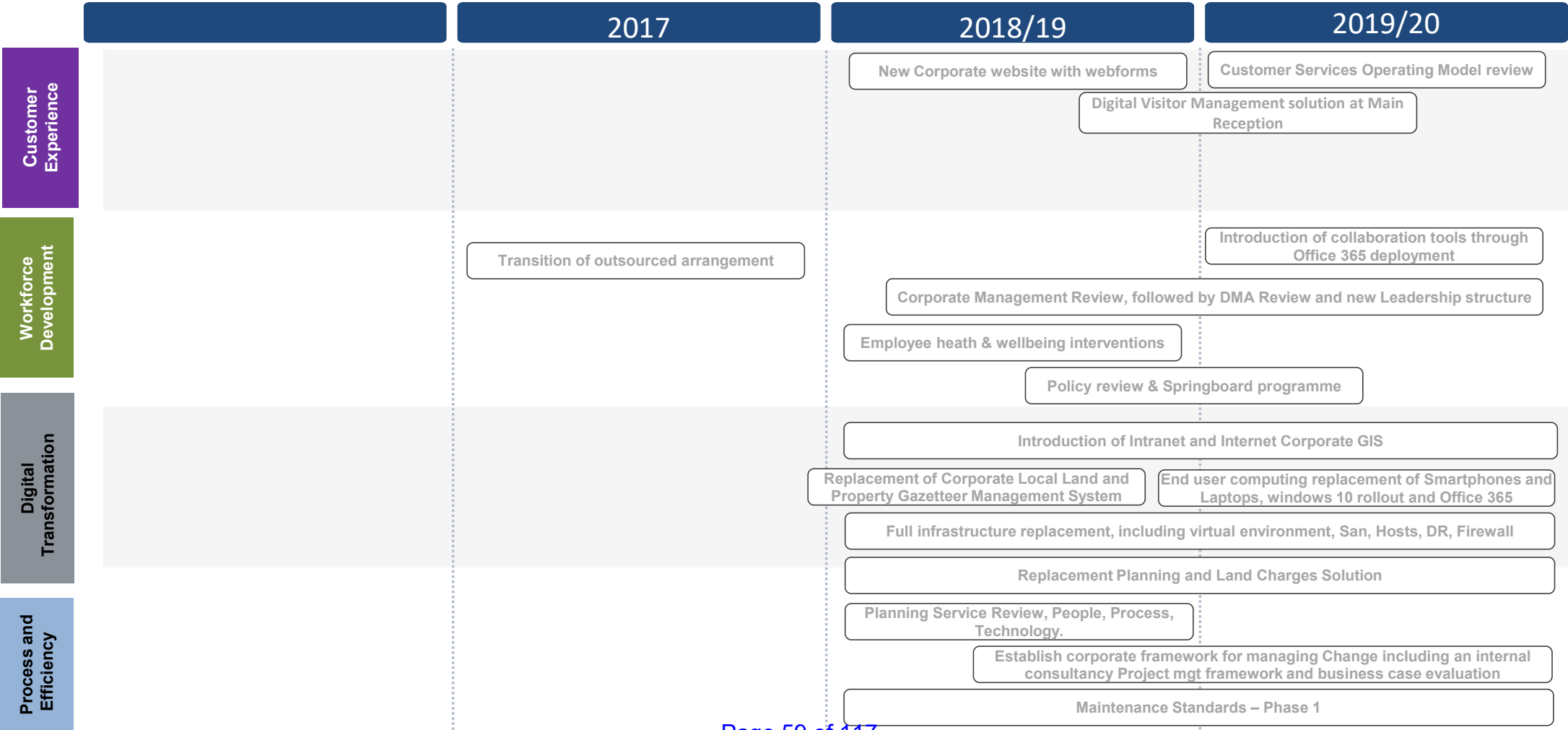
The Transformation Steering Group will be assessing project progress against the annual work programme for each theme as presented by the Chair each April. The annual work programme will of course reflect the four year roadmap, although it will be the role of the Transformation Steering Group to prioritise, reschedule or introduce new work into the roadmap if required.

The working groups [Project Management] and the Transformation Steering Group [Programme Management] will adhere to the corporate PMO process and documents as identified by the Business Change Team and published on the intranet.

The standardisation of the management tools has already been completed as a pre-requisite to managing a large and complex programme of change.



SDDC Transformation 2018 - 2020



Transformation Steering Group

Terms of Reference

February 2020

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Version Control

| Version | Description of version | Effective Date |
|---------|------------------------|----------------|
| 1.0 | Adoption | Feb 2020 |
| | | |

Approvals

| Approved by | Date |
|--|----------|
| Strategic Director Corporate Resources, Chair of Transformation Steering Group | Feb 2020 |
| | |

Glossary of Terms:

Transformation Plan. The strategic document outlining considerations, approach and content of transformation activities over the four year period 2020-2024

Transformation Roadmap. The high-level charting and critical path of grouped projects in relation to the four year period 2020-2024

Transformation Programme. The collective sum of all transformation projects and activities needed in order to follow the Transformation Plan and roadmap.

Annual Work Plan. The projects in each theme that are required from 1st April to 31st March in any given year.

1.0 Purpose

The purpose of the Transformation Steering Group is to develop, coordinate and manage transformation activity across the Council and ensure that service improvements and savings are delivered in line with the Corporate Plan, Transformation & Business Change Plan and Medium Term Financial Plan.

2.0 Objectives

- Provide the overarching governance and decision making framework for the Transformation Programme
- Agree the overall programme goals, objectives and priorities on an annual basis and over a four year period from April 2020 to March 2024.
- Monitor and manage programme progress, savings and impact and ensure projects are managed through the corporate standard as documented in the project toolkit.
- Provide a robust challenge and scrutiny function for all projects and reviews.
- Manage high-level interdependencies and risks associated with all transformation programmes and the wider change agenda or corporate priorities.
- Strategically identify, prioritise and allocate resources to programmes and projects, re-aligning where necessary
- Identify and develop funding and resource plans designed to assist in the delivery of the programme
- Coordinate with the Council Medium Term Financial Plan and any agreed saving targets
- Ensure reviews deliver against their outcomes, KPI's, budgets, timescales and business benefits, as identified in their business cases, where possible
- Put in place an over-arching effective communications and engagement strategy, sharing key messages with employees, members and partners as required
- Ensure that programme leads are adequately supported in their work and held to account for the delivery of their responsibilities.

3.0 Roles and responsibilities

3.1 Chairman

- Effectively chair and facilitate Group meetings to ensure agenda is covered and all views actively sought and considered
- Commit to effective and efficient programme governance
- Encourage and facilitate open conversations that may at times be difficult, working towards consensus amongst all members

- Arbitrate when disagreements arise and seek resolution

3.4 Programme director

- Responsible for the success of the Transformation Programme, ensuring the Group remains focused on achieving its objectives and realising the expected benefits
- Track progress and monitor the delivery plan for the transformation programme
- Escalate concerns from the projects to the Transformation Steering Group
- Develop a programme risk register to align with the Corporate Risk Register
- Where concerns exist, e.g. a project is experiencing delays because of organisational blockers, step in to help resolve these or escalate to Transformation Steering Group depending on situation.
- Provide stability in the development, adoption and maintenance of the programme

3.3 Transformation theme chair

- Escalate concerns from the projects to the Transformation Steering Group in relation to their annual work programme.
- Track progress and monitor the delivery plan for their transformation theme
- Develop a theme risk register to align with the programme risk register

3.4 Group members

- Facilitate change and champion the programme to internal/external stakeholders
- Review papers, attend meetings and complete actions as agreed
- Seek to reach consensus opinions within the Group wherever practicable and consider matters from other perspectives, including the public and staff
- Promote partnership working to engender trust amongst board members and encourage creative and collaborative relationships to develop

4.0 Meetings

The Transformation Steering Group will meet once every six weeks.

Agenda and papers will be circulated at least three working days in advance of the meeting. Minutes and actions will be circulated within five working days after the meeting.

A standing agenda will be provided that will include discussion of the action log from the previous meeting, key decisions and new actions and the plan for resolution as well as updates on projects of work in each core theme in the Transformation & Business Change Plan.

Reports on progress will be submitted to the Leadership Team twice a year. [April & September]

Reports on progress will be submitted to Finance and Management Committee once a year. [April]

5.0 Governance

5.1 Corporate Governance

The progress of the Transformation Plan, as managed through the Transformation Steering Group, will be documented through the corporate performance framework established to govern the Corporate Plan. Specifically, a quarterly requirement to document progress against the following:

| | |
|------------|---|
| Theme: | Our Future |
| Sub Theme: | Transforming the Council |
| Objective: | Provide modern ways of working that support the Council to deliver services to meet changing needs. |

There are several projects included in the Transformation & Business Change Plan that also have a direct requirement to update their progress as part of the management of the Corporate Plan, this will be down to the Chair of each Transformation theme to report via the appropriate corporate performance channel. The commitment of the Transformation Steering Group is to provide progress updates on the entirety of the programme.

5.2 Programme and Project Governance

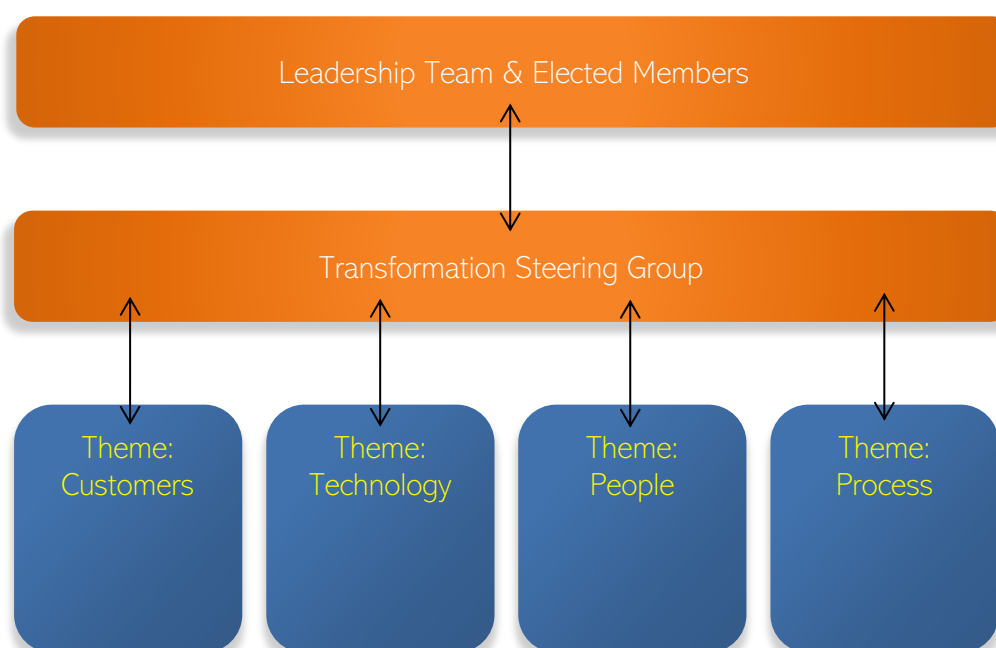
The Transformation & Business Change Plan imposes four building blocks to success, which have been documented and are referred to as transformation themes. A Chair of each theme has been appointed to manage its progress and provide representation at the Transformation Steering Group

Each theme has established a working group and will submit an annual work programme to the Transformation Steering Group in line with the Transformation Roadmap. Each Chair will ensure projects are operating to the corporate standard as defined in the Project Toolkit

5.3 Membership

| Position | Role on Transformation Steering Group |
|--|---|
| Core Membership | |
| Strategic Director Corporate Services | Chair |
| Strategic Director Service Delivery | Deputy Chair, Group member |
| Head of Business Change, ICT & Digital | Programme director, Group member |
| Head of Customer Services | Group member, Chair of customers theme |
| Head of Organisation Development and Performance | Group member, Chair of people theme |
| Business Change Manager | Programme manager |
| Co-opted Membership | |
| Head of Finance | Co-opted member |
| Other Heads of Service, Project dependant | Co-opted member |

5.4 Structure



6.0 Review

The Transformation Steering Group will meet for the duration of the current Transformation & Business Change Plan 2020-2024. The Terms of Reference will be kept under review and amended as necessary.

| | | |
|--------------------------------|---|----------------------------|
| REPORT TO: | FINANCE AND MANAGEMENT | AGENDA ITEM: 9 |
| DATE OF MEETING: | 9th JULY 2020 | CATEGORY: DELEGATED |
| REPORT FROM: | CHIEF EXECUTIVE | OPEN |
| MEMBERS' CONTACT POINT: | Frank McArdle (01283 595 702) frank.mcardle@southderbyshire.gov.uk | DOC: |
| SUBJECT: | SPONSORSHIP | |
| WARD(S) AFFECTED: | AFFECTS THE DISTRICT AS A WHOLE | TERMS OF REFERENCE: |

1.0 Recommendations

- 1.1 That the Committee approves the Sponsorship Guidance contained in Appendix A attached to this report.

2.0 Purpose of the Report

- 2.1 To provide the Committee with an update on sponsorship activities across the Council.
- 2.2 To seek approval for the Council's Sponsorship Guidance contained in Appendix A.

3.0 Background

- 3.1 To date, sponsorship and associated commercial advertising within the Council has been ad hoc. The Council does not currently have a protocol in place, and it is left to individual officers to negotiate sponsorship and commercial advertising agreements ensuring they are in line with corporate objectives, that they are fair and equitable, and not supporting private individuals or clubs.
- 3.2 Officers across the Council with the support of Heads of Service actively pursue income opportunities through sponsorship and associated commercial advertising for a number of projects and events as a way of generating revenue.
- 3.3 An exercise was undertaken in October 2019 across all Services to identify where commercial and voluntary sponsorship agreements already exist. The table below sets out some of the sponsorship received and awarded in the past 12 months.

| Service Area | Project / Event | Name of sponsor(s) / advertiser | Amount Received |
|-------------------------|------------------------------|--|------------------------|
| Environmental Education | Science education activities | Rolls-Royce plc | £20,000 |
| Cultural Services | Roundabouts | A number of local businesses including ATL | £2,000 |

| | | | |
|-------------------------------|------------------|---|---|
| | Christmas trees | Local businesses including Great British Finance Limited and Timms Solicitors | £1,000 |
| Sport & Health | Sports Awards | Various | £1,000 approx. |
| Economic Development & Growth | Skills Festival | Local businesses including IG Elements and St Modwen Homes | £3,000 |
| | Jobs Fair | Musk Engineering | £1,000 |
| Housing | Christmas Hamper | Ventro and Novus (contractors) | £1,100 approx. |
| | | Active Nation (contractor) | £1,000 - £3,000 approx. (80 x 3-day leisure passes) |

| Service Area | Project / Event | Name of sponsor(s) / advertiser | Amount Awarded |
|---------------------------------|---|---------------------------------|----------------|
| Economic Development & Growth | East Staffordshire and South Derbyshire Business Awards | | £2,500 |
| | South Derbyshire Community Awards | | £250 |
| Leisure & Community Development | South Derbyshire Sports Awards | | £250 |

3.4 The amounts of sponsorship can vary from year to year depending on whether companies and organisations decide to continue with sponsorship, or whether it is one-off.

4.0 **Detail**

4.1 As part of the Council's Corporate Plan and Financial Strategy, one of the Council's key aims is to deliver a transformational Council, through sourcing appropriate commercial investment opportunities. This is in addition to generating and maximising external funding and other income streams, that provide modern ways of working to support the delivery of services to meet changing needs.

4.2 To ensure that sponsorship and associated commercial advertising activities entered into by the Council are undertaken consistently and in line with the agreed processes and procedures Sponsorship Guidance has been developed. This is attached at Appendix A.

5.0 Relevant Issues and Options

- 5.1 The Sponsorship Guidance comprises the following;
- Document Purpose outlining the reason for the guidance and what it aims to achieve.
 - Definition of Sponsorship for the purpose of the guidance.
 - Guiding Principles outlining the general principles that companies will need to follow when undertaking sponsorship activities with the Council.
 - Procurement Guidance to support the process for decision making and the award of contracts.
 - Approvals and Agreements required as part of managing, monitoring and reviewing sponsorship ensuring proposals align with the Council's Corporate Plan.
 - Marketing and Media Relations outlining use of Council branding.
- 5.2 To ensure the guidance is followed, staff will be required to complete a checklist and risk assessment in accordance with the guiding principles for each individual sponsorship proposal prior to approval. All documentation will be available via the Council's Intranet.
- 5.3 In line with the guidance in Appendix A, Heads of Service will be tasked to explore and review opportunities for attracting sponsorship opportunities in respect of the Council's assets (including parks, open spaces and sports facilities, websites, pool cars and electric bikes) and services, for example, events.

6.0 Financial Implications

- 6.1 Service Plans set out opportunities to contribute towards delivering a transformational Council, through generating and maximising external funding and other income streams to support delivery and to meet changing needs.
- 6.2 A dedicated account code will be created to record and identify sponsorship contributions and awards, for inclusion within a public register in line with Local Government Transparency Code 2015.

7.0 Corporate Plan Implications

- 7.1 The Guidance will support the delivery of the Council's Corporate Plan 2020-2024 and the future priority of transforming the Council by sourcing appropriate commercial investment opportunities.

8.0 Employment Implications

- 8.1 There are no specific employment implications associated with this report.

9.0 Legal Implications

- 9.1 All sponsorship proposals should be developed and approved in line with the Guidance.
- 9.2 All Sponsorship Agreements must be referred to both Legal and Democratic Service and the Financial Service for review or where any queries relating to the potential appropriateness of the sponsoring company exist.

10.0 Risk Impact

10.1 Associated risks will be mitigated through individual checks and a risk assessment for each sponsorship proposal.

11.0 Community Impact

11.1 There are no specific community impacts associated with this report.

12.0 Consultation

12.1 Consultation with the Senior Leadership Team and Heads of Service has taken place in developing the Guidance.

13.0 Equality and Diversity Impact

13.1 Section 11 Agreements in the Sponsorship Guidance attached in Appendix A states that “sponsors should confirm they meet the Council’s standard on both ethical and equality policies”.

14.0 Social Value Impact

14.1 There are no social value impacts associated with this report.

15.0 Environmental Sustainability

15.1 There are no specific sustainability and climate change implications associated with this report.

16.0 Conclusions

16.1 Introducing Sponsorship Guidance will allow the Council to take a consistent and corporate approach to both securing and providing sponsorship in the future. The Guidance will provide a clear framework and control measures, ensure compliance with legislation, industry codes and other Council policies and ensure best value for money.

17.0 Background Papers

17.1 Appendix A – Sponsorship Guidance

Sponsorship Guidance

January 2020



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Version Control

| Version | Description of version | Effective Date |
|---------|---|----------------|
| V1.0 | Guidance for seeking and securing sponsorship | |
| | | |

Approvals

| Approved by | Date |
|-------------|------|
| | |
| | |

Associated Documentation

| Description of Documentation | |
|------------------------------|--|
| Appendix A Important Terms | |
| | |



1.0 Introduction

- 1.1 This guidance document sets out the Council's definition of "sponsorship" and the terms upon which the sponsorship may be both sought and accepted by the Council.

2.0 Purpose

- 2.1 In order to enhance, vary or reduce the cost of current activities, the Council may enter into a sponsorship agreement. This may involve either the Council granting sponsorship to a third party in the form of some benefit, or the Council receiving sponsorship in the form of some benefit from a third party.
- 2.2 When granting sponsorship, the Council must also consider the provisions relating to granting financial assistance contained in the relevant legislation.
- 2.3 Sponsorship can be advantageous for all parties. The Council must ensure all sponsorship agreements do not compromise or question the integrity of the operations or services that are provided and must not adversely affect the reputation of the Council.
- 2.4 The primary consideration must be how any arrangements support the delivery of the Council's Corporate Plan.

3.0 Aims and Coverage of the Guidance

- 3.1 This Guidance outlines the principles and procedures for acceptance and granting of sponsorship proposals and is concerned primarily with:
- a) assessing risk and managing potential conflicts of interest
 - b) public accountability and transparency of decision making
 - c) financial management and benefits
 - d) ensuring strong governance and consistency
 - e) that any arrangements are subject to review and evaluation of their contribution towards the Corporate Plan and other shared aims

4.0 What is Sponsorship?

- 4.1 "Sponsorship" is defined as "a business relationship of mutual benefit involving the transference of funds, resources or services from the sponsor to the sponsored party in return for an association and a set of rights which are to the mutual satisfaction of both parties". Sponsorship is not philanthropic, and a sponsor will expect to receive a reciprocal benefit beyond a modest acknowledgement.
- 4.2 Sponsorship is a significant business activity and companies seek sponsorship opportunities for a variety of legitimate business reasons including:
- to raise the company's image and public profile;
 - to improve public/community relations and instil goodwill;
 - to show creativity and public spirit;
 - to generate public exposure and media coverage;
 - to differentiate the company from its competitors;
 - to increase profits/market share.



- 4.3 Association of a company's name with Council events or activities can be particularly attractive in terms of the opportunities for media coverage and as a display of public spirit. In some cases, sponsors' motives or the benefits the sponsor anticipates may be less apparent. Careful consideration should always be given to understanding what a sponsor might gain from the arrangement, their objectives and the resources that will be used (which can be something other than financial).
- 4.4 The Council encourages the involvement of the private and voluntary sectors in the sponsorship of Council activities wherever appropriate. Sponsorship can help promote the commercial potential of the Council's non-tangible assets, allowing more productive use of existing resources and, potentially, reducing the cost to the taxpayer of Council activities.
- 4.5 Sponsorship should not be confused with advertising which can be defined as "any paid form of non-personal presentation and promotion of ideas, goods or services by an identified organisation".

5.0 Principles

- 5.1 All sponsorship agreements will be in the form of a written agreement and comply with principles and procedures outlined in this guidance.
- 5.2 The Council must consider whether the granting of sponsorship may require consideration of relevant legislation as it may be deemed as 'financial assistance'.
- 5.3 Sponsorship agreements must include a statement that the Council's functions will continue to be carried out fully and impartially, notwithstanding the existence of a sponsorship arrangement.
- 5.4 There should be no conflict between the vision and key aims of the Council and those of the sponsor.
- 5.5 The agreement will include a statement to the effect that any attempted influence of the Council's functions will result in an automatic review and/or termination of the sponsorship agreement.
- 5.6 Any consideration given to the establishment of sponsorship agreements shall have regard to the following principles:
- a) it is not perceived to influence or hinder how the Council operates;
 - b) it does not impose or imply conditions that would limit or appear to limit the Council's ability to carry out its functions fully or impartially;
 - c) it must not fetter its future decision-making powers in any way or the way in which any services are delivered to the public or to the sponsoring company in the future;
 - d) it does not compromise the reputation, constitution and credibility of the Council;
 - e) the sponsorship is aligned with the stated aims of the Council which includes the Council's image;
 - f) it is not viewed as product endorsement;
 - g) agreements will be terminated if conditions of this guidance are not met;
 - h) agreements are formed with regard to public accountability and transparency with clear statements of objectives and benefits achieved;
 - i) are subject to a shared review process that ensures that the sponsorship arrangement is meeting the agreed objectives and in line with these principles.



6.0 Risk Assessment

- 6.1 Each sponsorship proposal will be subject to a risk assessment. This includes:
- a) ensuring that the sponsorship benefits for the third party do not outweigh the level of sponsorship;
 - b) ensuring that the type or form of sponsorship is not inconsistent with the key aims or values of the Council (e.g. accepting free products simply because they are free but not of any perceivable benefit to the Council);
 - c) ensuring that any sponsorship proposal does not anticipate explicit endorsement of the sponsor or sponsor's products, as this form of proposal is not acceptable to the Council;
 - d) ensuring no conflict of interest arises from the sponsorship;
 - e) ensuring that the Council has sufficient capacity to meet the terms of the proposed agreement.
- 6.2 If the assessment concludes the risks are unacceptably high or the Council is receiving minimal value from the proposal, then no further consideration of the proposal will be made.
- 6.3 The Council should not accept sponsorship from parties subject to or likely to be subject to its regulation or inspection.
- 6.4 Every sponsorship proposal will be regularly assessed against the possibility of a conflict of interest and may be refused or terminated in any case where during the life of the sponsorship the sponsor:
- a) has a current development application or planning matter before the Council, or the Council is aware of the possibility of an application or matter coming before the Council in the near future;
 - b) is, or is likely to be, subject to regulation or inspection by the Council which may impose or imply conditions; and where the sponsorship may limit the Council's ability to carry out its functions fully and impartially.
- 6.5 In these circumstances, the reasons for accepting sponsorship must be clearly recorded by the approving officer. The agreement of sponsorship must clearly provide suitable provisions to deal with issue, which could include termination or suspension of the sponsorship agreement until the matter is resolved.
- 6.6 It is expected that any individual or organisation with a sponsorship agreement with the Council will disclose as part of the agreement if there is a current development application or planning matter relating to them, or if the individual or organisation is subject to regulation or inspection by the Council.

7.0 Council Granting Sponsorship

- 7.1 The Council can receive requests to 'sponsor' activities of an external party e.g. provide funding or resourcing of activities. In most cases, 'sponsorship' is actually a request for financial assistance or support. These requests must be assessed in accordance with the "Sponsorship Guidance".

8.0 Advertising for Sponsorship

- 8.1 It is accepted that the public interest is best served by the Council making sponsorship opportunities widely known through open tendering, although it is recognised that in certain circumstances this may prove impractical and requests for sponsorship may only be available by invitation.
- 8.2 Reference is to be made to the Council's Procurement Strategy and Framework which can be accessed at: [How to Buy and Supply](#) when determining the level of advertising required according to the monetary and/or benefits in kind to be raised. This will ensure that the Council is obtaining the best value from the sponsorship agreement. It is essential that these are followed and by way of summary only the following applies according to the value of the sponsorship agreement:

| Classification | Value | Actions | Responsibility |
|-----------------|--------------------------------|--|----------------|
| Low Value | Up to £1,000 | Obtain three quotations (if possible). | Budget Holder |
| Medium Value | From £1,000 to £25,000 | Obtain three written quotations (if possible). | Unit Manager |
| Below Threshold | From £25,000 to OJEU threshold | Conduct Tender exercise. | Procurement |

Above Threshold

Over OJEU threshold

Between £100,000 and the EU Services Threshold (currently £173,934) - at least four written tenders must be invited.

Over £173,934 – the European Directive applies and the Public Contract Regulations 2006 that implement them in the UK, with tenders to be invited in accordance with the European Directive and the Public Contract Regulations 2006.

- 8.3 Where a service area is looking to put in place a sponsorship agreement or undertake a sponsorship campaign and needs to undertake market analysis to identify suitable organisations to be invited to submit a quotation and tender in accordance with 8.2, then Commissioning and Procurement staff will be able to provide support and assistance during this process. This will include ensuring that the successful organisation is set up on the Council's corporate purchasing and payment system (AGRESSO).

9.0 Unsuitable Activities for Sponsorship

- 9.1 Without any limitation on the Council's ability to exercise its discretion, the Council does not consider the following companies, partnerships, organisations or individuals suitable for entering into sponsorship agreements with:
- Those involved in the manufacture, distribution and wholesaling of tobacco related products, alcohol, unhealthy food or lifestyles, weaponry, pornography and addictive drugs;
 - Those found guilty of illegal or improper conduct by any other legal authority;
 - Those which are involved in political fields [e.g. political parties];
 - Those whose services or products are considered to be injurious to health or are seen to conflict with the Council's policies and responsibilities to the community.



9.2 Offers of sponsorship or commercial advertising will not be accepted from any organisation that is in financial or legal dispute with the Council and the Council will show caution when accepting sponsorship where the organisation is:-

- a) in the process of a planning application
- b) in the process of a tender application

This is not to be interpreted as preventing sponsorship from the District Council's regular suppliers or contractors.

10.0 Acceptable Types of Sponsorship

10.1 The Council can recognise its sponsors in a numbers of ways. The extent of such recognition is to be determined in relation to the level and nature of the sponsorship; and is subject to written agreement specifying the benefits, costs and shared outcomes.

10.2 Sponsorship recognition should be tasteful and discrete and must not create situations of potential embarrassment or criticism of the Council. Such forms of recognition can include, but are not limited to:

- a) appropriate signage;
- b) media release acknowledging the role and contribution of the sponsor, invitations to selected Council functions, which may include hospitality, preferential seating, award presentation;
- c) inclusion of sponsor's name and logo on Council publications and other external publications;
- d) naming rights for an event, building etc. for the term of the sponsorship;
- e) an award or trophy struck in the sponsor's name and publicly presented;
- f) merchandising of goods at selected points of sale;
- g) displays in Council buildings/facilities subject to approval in each individual case, in static displays or for an activity of the sponsor when not required for the Council's use;
- h) an opportunity for the sponsor's name and/or logo to be promoted through appropriate general advertising by the Council;
- i) annual print advertising campaign to acknowledge major sponsors.

11.0 Agreements

11.1 The Council's approved form of Sponsorship Agreement shall be used in all circumstances wherever possible. However, it is acknowledged there may be circumstances in which the sponsor may require its own form of agreement to be used. Notwithstanding this, every sponsorship agreement will require a written agreement incorporating conditions of contract which clearly set out:

- a) how the proposal meets the Council's Corporate Plan objectives and delivers against its priorities;
- b) sponsors should confirm they meet the Council's standard on both ethical and equality policies
- c) the benefits, including economic benefits available to the Council and the sponsor and the nature of the benefits e.g. naming rights;
- d) any personal benefits available to the sponsor's employees and their relatives;
- e) the form or forms of sponsorship acknowledgment which will be available;



- f) the scope and limitations of uses which the sponsor can make of the sponsorship arrangement;
 - g) the term of the sponsorship and any conditions regarding renewal;
 - h) consequences of change which may occur over time e.g. a shift in the relationship, new policies, new corporate values or aims;
 - i) financial accountability requirements;
 - j) an indemnity by the sponsor against all liability for personal injury and for loss or damage costs, claims and expenses however caused or incurred as a result of any act of negligence by the sponsor;
 - k) provision for termination or suspension of the agreement.
- 11.2 The agreement must include a statement that the Council's functions will continue to be carried out fully and impartially, notwithstanding the existence of a sponsorship arrangement.
- 11.3 The agreement must include a statement to the effect that any attempted influence of the Council's regulatory functions will result in an automatic review and/or termination of the sponsorship agreement in accordance with 6.0.

12.0 Public Register

- 12.1 All Sponsorship Agreements are to be listed in a publicly accessible sponsorship register.

13.0 Approval of Agreements

- 13.1 All sponsorship agreements shall be approved by the relevant Head of Service in consultation with the Strategic Director of Corporate Resources.
- 13.2 Sponsorship Agreements must be referred to Legal and Financial Services for review prior to signing.
- 13.3 All potential sponsors must be referred to this guidance when making an application for any form of sponsorship arrangement.

14.0 Access to Guidance

- 14.1 The Sponsorship Guidance is to be included in the Council's document register and placed on the Council's website.

15.0 Public Accountability/Reporting

- 15.1 The Council is committed to principles of open government and public accountability, transparency and accessibility. To meet these objectives, the Council agrees that:
- a) sponsorship agreements will be in the form of a written agreement;
 - b) the Council's Sponsorship Guidance is publicly available and listed on the Council's website;
 - c) a public register of sponsorship agreements is maintained by the Head of Finance for the Council.

16.0 Marketing and Media Relations

- 16.1 The Council's Communications team must be notified in advance and before the outset of all sponsorship agreements to be entered into by the Council.
- 16.2 Media relations for all sponsorship agreements are undertaken by the Council's Communications teams, unless otherwise agreed.
- 16.3 All media information produced by the sponsor must be approved by the Council's Communications team before publication and/or circulation.
- 16.4 The use of sponsors' logos and other branding must not interfere or conflict with the Council's own corporate branding guidelines and logos.
- 16.5 The use of the Council's corporate logos or other images associated with any of the Council's services on any sponsor's publicity must be approved in advance and in writing by the Council's Communications team to ensure they are in line with the branding guidelines.
- 16.6 Clear and documented arrangements must be in place that restrict the ongoing use of any Council logo or image beyond the stated purpose in the agreement. The Communications Team will be responsible for monitoring the use of logos and completing a formal review of all arrangements on an annual basis. This review will be completed in consultation with the appropriate service area.

17.0 Disclaimer

- 17.1 Acceptance of advertising or sponsorship does not imply any endorsement of the sponsor's products or services by the Council.

18.0 Conflict of Interest

- 18.1 Council officers and Elected Members are required to declare in advance if they have any personal interests, involvement or potential conflict of interest with any potential sponsor. In the event of a potential conflict of interest, that officer or member will take no part in the consideration of sponsorship with that particular organisation.
- 18.2 At all times the requirements of the Employee and Members Codes of Conduct must be observed, and advice requested from Human Resources and/or Legal Services should any potential areas of conflict arises.
- 18.3 If any inappropriate reasons or outcomes arise from any arrangements in place the matter must be raised immediately with the approving officer, Legal and Democratic Services and Organisational Development & Performance.
- 18.4 In addition a confidential report of malpractice or inappropriate arrangements can be reported using the Whistleblowing Policy and Procedure that is available on the intranet.

19.0 Guidance Review

- 19.1 This guidance and associated documentation (check list, risk assessment, legal agreement templates) will be reviewed on an annual basis by the Head of Organisational Development & Performance for the Council.



IMPORTANT TERMS

Event sponsorship - This involves the payment of a fee to the rights holder in return for promotional and branding benefits at an event (e.g. a sports event or conference).

Licensing - Licensing is a contractual arrangement between a third-party company (the licensee) and a Council department (the licensor), which allows the licensee to sell approved products carrying the licensor's branding into the retail market.

Media sponsorship - Sponsoring activity within specific media can be a good way of making messages accessible to your target audience. The audience will have an affinity with their chosen media and will trust the content of material used in the magazine, newspaper, website, radio station or TV programme.

Advertiser-funded programming or branded content - An advertiser-funded programme (AFP) is a television or radio programme that has received advertiser funding for its development or production. With a television AFP, the advertiser usually funds the production of the programme in return for sponsorship credits, off-air marketing, rights and content ownership. The advertiser cannot influence the content or scheduling in any way that affects the editorial independence of the broadcaster. It can be described as 'any means by which an advertiser can have a deeper relationship with programming product beyond traditional media activity'. The commissioning process for AFPs can be lengthy and there are no guarantees that the programme idea will make it on to television, radio or other media platforms. Best practice advice for developing cost-effective AFPs is to work with a specialist sponsorship agency that has relationships with broadcasters' commercial and commissioning departments.

Radio promotions - These are a specific form of branded content. They are interactive, competition based and usually short term. Radio promotions are placed within programming and are therefore perceived as station editorial rather than as commercial or advertising activity. Stations will publicise promotions within other radio programming, using live reads and pre-recorded trailers. They will also support the promotion through off-air activity, e.g. on station websites and through street marketing teams. AFPs and radio promotions are governed by the Ofcom Broadcast Code.

Broadcast sponsorship - This involves an advertiser buying branded idents surrounding a television or radio programme. It enables Council departments to communicate campaign messages via association with a specific television or radio programme or a collection of programmes.

Clear sponsor identification can provide effective cut-through within cluttered advertising breaks and can target messages at specific audiences. As regulated by Ofcom, sponsor identification must not contain advertising messages or direct calls to action. However, they can include a telephone number or web address without instructing the viewer to call the number or visit the website. Effectiveness of broadcast sponsorship is measured through viewing or listener figures for the programme as well as peaks in numbers of telephone calls or website hits in the period immediately after the programme (as well as ongoing during the campaign period).

Digital sponsorship - As penetration levels of digital access across the general public rise, so do the opportunities for advertisers to engage with their target audiences across various digital platforms. Online sponsorship can either run across an entire website or be limited to



specific content areas within a site. Evaluation can be monitored by way of exposure to unique users and by those interacting either directly or non-directly with the sponsorship opportunity. At present the digital arena is unregulated, but the Council will closely monitor developments on this and will comment as required. Digital sponsorship is not just confined to sponsorship within pages of websites, and, increasingly, opportunities to sponsor the likes of podcasts and IPTV (Internet Protocol Television) content will become available.

Press sponsorship - Press sponsorship is print advertising that is styled to look and feel like the house style of the publication in which it appears. This can take the form of advertorials, stand-alone supplements or sponsored editorial features. Press sponsorship is a good way of putting across a complicated message in an informative, interesting and innovative way. The media can be very targeted (e.g. regional press or ethnic media) or can reach a very wide audience (through national publications). Any call to action is easy to monitor, as an advertorial can be coded, and results analysed. PPA (Periodical Publishers Association) guidelines state that press sponsorship must be clearly marked as coming from a paid-for source.

Product placement - Product placement in a Council context involves the inclusion of a campaign within fictional or non-fictional media, e.g. a fire safety poster placed on the wall of a café in a major TV soap opera. Product placement can be difficult to achieve and involves lengthy negotiations with production companies and broadcasters, and again is regulated by Ofcom.



| | | |
|--------------------------------|--|---|
| REPORT TO: | FINANCE AND MANAGEMENT COMMITTEE | AGENDA ITEM: 10 |
| DATE OF MEETING: | 9th JULY 2020 | CATEGORY: DELEGATED |
| REPORT FROM: | STRATEGIC DIRECTOR (CORPORATE RESOURCES) | OPEN |
| MEMBERS' CONTACT POINT: | KEVIN STACKHOUSE (595811) kevin.stackhouse@southderbyshire.gov.uk | DOC: s:\cent_serv\complaints\committee reports\working papers for June 2020\Complaints and FOI report for June 2020 |
| SUBJECT: | COMMENTS, COMPLIMENTS, COMPLAINTS & FREEDOM OF INFORMATION REQUESTS 01 OCTOBER 2019 TO 31 MARCH 2020 | REF: KS/SH/TT |
| WARD(S) AFFECTED: | ALL | TERMS OF REFERENCE: FM11 |

1.0 Recommendations

- 1.1 That the comments, compliments, complaints and FOI requests, as detailed in the report, are considered and noted.

2.0 Purpose of Report

This report provides:

- 2.1 A summary of official comments, compliments, complaints and Freedom of Information (FOI) requests received by the Council for the period 1 October 2019 to 31 March 2020 can be found at:
<https://www.southderbyshire.gov.uk/about-us/open-data-and-transparency>. Figures for the corresponding period in 2018/19 are given for comparison purposes.

3.0 Executive Summary

Comments, Compliments and Complaints

- 3.1 The comments, compliments and complaints procedure is designed to encourage people to give informal feedback on our services.
- 3.2 1 comment, 36 compliments and 53 complaints have been received between 1 October 2019 to 31 March 2020.

- 3.3 The number of complaints received in the second half of the financial year has increased compared to the corresponding period of 2018/19, and the number of compliments received has decreased.
- 3.4 Members are informed via e-mail (enclosing a copy of the original complaint) when a complaint is received relating to their ward. This is for information purposes only.

Freedom of Information

- 3.5 South Derbyshire District Council is committed to making itself more open. A large amount of information is already available to the public, through our website or through our offices and at local libraries.

Publication Scheme

- 3.6 Under the Freedom of Information Act, South Derbyshire District Council has a duty to adopt and maintain a Publication Scheme describing:
- The classes of information it publishes
 - How and where such information is published (e.g. website, paper copy, etc.) and
 - Whether or not a charge is made for such information

The purpose of a Publication Scheme is to let everyone know what information will be automatically or routinely published by the Council and to ensure that a significant amount of information is available to the public, without the need for a specific request to be made.

In line with guidance from the Information Commissioner's Office, the scheme is updated regularly and the current version is available from the Website at:

http://www.southderbyshire.gov.uk/council_and_democracy/data_protection_and_freedom_of_information/default.asp

- 3.7 A total of 365 Freedom of Information requests have been received from 1 October 2019 to 31 March 2020. This is a decrease of 27 over the corresponding period for 2018/19.

4.0 Background

- 4.1 The Comments, Compliments and Complaints customer leaflet and procedure is available for download from the Website at or can be completed using an electronic form:

http://www.southderbyshire.gov.uk/council_and_democracy/complaints/comment_compliment_or_complaint_form/default.asp

- 4.2 The aim of The Freedom of Information Act 2000, which came into force on 1st January 2005, is to extend the right to allow public access to information that the Council holds.

5.0 Detail

Comments

- 5.1 1 comment was received over the past six months. Any comments received are carefully considered and, if appropriate, are investigated under the complaints procedure.

| Department | 1 October 2018– 31 March 2019 | 1 October 2019– 31 March 2020 |
|---------------------------------|----------------------------------|----------------------------------|
| Operational Services | 0 | 1 |
| Cultural and Community Services | 1 | 0 |
| Corporate Property Services | 1 | 0 |
| Derbyshire County Council | 1 | 0 |
| Total | 3 | 1 |

Compliments

- 5.2 The table below compares the number of compliments received for the second half of 2018/2019 against the second half of 2019/2020. Compliments generally relate to the quality of the service provided and/or actions of individuals.

| Department | 1 October 2018– 31 March 2019 | 1 October 2019– 31 March 2020 |
|--|----------------------------------|----------------------------------|
| Customer Services | 2 | 2* |
| Operational Services | 27 | 17* |
| Environmental Services | 0 | 1* |
| Planning and Strategic Housing Services | 1 | 0 |
| Housing Services | 6** | 0 |
| Legal and Democratic Services | 0 | 2 |
| Organisational Development and Performance | 0 | 1 |
| Cultural and Community Services | 5 | 13 |
| Total | 41 | 36 |

* This indicates where one compliment has referred to two separate services

** Housing questionnaires have not been received for the second half of the year

Complaints

- 5.3 The table below compares the number of official complaints received:-

| | 1 October 2018– 31 March 2019 | 1 October 2019– 31 March 2020 |
|-----------------------|--|--|
| Resolved at Stage 1 | 34 | 42 |
| Stage 1 still ongoing | 0 | 0 |
| Resolved at Stage 2 | 4 | 8 |
| Stage 2 still ongoing | 0 | 1 |
| Withdrawn | 1 | 2 |
| Total received | 39 | 53 |

5.4 The 53 complaints received can be broken down as follows:-

| Department | 1 October 2018– 31 March 2019 | 1 October 2019– 31 March 2020 |
|---|--|--|
| Planning and Strategic Housing Services | 10* | 8 |
| Housing Services | 8 | 10 |
| Customer Services (including Revenue) | 5* | 10 |
| Environmental Services | 4 | 3 |
| Operational Services | 3 | 12 |
| Legal and Democratic Services | 5 | 3 |
| Corporate Property Services | 2 | 2 |
| Cultural and Community Services | 2 | 5 |
| Total | 39 | 53 |

* This indicates where one complaint has referred to two separate services

5.5 For comparison, the table below shows the total number of complaints over the last four complete years:-

| Department | 2016/17 | 2017/18 | 2018/19 | 2019/20 |
|---|----------------|----------------|----------------|----------------|
| Planning and Strategic Housing Services | 6 | 7 | 16* | 14 |
| Housing Services | 17 | 10 | 24 | 26 |
| Customer Services (including Revenue) | 4* | 6* | 13* | 18 |
| Environmental Services ** | 7) | 9) | 26*) | 12 |
| Operational Services ** |) |) |) | 22 |
| Cultural and Community Services | 1* | 2 | 7 | 10 |
| Legal and Democratic Services | 5 | 2 | 7 | 5 |
| Finance and Property Services | 0 | 1* | 1 | 1 |
| Corporate Property Services | 1* | 1 | 2 | 2 |
| Derbyshire County Council | 0 | 9 | 0 | |

| | | | | |
|--|-----------|-----------|-----------|------------|
| Client Services | 2 | 0 | 0 | 0 |
| Organisational Development and Performance | 0 | 0 | 1* | 1 |
| Total | 43 | 38 | 97 | 111 |

* This indicates where one complaint has referred to two separate services

** This indicates where Environmental & Operational Services were counted as one service for the Years 2016/17; 2017/18 & 2018/19.

- 5.6 Managers dealing with the complaint are asked to complete a questionnaire following each complaint. This provides details of actions taken and improvements made as a consequence of a complaint.
- 5.7 If a complaint cannot be resolved at Stage 2 of our procedure, it can be taken to the Local Government Ombudsman for independent consideration. These complaints are the subject of a separate annual report.

Freedom of Information Requests

- 5.8 Although the Freedom of Information Act 2000 creates a general right of access to information, it also sets out information that we do not have to make available for specific reasons. This is information, which, if published, might prejudice the health, safety or security of the Council, our staff, systems, services or property.
- 5.9 We make as much information available as possible without charging for it. We do however reserve the right to levy a reasonable charge where the information request is extensive and would require more than 2 days' staff time to satisfy the request.
- 5.10 The Council deals with hundreds of routine requests for information every day by phone and by letter. These are referred to as "business as usual requests". We will deal with these in the normal way. However, information that is not readily available and that has to be prepared or extracted is handled differently. We are entitled to make a charge for this kind of information.
- 5.11 Requests for information under Freedom of Information have to be processed within 20 working days. However, requests for details under the Freedom of Information Act can be turned down if they fall within certain exemption criteria.
- 5.12 The table below compares the Freedom of Information requests received for the second half 2018/2019 against the second half of 2019/2020.

Note: the figures also include any requests that have been made under EIR (Environmental Information Regulations).

| | 1 Oct 2018 – 31 March 2019 | 1 Oct 2019 – 31 March 2020 |
|------------------------------------|---------------------------------------|---------------------------------------|
| Total Number of Requests Received | 392 | 365 |
| Less passed to other organisations | 65 | 63 |
| Less those withdrawn | 0 | 0 |

| | | |
|--|------------|------------|
| Less exemptions/partial exemptions | 8 | 3 |
| Total Requests Answered | 319 | 299 |
| Number replied to within 20 statutory days | 301 | 280 |
| Number replied to after 20 statutory days | 18 | 19 |
| Percentage replied to within 20 statutory days | 94% | 94% |
| Percentage replied to after 20 days | 6% | 6% |

5.13 The requests for information received can be broken down as follows:

| Department | 1 October 2018– 31 March 2019 | 1 October 2019– 31 March 2020 |
|--|--|--|
| Environmental Services | 59* (**) | 51 |
| Operational Services | (**) | 16 |
| Planning and Strategic Housing Services | 25* | 20 |
| Legal and Democratic Services | 28* | 23 |
| Finance Services | 11* | 11 |
| Business Change and ICT | 21* | 27 |
| Customer Services | 79 | 64 |
| Housing Services | 28* | 34 |
| Organisational Development and Performance | 23* | 20 |
| Cultural and Community Services | 24 | 20 |
| Passed to 3 rd Parties | 65* | 63 |
| Corporate Resources | 18 | 5 |
| Corporate Property Services | 8* | 9 |
| Economic Development and Growth | 3 | 2 |

* Same request has involved several Services.

** This indicates where Environmental & Operational Services were counted as one service for the Year 2018/19.

6.0 Financial Implications

6.1 None directly stemming from this report.

7.0 Corporate Implications

7.1 Under the Complaints procedure the Council will write to the complainant within 5 working days, telling them who is dealing with their complaint and when they can expect to receive a reply. In most cases a full reply will be sent within 10 working days.

7.2 Under the Freedom of Information Act the Council has to respond to any requests received within 20 working days. For many requests the information required cuts across areas of the Council. Consequently a coordinated approach has to be taken in the Council's response, with each service area being responsible for providing the information requested relating to their area.

8.0 Community Implications

8.1 None.

9.0 Background Papers

None.

| | | |
|--------------------------------|--|---------------------------------|
| REPORT TO: | FINANCE AND MANAGEMENT COMMITTEE | AGENDA ITEM: 11 |
| DATE OF MEETING: | 9th JULY 2020 | CATEGORY: DELEGATED |
| REPORT FROM: | STRATGEIC DIRECTOR (CORPORATE RESOURCES) | OPEN |
| MEMBERS' CONTACT POINT: | KEVIN STACKHOUSE (01283 595811) Kevin.stackhouse@southderbyshire.gov.uk | DOC: |
| SUBJECT: | CORPORATE EQUALITIES ANNUAL REPORT 2019/20 | |
| WARD(S) AFFECTED: | ALL | TERMS OF REFERENCE: FM16 |

1.0 Recommendations

- 1.1 That the Corporate Equalities and Safeguarding Annual Report for 2019/20 as detailed in Appendix A is approved for publication.
- 1.2 That two workstreams are created covering Equality, Diversity and Inclusion and separately for Safeguarding.
- 1.3 That a new Equality, Diversity and Inclusion Plan 2020 to 2024 is developed and reported to the Committee in the Autumn.

2.0 Purpose of the Report

- 2.1 To seek approval for the Corporate Equalities and Safeguarding Annual Report 2019/20. This will be published on the Council's website.

3.0 Executive Summary

- 3.1 The Corporate Equalities and Safeguarding Annual Report 2019/20 demonstrates that the Council has met its legal obligations.
- 3.2 Going forward, separate groups are being used to progress work on safeguarding and equalities. This will bring forward a revised focus on two important cross cutting work areas for the Council and address a recent audit recommendation in relation to the Council's duties regarding safeguarding.
- 3.3 In line with the Equality Act 2010, every four years the Council has to review its approach towards the achievement of equality duties placed on public sector bodies and a revised action plan for 2020-2024 is being developed and a report will be submitted to this committee later in the year.

4.0 Detail

- 4.1 The Equality Act 2010 places a duty on public bodies such as the Council to consider the needs of all individuals in its day-to-day work when developing policies, delivering services and in relation to its own employees.
- 4.2 The Act includes the Public Sector Equality Duty. Those subject to the Equality Duty must, in the exercise of their functions, have due regard to the need to:

- eliminate unlawful discrimination
- advance equality of opportunity between people who share a protected characteristic and those who do not
- foster good relations.

- 4.3 To demonstrate compliance, the Council must publish relevant and appropriate information. This can be evidenced in a variety of ways, such as the minutes of a meeting or the publication of data, providing it is accessible to the public.
- 4.4 The publication of the Corporate Equalities and Safeguarding Annual Report (Appendix A) shows the impact of the Council's approach to employment on its staff and how service users are affected by its policies and practices.
- 4.5 A number of case studies have been included in the Annual Report to showcase the Council's work.
- 4.6 During 2019-20 the decision was taken to separate the Equalities, Diversity and Inclusion workstream from the Safeguarding workstream. An explanation of this is included at the end of the 2019-20 Annual Report.
- 4.7 In line with the Equality Act 2010, every four years the Council has to publish an action plan to show how it will meet the duties detailed in the Act (as noted in 4.2). The current plan ends in 2020 so an internal group has commenced work on the new plan.
- 4.8 The Group, led by the Head of Organisational Development and Performance, has developed a project plan that will ensure extensive consultation will be completed both internally and externally, equalities data is obtained on our workforce and community and research completed with comparable organisation on their approach.
- 4.9 A revised Equality, Diversity and Inclusion action plan will be submitted to this Committee later this year.

5.0 Financial Implications

- 5.1 There are financial implications associated with this report.

6.0 Corporate Implications

- 6.1 The Council's commitment and approach to having due regard to the Equality Duty is set out in its Policy Statement and Corporate Equalities and Safeguarding Annual Report. Ensuring fairness and equality underpins all the services provided by the Council.

7.0 Legal Implications

- 7.0 To demonstrate compliance with the Equality Act 2010 and the Public Sector Equality Duty, the Council must publish relevant and appropriate information.

8.0 Community Impact

- 8.1 In supporting our vision of making 'South Derbyshire a better place to live, work and invest, the Council has a number of 'values' that lie at the core of everything it does. These help us to make a difference for both our employees and our communities within South Derbyshire.
- 8.2 The Council wants all of its communities to be strong places of togetherness and belonging. This is again demonstrated in the Corporate Equalities and Safeguarding Annual Report.

9.0 Background Papers

Corporate Equalities and Safeguarding Annual Report 2019/20

**Organisational Development and Performance
June 2020**

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Version Control

| Version | Description of version | Effective Date |
|---------|--|----------------|
| 1 | Draft version for Finance and Management Committee | June 2020 |
| | | |

Approvals

| Approved by | Date |
|-------------|------|
| | |
| | |

Associated Documentation

| Description of Documentation |
|------------------------------|
| |
| |



Foreword

We are proud to introduce South Derbyshire District Council's Corporate Equalities Annual Report which outlines key activities the Council has undertaken to meet the Public Sector Equality Duty.

This report builds on the commitments which have been embedded into our Corporate Plan and service planning process, and over the next few years will bring key strategies and activities forward that will help to further promote equality, diversity and inclusion.

The Council, as a community leader and place shaper, has both a moral and legal obligation to its residents to address inequality. We do this through the services we provide, the money we spend, the people we employ and by working effectively with our partners to ensure better outcomes for those living, working and visiting.

This enables us to guarantee better value for money spent on services, to empower our communities to be inclusive and to improve our performance for our residents.

Our diversity is one of its greatest strengths and promoting this, along with equality, is at the forefront of everything the Council and our partners do to improve the quality of life for everyone. Our vision for equality is to have equal opportunities by building a strong, inclusive and fair district.



Frank McArdle
Chief Executive



Councillor Martyn Ford
Leader of the Council



Introduction

The Equality Act 2010 places a duty on public bodies such as South Derbyshire District Council to ensure they consider the needs of individuals in their day-to-day work when developing policies, delivering services and in relation to their own employees. The Act includes the Public Sector Equality Duty, which replaced the former duties relating to race, disability, and gender equality.

Public Sector Equality Duty

The Equality Duty was developed to harmonise the equality duties and to extend them across all protected characteristics. Those subject to the Equality Duty must, in the exercise of their functions, have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act
- Advance equality of opportunity between people who share a protected characteristic and those who do not
- Foster good relations between people who share a protected characteristic and those who do not.

Having 'due regard' is an important part of the duty and means consciously thinking about the three aims of the Equality Duty as part of the decision-making process.

The Act states that meeting different needs involves taking steps to take account of disabled people's disabilities. It describes fostering good relations, tackling prejudice and promoting understanding between people from different groups. It states that compliance with the duty may involve treating some people more favourably than others.

Specific equality duties

In addition to the general duties outlined above, 'specific duties' have been introduced to help public bodies achieve the aims of the general duties. Under the specific duties, we must:

- Publish information to demonstrate compliance with the Equality Duty annually
- Adopt and publish equality objectives that must be reviewed at least every four years. This was last undertaken in April 2016 and will be done again in 2020.

How this report is organised

This report is designed to highlight what we have done to meet the Equality Duty during 2019/20 and to demonstrate how we have continued to play our part in helping to make society fairer by tackling discrimination and providing equality for all.

The first section demonstrates how we have met the Equality Duty. Some of the work is ongoing. The second section looks at the progress we have made in relation to meeting our equality objectives.

Information in relation to our employees can be found in our Workforce Profile.



1. Public Sector Equality Duty

This section of the report demonstrates how we met the Equality Duty in 2019/20.

- Eliminate unlawful discrimination, harassment and victimisation
- Advance equality of opportunity
- Foster good relations.

| Eliminating discrimination, victimisation and harassment | |
|--|---|
| Area covered | Supporting information |
| Governance arrangements and local 'champions' | <p>Corporate Equalities and Safeguarding Group (CESG) – Chaired by the Strategic Director (Corporate Resources), the group is made up of service level representatives.</p> <p>The main focus of the CESG is to ensure the Council meets its duty under the Equality Act 2010 and to champion the authority's work relating to this.</p> <p>Its aims include:</p> <ul style="list-style-type: none"> • Monitor the Annual Equalities and Safeguarding Action Plan as approved by the Finance and Management Committee; • Co-ordinate the Annual Equalities Report to satisfy the requirements of the Equality Act 2010; • Review safeguarding incidents as reported by the Council's Safeguarding Officer; • Advise, monitor and review Equality Impact Assessments in accordance with Council guidelines; • Share information across the Council regarding equalities, fairness and safeguarding; • Consider and act on any matters arising from other forums and external agencies regarding Equality and Safeguarding matters; • Ensure that relevant legislative changes and new initiatives are implemented across the Council as required; • Receive and consider information on the Council workforce and propose actions to address areas of under representation or inequality. <p>During 2019/20 it was decided that a separate Safeguarding group with a different membership was needed. The group was established, and meetings started.</p> <p>Information was circulated to the group and a Microsoft Teams team created. Work started on a safeguarding intranet section to house all the information and referral pathways.</p> |
| | <p>We require all:</p> <ul style="list-style-type: none"> • election candidates to sign a compact which includes a commitment to reject all forms of discriminatory violence, harassment and unlawful discrimination • staff who recruit for the Council to take part in training |



| | |
|---|--|
| Promoting and maintaining high standards of conduct by Elected Members and employees | <p>covering equalities</p> <ul style="list-style-type: none"> • employees to treat others with respect and not discriminate unlawfully against any person • contractors to abide by our Equalities Policy as a minimum. <p>We have developed policies and procedures to tackle discrimination, victimisation and harassment.</p> <p>For instance:</p> <ul style="list-style-type: none"> • providing training in relevant policies and procedures for staff and Elected Members. In 2019/20, six Equalities and Fairness training sessions were organised. • standards of conduct and all relevant equalities policies and procedures are covered in inductions for new employees recording and monitoring all reports of harassment. |
| Comments, complaints and compliments | <p>We receive a variety of comments, complaints and compliments each year in relation to our services. We regularly monitor these to help improve our services and put right any mistakes we have made.</p> <p>During 2019/20, there were four (6) comments, 81 (97) complaints and 94 (132) compliments (2018/19 figures shown in brackets).</p> <p>Analysis of the complaints shows that none allege unfair treatment or discrimination. All are in relation to the services provided.</p> |
| Safeguarding | <p>Our responsibilities for 'safeguarding' are set out in the Council's Safeguarding Children, Young People and Vulnerable Adults Policy.</p> <p>During 2019/20:</p> <ul style="list-style-type: none"> • We completed an S11 Children's Safeguarding Audit. • Following the audit, we created a new safeguarding action plan. • The South Derbyshire Community Safety Partnership took "Prison Me No Way" sessions into the District's four secondary schools. This covers a variety of topics including knife crime, County Lines and ASB. <p>A new Corporate Safeguarding Group was created to look at safeguarding matters, review cause for concern forms and check quality, share best practice and review and develop our Safeguarding policy.</p> |
| South Derbyshire Community Safety Partnership | <p>The South Derbyshire Community Safety Partnership (CSP) is a statutory partnership formed under the Crime and Disorder Act 1998.</p> <p>All of the priorities within the South Derbyshire Community Safety Partnership Plan, which was refreshed during 2019/20, are delivered in accordance with the overarching principles as set out in the Derbyshire Strategic Threat and Risk Assessment.</p> <p>Within the plan, one of the Priorities is "Protecting Those Most at Risk".</p> |



Eliminating discrimination, victimisation and harassment case study Corporate Plan 2020 -24

During 2019-20, a new Corporate Plan was launched which includes a new vision and new values.

It sets out the steps the Council is taking through its modernisation process around Our Environment, Our People and Our Future.

The Corporate Plan is an important statement of the Council's priorities and strategy.

Under the "Our People" heading, the Council explains: "The people who live and work in our District are at the heart of everything we do and we will work hard to ensure the many services we provide to them are of the highest quality."

Support will be provided to help people achieve the very best quality of life, at home and at work.

The plan then sets out the key aims to deliver this priority, one of which is: "Supporting and safeguarding the most vulnerable".

Setting out how it will achieve this, the Council pledges to:

- Work with partners to encourage independent living and keep residents healthy and happy in their homes.
- Promote health and wellbeing across the District.
- Improve the condition of housing stock and public buildings.
- Improve social mobility to ensure people have the opportunity to access skilled jobs, higher and further education.



Advancing equality of opportunity

| Area covered | Supporting information |
|--|---|
| Corporate policies, vision and values | <p>During the year, a new Corporate Plan 2020 – 2024 was adopted which includes revised corporate values. One of the key aims centres on supporting and safeguarding the most vulnerable.</p> <p>In 2019/20 the South Derbyshire CSP refreshed its Partnership Plan which identifies the priority areas the Partnership will focus on for the next three years. The priorities were agreed by all members based on the information provided by members of the public (at Area Forums and via the Police and Crime Commissioner Survey) and through the knowledge of the statutory partners. The priorities are Protecting the Most Vulnerable, Organised Crime and ASB.</p> |



| | |
|---|--|
| | Our Equalities Policy Statement outlines our ongoing commitment to advancing equalities and fairness while celebrating the diversity of South Derbyshire. |
| Other policies, plans and strategies | <p>During 2019/20 staff guidance on Modern Day Slavery (MDS) was made available to all staff via the intranet. Key staff from the Council's Customer Services team attended MDS training by the Council's Communities Team Manager.</p> <p>The Council made a Make A Stand pledge to publicly commit to taking action to support victims of domestic abuse.</p> |
| Making services accessible to all | <p>Section 165 and Section 167 of the Equality Act 2010 aims to prevent discrimination against wheelchair users by private hire drivers.</p> <p>Section 167 gives us the power to make a list of wheelchair accessible vehicles so that wheelchair users are made aware of the accessibility of private hire vehicles within South Derbyshire.</p> <p>The current list of wheelchair accessible vehicles that we license is available on our website.</p> |
| Making our website comply with equalities needs and requirements | <p>Our current website meets nationally accepted accessibility standards: WACG guidelines - Level AAA W3C / WAI testing methodology for HTML5</p> <p>It also has several clearly marked, additional features to support those with visual impairments.</p> <p>Content is regularly reviewed and updated to ensure it provides the most up-to-date information for visitors on subjects including disabled facilities grants.</p> |
| Corporate policies, vision and values | <p>During the year, a new Corporate Plan 2020 – 2024 was adopted which includes revised corporate values. One of the key aims centres on supporting and safeguarding the most vulnerable.</p> <p>In 2019/20 the South Derbyshire CSP refreshed its Partnership Plan which identifies the priority areas the Partnership will focus on for the next three years. The priorities were agreed by all members based on the information provided by members of the public (at Area Forums and via the Police and Crime Commissioner Survey) and through the knowledge of the statutory partners. The priorities are Protecting the Most Vulnerable, Organised Crime and ASB.</p> <p>Our Equalities Policy Statement outlines our ongoing commitment to advancing equalities and fairness while celebrating the diversity of South Derbyshire.</p> |



Advancing equality of opportunity case study Building affordable homes

South Derbyshire District Council is committed to affordable housing delivery, enabling everyone to have a decent place to live.

It works towards achieving this by rehousing people living in unacceptable living conditions and enabling people who cannot afford to access market housing to remain within their communities.

SDDC is one of the few local authorities that are building and acquiring new Council housing to add to its housing stock and more new homes were delivered throughout 2019-20.



Six two-bedroom semi-detached properties, all designed to the highest standards, built on disused land in Lullington Road in Linton were handed over to the Council. The homes are now rented out at affordable rent levels and were all been allocated to people in housing need via the Council's Housing Register.

Part-funded by Homes England, the properties have been built to high environmental standards to ensure they are energy efficient, helping to keep tenants' energy bills down as well as creating a minimal carbon footprint.

In addition during the year, the Council took handover of seven new homes in Aston-on-Trent purchased directly from the Developer Cameron Homes.

12 homes in total are being purchased on this site with the first seven consisting of two three-bed houses, two two-bed houses, two one-bed houses and a two-bed bungalow

The affordable homes were negotiated at planning stage as part of the s106 requirements (30% affordable homes required on all sites over 15 units), the Council bid for these 12 affordable homes alongside other registered providers and was successful.

The homes were funded partially through the Council's capital reserves and partially from commuted sums payments from a previous development (the exact cost is commercially sensitive as the Council had to bid competitively for the homes).

These developments are particularly fitting in the year which marks the centenary of the Addison Act – an ambitious Housing Act which promised government subsidies to help finance the construction of houses following the Great War. The 1919 Act - known as the 'Addison Act' after its author, Dr Christopher Addison - was a highly significant step forward in housing provision.

- It made housing a national responsibility, and local authorities were given the task of developing new housing and rented accommodation where it was needed, something the Council is proud to continue doing.



| Fostering good relations | |
|---|---|
| Area covered | Supporting information |
| Sign posting to support groups, voluntary organisations and other partners for help and assistance | <p>Our website includes a page dedicated to volunteering to raise awareness of where volunteering opportunities are available.</p> <p>External links are provided to The Volunteer Centre, run by South Derbyshire CVS and to Do-it where roles can be searched and applied for.</p> <p>The page also provides links to the Derbyshire Directory and Community Directory which offer information about local community clubs, organisations, charities and care services.</p> |
| Community Engagement | <p>Community Engagement encourages individuals to make a real contribution to the decisions that affect their homes and communities.</p> <p>Involvement means that customers are able to provide us with a valuable source of feedback, which improves services.</p> |
| Social cohesion and celebrating diversity | <p>We:</p> <ul style="list-style-type: none"> • raise awareness • promote understanding • get actively involved in local and national activities, events, campaigns, festivals and commemorations <p>We develop and run arts and recreational initiatives with our partners to celebrate and promote diversity through mediums including dance, music and sport. Examples include Liberation Day and Holocaust Memorial Day tree planting.</p> |
| Communities Forum | <p>In partnership with South Derbyshire CVS, we established the Communities Forum to address equality and diversity issues.</p> <p>In 2019-20 a strategic group was created, and it became a sub-group of the South Derbyshire Partnership.</p> <p>This public, private and voluntary sector partnership comes together to deliver the Sustainable Community Strategy which aims to improve the economic, social and environmental wellbeing of South Derbyshire.</p> |
| Understanding our diverse communities | <p>We access Census and other socio-economic demographic data to inform our work.</p> <p>We publish information about the make-up of our communities, such as area profiles, plans and strategies, and highlight any inequalities or issues to be addressed.</p> |



Fostering good relations case study Promotion of social cohesion through events

A range of events is organised by the Council each year which provide audiences with a chance to experience foods, activities and entertainment from a range of different cultures. Safeguarding as well as social cohesion is an important part of these.

Examples of events organised in 2019-20 are:

Holocaust memorial tree dedication - Residents and visitors were invited to attend a tree dedication ceremony (pictured) organised by South Derbyshire District Council to mark Holocaust Memorial Day which encourages people to stand together – both against persecution and wrongs in society and to stand together to remember those that were lost in the Holocaust.



A memorial artwork commissioned by SDDC and as part of the Memorial Flames national competition. Created by a group of community members from South Derbyshire, it was displayed in the reception at the Civic Offices in Swadlincote following the tree dedication. The banner, entitled 'We Remember...' was created over three workshops at People Express in Swadlincote, and saw participants working alongside professional artists.

Liberation Day – Over 250 attendees aged 60 years plus from throughout the District attended this free event which focuses on Stay healthy – Stay Active – Keep Safe – Have Fun. The aim is for attendees to access local information and services to support people to stay active and live independently.

Festival of Leisure – This free to enter event offers many activities to try as well as a variety of entertainment to enjoy which at the event in 2019 included the East Midlands Caribbean Carnival Arts Network, Tribal Taiko Drumming Performance & Workshops, and the Celtic School of Irish Dancing.

In terms of safeguarding, South Derbyshire District Council and police work closely together to ensure the safety and safeguarding of everyone at event. Families are encouraged to take photos of their children when entering an event site so that should a lost child incident occur, staff have up to date information available.



- Music afternoons and Proms in the Park – A free of charge, relaxed afternoon of music of various kinds for people to enjoy – whether it's as a group, family or on their own and with the opportunity to offer suggestions on future music events..



2. Equality objectives

This section of the report demonstrates how we are meeting or have met our Equality Objectives in 2019-20.

Our Equality Objectives were identified through consultation with residents and partners and are set out in the Council's [Sustainable Community Strategy 2009 - 2029](#), an overarching policy framework for our Corporate Plan.

They are:

- **Objective 1:** Provide accessible services which reflect the needs of South Derbyshire residents.
- **Objective 2:** Protect and support the most vulnerable, including those affected by financial challenges.
- **Objective 3:** Enable people to live independently.

| Objective 1: Provide accessible services which reflect the needs of South Derbyshire residents | |
|--|--|
| Area covered | Supporting information |
| Community Engagement | <p>We have a group of tenants involved in various aspects of housing service delivery.</p> <p>During 2019/20:</p> <ul style="list-style-type: none"> • Young people joined us to promote community engagement at our allotment plot and by litter picking around Swadlincote town centre. • Tenants and those on the Council's Housing Register were invited to a Spotlight consultation event to look at and comment on changes to the way we allocate our homes. • Two of our tenants attended the ARCH (Association of Retained Council Housing) Annual Tenants' Conference, in Bridlington. <p>TPAS (Tenant Participation Advisory Service) completed a Community Engagement 'health check' as part of an ongoing review of the Strategy.</p> |
| Sports, leisure and recreational activities | <p>We ensure our sports and leisure provision reflects the needs of 'protected' groups and our Sport and Health Strategy aims to support the delivery of local and national objectives, including:</p> <ul style="list-style-type: none"> • Young people participation and volunteering • Adult participation and volunteering <p>Reaching communities – addressing local needs</p> |
| | <p>We have a statutory responsibility to manage and review the housing waiting list.</p> <p>We allocate all our properties through choice-based lettings.</p> <p>Everyone applying for a place on our waiting list is put into a priority band depending on need. If potential tenants see a property they</p> |



| | |
|---|---|
| Housing allocations and homelessness | <p>are interested in, they can 'bid' for it. The 'bidder' with the greatest housing need is allocated the property.</p> <p>We work with partners to provide advice and assistance for a wide variety of issues and to prevent homelessness. We raise awareness of other organisations that can help and provide links to them from our website.</p> <p>Our Homelessness Prevention Strategy sets out how we are working to reduce and prevent homelessness.</p> <p>The Housing Advice and Options Team provides free information, assistance and specialist advice to landlords, tenants and owner occupiers to help prevent homelessness.</p> <p>The team can:</p> <ul style="list-style-type: none"> • negotiate with friends and family on behalf of residents to enable them to stay where they are for longer while we help them to find something more suitable • provide debt counselling services with independent financial advisors • negotiate with residents' landlords if they have arrears • see whether residents are eligible for mortgage advice • help tenants to find a rented property in the private sector, in some cases we can help with a deposit • help residents to apply for social housing • help single people to access hostel accommodation • provide practical help and support if a resident needs to leave home because of violence or abuse. <p>The number of people on the housing register at 31 March 2020 was 820 (701 in the previous year).</p> <p>We have accommodated many applicants throughout the year in our own stock, which is brought to a 'fit to let' standard before being offered to potential new tenants.</p> <p>Assistance is also provided to people in finding accommodation in the private sector through our Housing Options service.</p> |
|---|---|

Objective 2: Protect and support the most vulnerable, including those affected by financial challenges

| Area covered | Supporting information |
|-------------------------|--|
| Better Care Fund | <p>During 2019/20 the Council was allocated £1,943,392 of Better Care Fund (BCF) money.</p> <p>Derbyshire County Council (DCC) has confirmed that the BCF Allocation will continue to be paid directly to the Council (at a similar rate) in its current format until 2024.</p> <p>Several actions were delivered during the year by the BCF team.</p> |



| | |
|---|---|
| | The team also produced a 'Private Sector Housing Assistance Policy' – the policy that underpins the BCF spend and provides the framework for all the BCF projects to ensure all new schemes align with the principles of the BCF. |
| Dementia Action Alliance | We are a member of the South Derbyshire Dementia Action Alliance (DAA). |
| Universal Credit | <p>Universal Credit, one of the changes to the Benefits system under the Welfare Reform bill, is a standing item on the agenda of the Corporate Equalities and Safeguarding Group.</p> <p>Rollout started in November 2018 and the Council is no longer accepting applications for Housing Benefit, apart from in a few exceptional cases.</p> <p>In reaction to Universal Credit going live, a multi-agency Welfare Reform Group was created which goes from strength to strength.</p> |
| Safer Places scheme | The Safer Places scheme, supported by the leading national charity MacIntyre, aims to keep vulnerable adults safe if they feel scared, threatened or are in trouble while out and about. |
| SignLive | During the year, the Council set up a service level agreement with SignLive, which provides online video interpreting services through its Video Relay Service (VRS) and Video Remote Interpreting (VRI) to give deaf customers full accessibility. |
| Hidden Disabilities Sunflower Lanyard Scheme | The Council has become a member of the Hidden Disabilities Sunflower lanyard scheme to help staff recognise customers with a hidden disability and become confident to provide them with additional help or assistance. |

Protect and support the most vulnerable case study Fire safety work in sheltered accommodation

Tenants praised the approach taken by South Derbyshire District Council in getting their views on new fire doors for sheltered accommodation schemes. Full involvement of the residents was achieved by Community Engagement Officers from the

Council's Housing team and staff from the contractor organising get-togethers in the schemes for residents to enjoy.

A coffee morning was organised at Pear Tree Court in Etwall at which residents were given a chance to choose which doors they liked best and to ask questions.

At Coniston Court in Swadlincote a "pop-up" information session was set up in the car park. Doors to be changed here under the 2019/20 programme were simply communal area and cupboard doors. SDDC and Ventro still thought it important to visit the scheme to let tenants know what would be happening.



No-one was left out – in the case of residents who are bedbound, such as Ade Cox in Etwall, the team arranged appointments to visit them and discuss the works being done.

Mr Cox, 56, said: “I was really happy to have a choice of doors, I think it’s great. It’s everything opposite to the stereotypical idea of a council and tenant relationship. The popular idea is that nothing is ever done – but this is not the case with South Derbyshire District Council.”

Joan and Colin Burton, also residents at Pear Tree Court, said: “We thought it was really good that we got to meet the contractor and had a (front door) choice. The men doing the work are very polite, have answered all our questions and have treated us with respect. You don’t always get that when you are old folk.” They are pictured above discussing choices with Project Officer Phillip Omodeni.

The new front and communal area door installations are part of SDDC’s rolling fire safety works programme. As well as the doors the work also included fire alarm replacement, fire safety surveys of flats and fire stopping works in roof spaces. The programme will take two years to complete.

- During visits to tenants to explain why the Council is carrying out these fire safety improvements, those involved have also explained the steps tenants can take themselves to stay safe within their homes.

Objective 3: Enable people to live independently

| Area covered | Supporting information |
|---------------------------|--|
| Adapting homes | <p>We offer a range of locally determined ‘discretionary’ grants or provide assistance through loans and equity release products or a combination of both. Details on providing housing assistance are contained in our Private Sector Housing Policy documents.</p> <p>Residents who have problems managing their home because they have a disability can access various types of help, such as making minor adaptations to their homes. For instance, grab rails, stair rails and lever taps can be fitted to help around the home.</p> <p>If the property is rented from us minor adaptations can be requested directly. Homeowners or tenants who rent from private landlords need to contact Social Services.</p> <p>For major adaptations, residents can apply for a Disabled Facilities Grant to help pay for the works, such as installing a stair lift and widening doorways.</p> <p>If a home cannot be reasonably adapted, there is an option to consider moving to a more suitable property, where a Disabled Relocation Grant may be available to help with costs involved.</p> |
| Supported housing schemes | <p>Supported housing schemes consist of flats, bed sits and bungalows, which have:</p> <ul style="list-style-type: none"> • Access to the services of an off-site Careline Support Coordinator (CSC) |



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| | <ul style="list-style-type: none"> • Their own private facilities • Supported housing is designed for people who are: • Of pensionable age • Nearing pensionable age and whose circumstances would benefit from the services offered within sheltered housing • Able to live independently but would benefit from the services provided by the scheme <p>Careline is located at Oakland Village in Swadlincote. CSCs offer support and advice and act on residents' behalf to get help from other organisations, such as Social Services.</p> <p>CSCs can help with other housing issues such as repairs and maintenance and tenancy issues.</p> |
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Enable people to live independently case study New Better Care Fund posts

The Better Care Fund (BCF) is a national programme that seeks to join-up health and care services in local areas, so that people can manage their own health and wellbeing and live independently in their communities for as long as possible.

The Council receives BCF funding via Derbyshire County Council, and there were many BCF scheme actions progressed during 2019/20 in South Derbyshire, one of which involved adding new posts and new activities for the District.



Four new temporary two-year posts were created to enable the co-ordination of BCF scheme delivery and enhance front-line services in both the Private Sector Enforcement and Housing Services Teams.

The posts are a Health and Housing Coordinator, a Public Health (Housing) Officer, an Occupational Therapist and a SAIL (Staying Active and Independent for Longer) Coordinator.

The Health and Housing Coordinator works across all service areas within the Council and with external partners to deliver the new schemes. In addition, they promote availability of Disabled Facilities Grants (DFG) and associated schemes whilst providing tailored advice to individual households.

The Public Health (Housing) Officer focuses on tackling rogue landlords to improve housing conditions and enforcing standards through the courts where necessary to improve the quality of life for vulnerable households.

The recruitment of a SAIL Coordinator is designed to help elderly residents at risk of isolation and promote independent living through a scheme of physical activities



The appointment of an Occupational Therapist enables increased efficiency and consistency within the DFG team and speeds up the process of adapting homes.

The BCF includes provision for the administration of mandatory DFGs in accordance with the Housing Grants, Construction and Regeneration Act 1996.

DFGs are available to help provide adaptations and other aids to people who are elderly, disabled, physically impaired, have long-term medical conditions or who have other needs and would benefit from aids to help in their day-to-day lives.

- Work was done by the Council in 2019-20 to increase awareness of DFGs. Content of the page about DFGs on the website was revised, a leaflet was produced for Council Officers and appropriate partners to hand out, and a briefing note was set to partnership meetings such as the Welfare Reform Group.



Next steps

This report and the work detailed throughout, illustrates our commitment to equality, diversity and inclusion. They are at the heart of everything we do.

We know that we need to make best use of Equality Assessments to identify where inequalities exist in the District and we are proud of the work the Council and its partners have undertaken to address these to date. However, we know this needs to be updated to reflect the current climate and equality landscape. This will be a focus of our future action plan.

We also know that there needs to be further alignment of the equality plan and the corporate plan. This will feed into our strategic plan monitoring and will equip us with data to inform our decision making, ensuring services are targeting residents who need it the most.

We expect that we will be able to provide even more detailed data and information on our achievements in the next Equalities Annual Report and will continue to work alongside our Officers, Elected Members, partners and the community to tackle inequality by building a strong, inclusive and fair district.

Finally, we know that there is still so much more work we can do. We recognise that the work on equality, diversity and inclusion and Safeguarding is so important to us and should have dedicated time. As a result of this, we have agreed to separate the groups and have two separate workstreams: Equality Diversity and Inclusion as one workstream and Safeguarding as the other. Each of these will involve relevant representatives to help address any issues raised. An annual report will continue to be published on Equality, Diversity and Inclusion.

How to get involved

In the development of our new Equality, Diversity and Inclusion plan our approach will include active participation of our staff, Elected Members, residents and customers to influence and shape its focus.

We are also very keen to engage with groups that have an interest in promoting equality, diversity and inclusion in how we work. This will lead the way in making South Derbyshire a great place to live, work and invest as stated in our Corporate Plan.

If you would like to be involved in the development of our new plan, please get in touch by email: communications@southderbyshire.gov.uk or message us on Facebook @southderbyshiredc or twitter @SDDC

If you need this document in another format such as braille, large print, translated, email communications@southderbyshire.gov.uk



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| REPORT TO: | FINANCE AND MANAGEMENT COMMITTEE | AGENDA ITEM: 12 |
| DATE OF MEETING: | 9th JULY 2020 | CATEGORY: DELEGATED |
| REPORT FROM: | STRATEGIC DIRECTOR (CORPORATE RESOURCES) | OPEN |
| MEMBERS' CONTACT POINT: | KEVIN STACKHOUSE (EXT 5811) kevin.stackhouse@southderbyshire.gov.uk | DOC: |
| SUBJECT: | COMMITTEE WORK PROGRAMME | REF: |
| WARD(S) AFFECTED: | ALL | TERMS OF REFERENCE: G |

1.0 Recommendations

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

2.0 Purpose of Report

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

3.0 Detail

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

4.0 Financial Implications

4.1 None arising directly from this report.

5.0 Background Papers

5.1 Work Programme.

Finance and Management Committee – Next F&M Committee 9th July 2020
Work Programme for the Municipal Year 2020/2021

| Work Programme Area | Date of Committee Meeting | Contact Officer (Contact details) |
|--|----------------------------------|--|
| Final Budget Proposals 2020/21 and Financial Plan to 2025 | 13 February 2020 | Victoria Summerfield (Head of Finance) Victoria.summerfield@southderbyshire.gov.uk (01283 595939) |
| Treasury Management Strategy 2020/21 and Prudential Indicators | 13 February 2020 | Victoria Summerfield (Head of Finance) Victoria.summerfield@southderbyshire.gov.uk (01283 595939) |
| Proposed Local Council Tax Reduction Scheme 2020/21 | 13 February 2020 | Kevin Stackhouse Strategic Director (Corporate Resources) Kevin.stackhouse@southderbshire.gov.uk (01283 595811) |
| Capital Programme Budget to 2025 | 13 February 2020 | Victoria Summerfield (Head of Finance) Victoria.summerfield@southderbyshire.gov.uk (01283 595939) |
| Annual Report of the Section 151 Officer | 13 February 2020 | Kevin Stackhouse Strategic Director (Corporate Resources) Kevin.stackhouse@southderbshire.gov.uk (01283 595811) |
| Corporate Performance Measures 2020 to 2024 | 13 February 2020 | Fiona Pittam Head of Organisational Development Fiona.pittam@southderbyshire.gov.uk (01283 595735) |

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| Transfer of Housing Repairs Calls into Customer Services | 13 February 2020 | Victoria Summerfield (Head of Finance) Victoria.summerfield@southderbyshire.gov.uk (01283 595939) |
| Domestic Abuse Procedure - Make A Stand Campaign | 13 February 2020 | David Clamp Head of Organisational Development David.clamp@southderbyshire.gov.uk (01283 595729) |
| Social Media Strategy | 13 February 2020 | Fiona Pittam Head of Organisational Development Fiona.pittam@southderbyshire.gov.uk (01283 595735) |
| Coronavirus (Covid-19) Financial Impact | 2 July 2020 | Kevin Stackhouse Strategic Director (Corporate Resources) Kevin.stackhouse@southderbshire.gov.uk (01283 595811) |
| Revenue Financial Monitoring 2019/20 | 2 July 2020 | Victoria Summerfield (Head of Finance) Victoria.summerfield@southderbyshire.gov.uk (01283 595939) |
| Capital Financial Monitoring / Provisional Out-turn 2019/20 | 2 July 2020 | Victoria Summerfield (Head of Finance) Victoria.summerfield@southderbyshire.gov.uk (01283 595939) |
| Treasury Management Update 2019/20 | 2 July 2020 | Victoria Summerfield (Head of Finance) Victoria.summerfield@southderbyshire.gov.uk (01283 595939) |
| Homelessness / Rough Sleeping | 2 July 2020 | Paul Whittingham (Housing Services Manager) Paul.whittingham@southderbyshire.gov.uk (01283595984) |

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| Corporate Plan 2020 to 2024: Quarterly Performance Reports | 9 July 2020 | Fiona Pittam fiona.pittam@southderbsyhire.gov.uk (01283 595735) |
| Evaluation of Capital Projects | 9 July 2020 | Kevin Stackhouse Strategic Director (Corporate Resources) Kevin.stackhouse@southderbshire.gov.uk (01283 595811) |
| Transformation and Business Change Programme 2020 to 2024 | 9 July 2020 | Anthony Baxter (Head of Business Change and ICT) Anthony.baxter@southderbyshire.gov.uk (01283 595712) |
| Sponsorship Policy and Guidance | 9 July 2020 | Nicola Lees nicola.lees@southderbsyhire.gov.uk (01233 595755) |
| Comments, Compliments, Complaints and FOI Requests | 9 July 2020 | Kevin Stackhouse Strategic Director (Corporate Resources) Kevin.stackhouse@southderbshire.gov.uk (01283 595811) |
| Equalities Annual Report 2019/20 | 9 July 2020 | Fiona Pittam fiona.pittam@southderbsyhire.gov.uk (01283 595735) |
| Coronavirus (Covid-19) Financial Update | 30 July 2020 | Kevin Stackhouse Strategic Director (Corporate Resources) Kevin.stackhouse@southderbshire.gov.uk (01283 595811) |

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| Budget Out-turn 2019/20 | 30 July 2020 | Victoria Summerfield (Head of Finance) Victoria.summerfield@southderbyshire.gov.uk (01283 595939) |
| Treasury Management Annual Report 2019/20 | 30 July 2020 | Victoria Summerfield (Head of Finance) Victoria.summerfield@southderbyshire.gov.uk (01283 595939) |
| Annual Value for Money Statement 2019/20 | 30 July 2020 | Kevin Stackhouse Strategic Director (Corporate Resources) Kevin.stackhouse@southderbyshire.gov.uk (01283 595811) |
| Asset Management Plan 2020 to 2024 | 30 July 2020 | Steve Baker (Head of Corporate Property) Steve.baker@southderbyshire.gov.uk (01283 595965) |
| Annual Health and Safety Report 2019/20 | 30 July 2020 | David Clamp David.clamp@southderbyshire.gov.uk (01283 595729) |
| Debt Recovery 2019/20 | 30 July 2020 | Kevin / Elizabeth Barton Head of Customer Services Elizabeth.barton@southderbyshire.gov.uk (01283 595779) |
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