

Policy Committee

Wednesday, 12 November 2014 at 10:30

County Hall, County Hall, West Bridgford, Nottingham, NG2 7QP

AGENDA

1	Minutes of last meeting held on 8 October 2014	3 - 4
2	Apologies for Absence	
3	Declarations of Interests by Members and Officers:- (see note below) (a) Disclosable Pecuniary Interests (b) Private Interests (pecuniary and non-pecuniary)	
4	Redefining Your Council - Transformation and Spending Proposals 2015-16 - 2017-18	5 - 238
5	Staffing Structure for Performance, Intelligence and Policy Team	239 - 244
6	Information Strategy Report	245 - 256
7	New Policy for Providing Planned Short Breaks for Adult Service Users and their Carers	257 - 276
8	School Funding - Agreement of the Local Funding Formula for 2015-16	277 - 286
9	Appointment to Outside Body	287 - 288
10	Eureka! 12-Month Review	289 - 300
11	Community Asset Transfer Policy	301 - 314

12	Proposed Scape Group Reorganisation	315 - 318
13	Work Programme	319 - 322

Notes

- (1) Councillors are advised to contact their Research Officer for details of any Group Meetings which are planned for this meeting.
- (2) Members of the public wishing to inspect "Background Papers" referred to in the reports on the agenda or Schedule 12A of the Local Government Act should contact:-

Customer Services Centre 0300 500 80 80

- (3) Persons making a declaration of interest should have regard to the Code of Conduct and the Council's Procedure Rules. Those declaring must indicate the nature of their interest and the reasons for the declaration.

Councillors or Officers requiring clarification on whether to make a declaration of interest are invited to contact Paul Davies (Tel. 0115 977 3299) or a colleague in Democratic Services prior to the meeting.

- (4) Councillors are reminded that Committee and Sub-Committee papers, with the exception of those which contain Exempt or Confidential Information, may be recycled.
- (5) This agenda and its associated reports are available to view online via an online calendar - <http://www.nottinghamshire.gov.uk/dms/Meetings.aspx>

Meeting POLICY COMMITTEE

Date Wednesday, 8 October 2014 at 10:30am

membership

Persons absent are marked with `A`

COUNCILLORS

Alan Rhodes (Chairman)

Joyce Bosnjak (Vice-Chairman)

Reg Adair

Kay Cutts MBE

Glynn Gilfoyle

Kevin Greaves

Alice Grice

Stan Heptinstall MBE - A

Richard Jackson

David Kirkham

John Knight

Diana Meale

Philip Owen

John Peck JP

Ken Rigby

Martin Suthers OBE

Gail Turner

Stuart Wallace

Muriel Weisz

ALSO IN ATTENDANCE

Councillor Roy Allan

Councillor Alan Bell

Councillor Nikki Brooks

Councillor Steve Calvert

Councillor Steve Carroll

Councillor Kate Foale

Councillor Sheila Place

Councillor Liz Plant

Councillor John Wilkinson

Councillor Yvonne Woodhead

OFFICERS IN ATTENDANCE

Mick Burrows

Chief Executive

Carl Bilbey

Martin Done

Keith Ford

Jayne Francis-Ward

Michelle Welsh

} Policy, Planning and Corporate Services

MINUTES

The Minutes of the last meeting held on 10 September 2014, having been previously circulated, were confirmed and signed by the Chairman.

APOLOGIES FOR ABSENCE

Councillor Stan Heptinstall MBE – on other County Council business.

It was reported that Councillor Page had been appointed to the Committee in place of Cllr Creamer for this meeting only.

DECLARATIONS OF INTEREST BY MEMBERS AND OFFICERS

None

THE GREAT WAR COMMUNITY COMMEMORATION FUND 2014-18

RESOLVED: 2014/055

That the applications funded and the timetable for inviting further applications for 2015 be noted.

TRANSFORMATION PROGRAMME PROGRESS UPDATE

RESOLVED: 2014/056

That the achievements of the Council's Transformation Programme to date be noted.

COMMUNICATIONS AND MARKETING STRATEGY 2014-18

RESOLVED: 2014/057

- 1) That the Communications and Marketing Strategy 2014-16 be approved.
- 2) That the proposed new staffing structure be approved.

BUDGET CONSULTATION 2015/16

The following amendment to page 3 of Appendix B was highlighted:-

- replace 'Policy Committee on the 2nd July 2014' with 'Full Council meeting on 26 February 2015'.

RESOLVED: 2014/058

- 1) That the outlined methodology for the 2015/16 budget consultation and associated timetable be approved.
- 2) That the internal protocol for dealing with correspondence associated with the consultation be approved.

WORK PROGRAMME

RESOLVED: 2014/059

That the work programme be noted.

The meeting closed at 11.00am.

CHAIRMAN



REPORT OF THE LEADER OF THE COUNCIL

REDEFINING YOUR COUNCIL: TRANSFORMATION AND SPENDING PROPOSALS 2015/16 - 2017/18

Purpose of the Report

1. To provide a progress update on the ***Redefining Your Council*** programme.
2. To highlight the scale and the causes of the financial challenge faced by the Council.
3. To provide direction of travel statements for each of the four main transformation portfolios: Adult and Health, Children and Culture, Place and Resources, and Cross-Council.
4. To seek approval to implement category A proposals as defined in the report.
5. To seek approval to consult on category B and category C proposals as defined in the report and a potential increase in Council Tax.

Information and Advice

Redefining Your Council

6. In response to an unprecedented financial challenge caused by ongoing reductions in Government funding, increased demand for services, many for the most vulnerable, and the impact of legislative changes such as the Care Act 2014, a new transformation framework, called ***Redefining Your Council***, was published earlier in the year.
7. This strategic framework encourages an innovative approach to transformation and is underpinned by the core values as set out in the Strategic Plan: Treating People Fairly, Value for Money and Working Together.
8. Following approval of the framework by Policy Committee on 2 July 2014, a Council-wide review has been undertaken based on a strategic, logical and coherent approach to transformation. This review covered every aspect of Council activity with a particular focus on high-cost services.
9. The focus of ***Redefining Your Council*** is to seek ways to deliver services in the most cost-effective way through innovative and creative solutions before any service reductions or cessations are considered. However, it is important to

recognise that the magnitude of the budget shortfall means that a reduction in overall service level is inevitable, given the scale of the financial challenge faced by the Council and the whole of the local government sector. Where service reduction is unavoidable, it will be determined through a clear rationale based on the priorities, values and objectives of both the Strategic Plan and ***Redefining Your Council***.

10. As a result of this process, each and every Council service has been comprehensively reviewed resulting in a range of Options for Change across the four transformation portfolios. An ongoing annual review and evaluation process will now be undertaken to ensure that services continue to be delivered at the most appropriate level and in the most cost-effective way. This annual process will also ensure that the costs of central services are kept to a minimum based on comparisons with similar Councils.

Financial context

11. In the last two years, the Council has approved and delivered savings of more than £80m however, there remains an estimated budget shortfall of £77m over the next three financial years.
12. This report sets out a three-year financial forecast, recognising the uncertainties that surround local government funding. Currently there is a lack of clarity regarding Government funding beyond 2015/16, and although the direction of travel indicates further constraints, it is unlikely that there will be any detailed announcements before the General Election in May 2015.
13. The report to Council in February 2014 forecast a budget shortfall of £77m for the next three years. The breakdown of this shortfall is shown in Table 1 below:

Table 1 – Three-Year Financial Forecast

	2015/16 £m	2016/17 £m	2017/18 £m	Total £m
Cost pressures	6.7	5.6	5.6	17.9
Pay and non-pay inflation	6.4	6.9	14.9	28.2
Reductions in Government funding	31.4	24.9	13.7	70.0
Impact of reserves and revised assumptions	10.1	(1.2)	(1.8)	7.1
Savings identified to date	(28.7)	(17.2)	-	(45.9)
Total shortfall	25.9	19.0	32.4	77.3

14. Major planned policy and regulatory changes from central Government will bring additional burdens for the Council. The Care Act 2014, a significant piece of legislation, will have a major impact on the Council and will generate additional costs which are currently being modelled and estimated. Whilst this work is not yet finalised, initial estimates suggest that this may amount to upwards of £40m per annum from 2016/17 onwards.

15. The extent to which these costs will be met nationally as new burdens is not yet fully understood. Every effort is being made to ensure Central Government is fully aware of the scale of this new burden and the severe implications if it is not appropriately funded.
16. Work has continued on the integration of Public Health since its transfer from the NHS in April 2013, particularly to identify areas of potential duplication with existing Council services and maintain the long-term aspiration of improved Public Health outcomes. Since setting the budget last February, issues have arisen that have challenged our expectations on the realignment of the Public Health grant and work is ongoing to assess the impact of these changes.

Tackling the problem

17. The Council needs to undertake a series of measures to close the £77m shortfall. The ***Redefining Your Council*** review process has generated a number of Options for Change that will deliver a proportion of the required savings.
18. These savings proposals, broken down by portfolio, are detailed in Appendices 1-3 of the report. Table 2 below provides a summary of these savings proposals by Committee.

Table 2 – Summary of Committee Savings Proposals

Committee	2015/16 £000	2016/17 £000	2017/18 £000	Total £000
Children & Young People	2,148	1,467	4,680	8,295
Adult Social Care & Health	1,470	8,238	4,631	14,339
Transport & Highways	425	743	1,115	2,283
Environment & Sustainability	1,344	33	0	1,377
Community Safety	66	0	0	66
Culture	100	449	616	1,165
Policy	814	578	815	2,207
Finance & Property	322	165	0	487
Personnel	0	184	0	184
Total	6,689	11,857	11,857	30,403

19. For the purpose of consultation and to allow the most efficient implementation, the options have been categorised as follows:

Category A

These are proposals which, if approved, can be implemented immediately after normal internal consultation processes have been completed in accordance with HR policies and legal requirements. The report seeks approval for implementation of all the Category A proposals.

Category B

Approval is sought in principle for these proposals which will be subject to consultation with stakeholders and partners prior to implementation. It is

anticipated that approval to proceed will be sought within the 2015/16 budget report unless an earlier decision-making process is approved.

Category C

These proposals will require statutory consultation prior to implementation. Approval to proceed will be sought within the 2015/16 budget report, or later as appropriate. Proposals in this category are likely to be subject to change as a result of consultation and subsequent refinement.

20. It is important to emphasise that the process of review will need to be an ongoing process and further proposals will continue to be developed in accordance with this framework to address our ongoing challenges. These will be taken to the relevant Committee for approval with all appropriate consultation carried out.

Financial planning

21. At the same time as developing options for change, some of the Council's financial planning assumptions will be revisited. This will include reviewing cost pressures and inflation, in light of the prevailing economic conditions, and any changes to the assumptions will be detailed as part of the budget approval process.
22. The Council is also considering how it can make best use of reserves and balances in order to allow time for more transformative approaches to be developed and implemented. It is important to stress that the use of reserves is only a temporary fix and not a long-term solution and simply delays the time when the budget shortfall needs to be addressed. The Council also needs to maintain an appropriate level of reserves to guard against unforeseen events. Any required use of reserves will be presented as part of the budget approval process.
23. This multi-faceted approach will enable the Council to reduce its budget deficit in a managed way that protects front-line services, supports transformation, builds capacity and helps to achieve long-term resilience.

Council Tax

24. Government policy currently requires any authority proposing a Council Tax increase of above 1.99% to hold a referendum. At the moment it is unclear if there will be any change to the referendum cap in the coming years. Uncertainty surrounding the Council Tax referendum level is likely to continue until February 2015.
25. The Government provides a grant to any authority that does not increase Council Tax. In Nottinghamshire the Council Tax Freeze Grant would equate to £3.1m. There is no guarantee that the Freeze Grant would be awarded on an ongoing basis which increases the level of uncertainty the Council is facing. Any increase in Council Tax can be included in the budget as permanent funding.
26. The average Council Tax paid by Nottinghamshire residents is £1,024.63 which places the county 12th highest out of the 27 County Councils in terms of average council tax paid. This reflects the fact that Nottinghamshire has the second-highest number of properties in Bands A and B out of all the other County Councils.

27. The impact on bills of a 1.99% increase in Council Tax would equate to an average increase of 39 pence per week and contribute £5.5m towards the Council's funding gap. A full impact analysis is detailed in Table 4 below.

Table 4 – Impact of 1.99% increase in Council Tax

Band	2014/15 Council Tax (£)	2015/16 1.99 % impact (£)	Equivalent weekly increase (£)	No of Dwellings
A	811.28	827.42	0.31	141,010
B	946.50	965.33	0.36	72,880
C	1,081.71	1,103.23	0.41	60,610
D	1,216.92	1,241.14	0.47	40,060
E	1,487.35	1,516.94	0.57	22,110
F	1,757.78	1,792.75	0.67	10,620
G	2,028.20	2,068.56	0.78	5,930
H	2,433.85	2,482.27	0.93	460

Note: the number of dwellings is the total listed on the Valuation Office website as at 31 March 2014 (http://www.voa.gov.uk/corporate/statisticalReleases/130919_CTVAluationListSummary.html). It is not possible to use this raw data to calculate the precept as this is based on a Band D equivalent which takes into account non collection, Single Person Discount and other benefits.

28. The Council will be consulting on a range of options in terms of Council Tax. For each of these options, the average increase in the weekly Council Tax that Nottinghamshire residents would pay would be: 39 pence for 1.99%; 59 pence for 3%; 79 pence for 4%; and 99 pence for 5%.

Managing the Future

29. The approach set out in *Redefining Your Council* makes it clear that Nottinghamshire is at a turning point in the way that local public services are to be delivered. During the process, some fundamental questions have been asked about which services are to be provided, how they are to be provided and at what level so that the best value for money and quality of services can be assured for residents.
30. Four portfolios have been created to focus on the greatest potential opportunity for transformation and budget savings. These portfolios are: Adult and Health; Children's and Culture; Place and Resources; and Cross Council. The following sections set out the future direction of travel for each of these portfolios.

The Adult and Health Portfolio

31. In April this year the Council agreed unanimously to adopt the Adult Social Care Strategy. The strategy is based on the values and priorities contained within the Strategic Plan 2014-2018. The primary purpose is to ensure a sustainable, fair and equitable social care provision for local residents which provides people with an enhanced quality of life and is affordable now and in the longer term.

32. There are three underpinning principles which form the foundation of the strategy:
33. **Promoting Independence:** By helping people to retain their independence for as long as possible the Council will be able to manage the increasing demand for social care services. This requires a focus on ensuring that people receive the help they need, at the time they need it, but only for as long as they need it. The aim of social care services should be to promote the resilience of individuals and families to manage disability and illness. Ensuring people do not become dependent on the services which they require in the short term is essential to help people live independently with an optimum level of health and wellbeing whilst recognising that, for some people, there are essential services which are required to enable them to manage key aspects of their lives. It is incumbent on social care services to ensure that every effort is made to delay, defer or postpone the point when this level of intrusion into a person's life is required.
34. **Ensuring Value for Money:** By ensuring value for money, the Council will be able to better manage the increasing cost of adult social care services. This is important not just for the Council but also for individuals and families in receipt of services. The majority of people using adult social care services contribute to the cost of their care. People making a contribution should have confidence that their services are providing a high level of quality at the best possible price. More than 5,000 people in Nottinghamshire are funding their own care entirely. The Council has a responsibility to ensure that people who fund their own care have a well-developed market from which to purchase good value services. Value for money does not just relate to the services the Council and individuals purchase from external provider organisations. It also refers to the services the Council provides directly to people and the processes by which the Council delivers and commissions services.
35. **Promoting Choice and Control:** Ensuring individuals, carers and families have choice and control is important in delivering personalised services. The Council is committed to the continued commissioning of services through personal budgets giving people a choice of how much control they wish to take in arranging and procuring their own services, managing the delivery of those services and meeting their own outcomes in ways which are meaningful to them. However choice is not without constraints. Choice of services, choice in meeting outcomes and choice in model of delivery must at the same time ensure that independence is enhanced and promoted and value for money assured. Choice and control also requires there to be strong, robust and high quality social care providers able to meet people's needs in a manner which improves individual resilience. The Council will develop strategic relationships with providers in collaboration with partner commissioners. We will deliver a sustainable and diverse market of providers to promote independence and deliver value for money.

The Children's and Culture Portfolio

Children's Services

36. The strategy for Children's Services, which includes Children's Social Care, Early Help Services and Education Services, is focused upon:

- *Streamlining points of access for children’s services, through the Council’s customer service centre where appropriate;*
 - *Developing integrated access hubs to triage and allocate service referrals, leading to better assessment at the earliest point, and quicker service provision;*
 - *Developing integrated, multi-disciplinary, co-located teams based in three geographical localities, supported by integrated case management and assessment arrangements and a shared operating methodology;*
 - *Establishing cost effective, centralised, specialist and support services.*
37. This strategy supports the delivery of continuing financial efficiencies, and improved educational and social outcomes for vulnerable children and families. Increasingly, resources will be focused on supporting the most vulnerable children, young people and families in local communities, and ensuring that support is provided quickly, effectively and is properly co-ordinated
38. The delivery of children’s services is underpinned by the following principles:
- *Targeting resources where they are most needed;*
 - *Integrating and aligning services in localities to make accessing them as easy as possible;*
 - *Helping children and families as early as possible in order to deliver better outcomes for them;*
 - *Keeping children together with their families where it is safe to do so;*
 - *Helping and supporting families to achieve their potential.*
39. The major components of the service transformation required to deliver the strategy are:
- The establishment of integrated family, children and youth support services;
 - The development of integrated service and commissioning arrangements for children and young people with disabilities;
 - The further reshaping of social work practice;
 - The implementation of a children’s services workforce development strategy;
 - The development and implementation of integrated assessment, case management and case recording arrangements;
 - The development of a “single point of access” to children’s services
 - The adoption of a common operating methodology across case management services
 - The integration of public health commissioned children’s services with Council managed services.

Cultural Services

40. The Cultural Services Portfolio covers the Council’s network of libraries, country parks and green estate sites, adult learning, archives, arts and sports development, and conservation management.
41. The Portfolio is underpinned by the Cultural Strategy for Nottinghamshire, which highlights 4 priorities:

- *Creating opportunities for everyone to learn new skills, enjoy and participate in culture and have fun;*
- *Improving the social fabric and participation in community life;*
- *Conserving and providing access to our history and heritage and supporting environmental sustainability;*
- *Supporting the economic prosperity of the County.*

42. In addition, cultural services aim to:

- *Promote and deliver services that are high quality and accessible to all.*
- *Listen to communities and visitors to create, nurture and deliver a wide range of inspiring, quality cultural experiences that are fun and will excite and engage them.*
- *Generate pride in Nottinghamshire's rich cultural heritage, and work to protect, enhance and build on this heritage for the future.*

43. These aims have been incorporated into the development of the various options for change presented for cultural services. A significant element of this approach is to explore and deliver sustainable alternative operating arrangements. In addition, the Council will seek to attract a higher level of alternative funding sources in order to support their continuing sustainability.

The Place and Resources Portfolio

Highways, Transport and Waste and Energy

44. Roads and footways maintenance, effective waste disposal and public transport are essential services that support the County's economic well-being. Significant efficiencies and savings have already been made against these universal services over the past few years and further options are limited.
45. Funding for the Highways service, which maintains 2,500 miles of road, 93,000 street lights and the associated infrastructure, has been reduced from £35m a year in 2010/11 to less than £25m a year. The Integrated Transport Measures grant has also reduced from £10m in 2010 to less than £8m. From next year it will reduce further to £3.5m. Although a lot more is being done for less, these reductions are impacting on the ability to maintain the infrastructure and are limiting future highways improvements.
46. The ongoing and successive reductions in the Highways budget have called into question the current operating model. As a result, the Council has been exploring alternative models for service delivery that maintain the commitment and flexibility engendered by the public sector ethos whilst building on the commercial skills and business agility.
47. There is a proposal to establish a public sector company which would be a subsidiary of a company called the CORMAC Group, which was set up by Cornwall County Council. The advantage of this approach is that the CORMAC Group has already developed and operated as an effective, commercial entity but

with a strong public sector ethos and commitment. It provides services to Cornwall and other private sector and public sector clients, generating income for the authority. The Council would continue to set priorities, authorise the capital programme and monitor service delivery.

48. If this proposal was adopted, existing Nottinghamshire staff could transfer to a Council-owned company that would be a subsidiary of the CORMAC Group. This would allow the retention of skills, experience, local knowledge and the public sector ethos. It would also benefit from the Group's commercial experience that would enable the potential of bidding for additional work that would create a sustainable highways service model for Nottinghamshire. The goal would be to establish and operate the new entity by October 2015 following consultation with staff and other stakeholders.
49. Commercial bus companies provide more than 85% of the local bus network in Nottinghamshire without financial support from the Council. The Council's strategy is aimed at plugging the gaps in the network so that people are able to undertake essential travel for employment, training, access to health services and shopping.
50. By next April, the whole of the network will have been reviewed and redesigned following extensive consultation with users and stakeholders. This has meant that the impact of budget reductions has been minimised by reducing the frequency on under-used routes and increasing the use of connecting and community-based services.
51. The Council is responsible for the disposal of some 360,000 tonnes of household waste and this grew by 2% last year. In order to minimise the cost, the Council is seeking to increase recycling rates and to reduce the amount of waste going to landfill, which attracts a high tax per tonne of £82.
52. Negotiations with the Council's Private Finance Initiative (PFI) partner, Veolia, have delivered significant cost reductions, greater flexibility and long-term solutions to dispose of most of our waste. The Council's household waste and recycling centres consistently attain over 80% recycling and work is continuing in partnership with District and Borough Councils councils to further increase recycling.

Corporate Services

53. Over the next few years, Corporate Services will provide a critical function in supporting the transformation of the Council and unlocking the savings and efficiencies within services.
54. All large organisations need a support function in order to run effectively and efficiently. However, it is important that these services, which include finance, HR, procurement, ICT, legal, democratic services, the business support centre, policy and performance, communications and marketing and print, are run in the most efficient way so that frontline services can be protected as much as possible.

55. Options for Change in these areas will deliver further savings and efficiencies and these follow successive reductions in all of these areas over the previous few years. Wherever possible innovative solutions have been sought to make sure that impact of the reductions is minimised. This process of review will continue over the coming years.
56. Well-run corporate services, which understand the operational services, have the potential to deliver a significant multiplier effect, adding value through innovation and process improvement. This is what the Authority has been seeking to achieve over the past few years through process change and technological investment.
57. There are three phases to the proposed approach to the reform of Corporate Services:
- Phase 1** Further savings and efficiencies and redesign to provide greater flexibility. Scope the option for shared services. Now until June 2015
- Phase 2** Implement changes, consolidate and restructure to integrate the corporate services as part of authority restructuring. Launch new service offers. June 15 – Mar 16
- Phase 3** Implement agreed shared service plans. Apr 16 – Apr 17
58. As part of this overall approach, the Council intends to pursue the option to share services with other bodies. There are particular opportunities across the public sector, potentially sharing services with other councils and/or the Health sector.
59. In addition, the Council will seek to derive income from offering to provide services for other bodies. The Council already provides a wide range of services to other organisations both within Nottinghamshire and elsewhere in the Country. There may be further such opportunities in the future, with particular potential focus on the education and health sectors.
60. The Council is also exploring the possibility of establishing a joint venture style entity, through which it would provide design and property services. This would offer further opportunities to derive income from providing services outside of the Council's normal activity.

The Cross-Council Portfolio

61. This portfolio will implement a fundamental shift in the way the Council of the future will operate. The programmes within this portfolio will deliver long-term strategic transformation, rather than shorter-term cost savings. The portfolio cuts across every department, implementing essential enablers and will develop, improve and/or rationalise the Council's assets – workforce, knowledge, data, technology, accommodation. Communities will become more empowered, resilient, innovative, less-reliant on Council-run services and more engaged in how services are run in their local areas. The Cross Council Portfolio is made up of the following five programmes of work:
- **Customer access and digital development** - Customers self-serving and

accessing the services they need, in the way they want

- **Workforce development** – Creative, innovative, well-trained staff, with the right skills, behaviours and values
- **Smarter working** - An agile, mobile, flexible workforce, supported by the right technology and property to deliver the best outcomes for service users
- **Performance and benchmarking** - Providing the right up-to-date management information and intelligence to make effective decisions and empower staff to plan and continuously improve services
- **Community empowerment** - Local community empowerment and resilience to shape and deliver services in local areas and reduce reliance on Council-run services

Dealing with the remaining shortfall

62. This report sets out proposals for budget savings and plans to revise elements of the Medium Term Financial Strategy. This approach will address a large part of the estimated £77m funding shortfall over the next three years. The Council has already demonstrated how innovative changes can deliver better value-for-money services. In many of these cases, it can be demonstrated that not only have costs reduced but real benefits have been delivered to those using the service.
63. As part of the ongoing work within the portfolios, the Council will continue to look at fundamentally changing the way services are delivered. Whilst some specific examples of this have already been set out, this transformational change will include:
 - Sharing services with other public sector bodies
 - Income generation where this can be used to offset costs
 - Maximising the use of technology to reduce costs
 - Improving online customer access to provide more affordable and accessible services
 - Using alternative providers, including the voluntary sector, to deliver services
 - Supporting individuals to stay independent for as long as possible to improve quality of life and lower dependency
 - Building capacity within communities to resolve local issues and help meet local needs by maximising the use of community assets
 - Reducing reliance on traditional working practices and fixed bases
64. Work is currently under way to analyse what savings are achievable and realistic timescales. While some other authorities have quoted savings of many millions for

similar work, before the Council commit to such figures, further analysis is needed to ensure that such savings are deliverable.

Funding transformation

65. The scale of change to deliver the identified savings proposals and predicted transformation will require additional resources for internal services such as project management, legal, performance, HR, communications, ICT, property, finance and procurement.
66. The Budget Report (Full Council 27/2/14) approved the establishment of a Strategic Development Fund to meet the cost of resources and investment required to fund the necessary change management capacity, as well as investment in hardware, software, data, physical assets and skills development.
67. Additional funds will be needed to fund the necessary transformation and work is under way to assess how much will be needed in order to deliver the savings. Approval will be sought as part of the budget setting process.

Consultation Process

68. On October 8, the Council formally launched a budget consultation called **Doing Things Differently** with the sub-heading **Your Money, Your Say**. The first stage aims to raise awareness of the financial context and to seek views on the overall approach.
69. The second stage, which will be launched on November 12, will seek to obtain views on the Category B and C proposals and a potential Council Tax increase as contained in this report. This will run until 16 January, 2015.
70. Policy Committee approved the budget consultation methodology on 8 October 2014 and full details of the methodology were contained in that report.
71. On conclusion of the consultation process on 16 January 2015, the Council will develop its detailed budget proposals. The formal approval of the budget and the setting of the Council Tax will be agreed at the Council budget meeting on 26 February 2015.
72. The budget consultation will close on 16 January 2015 to allow members time to consider feedback and make any changes to proposals as a result. All responses will be considered and will help to inform the final decisions made by Full Council on February 26, 2015.

Staffing implications

73. The precise staffing implications of the various proposals included in this report will require careful management. A Section 188 notice has been issued which begins the statutory consultation involving employees and the recognised trades unions.
74. Post reductions will be managed through agreed HR processes which include:
 - strict vacancy control over the coming months

- deletion of vacant posts
- turnover
- redeployment
- retraining and re-skilling where appropriate
- job seeker support
- voluntary redundancies including consideration of bumping opportunities where possible
- compulsory redundancies – all reasonable measures will be applied to keep the number to a minimum

75. The following table provides an indication of the potential reduction in posts in 2015/16 & 2016/17

Table 5 – Potential Reduction in posts by Department

Department	Potential decrease
Children, Families & Cultural Services	37.80
Adult Social Care, Health & Public Protection	273.49
Environment & Resources	71.50
Policy, Planning & Corporate Services	9.00
Business Support	100.00
Total	491.79

Statutory and Policy Implications

76. This report has been compiled after consideration of implications in respect of crime and disorder, finance, human resources, human rights, the NHS Constitution (Public Health only), the public sector equality duty, safeguarding of children and vulnerable adults, service users, sustainability and the environment and ways of working and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Public Sector Equality Duty implications

77. Public authorities are required by law to have due regard to the need to:

- eliminate unlawful discrimination, harassment and victimisation
- advance equality of opportunity between people who share protected characteristics and those who do not
- foster good relations between people who share protected characteristics and those who do not

78. Decision makers must understand the effect of policies and practices on people

with protected characteristics. Equality impact assessments (EqIAs) are the mechanism by which the Council considers these effects.

79. Equality implications have been considered during the development of the budget proposals and equality impact assessments have been undertaken where necessary. In addition the Human Resources (HR) policies that will be applied to any staffing reductions have been the subject of EqIAs. The further development of transformational proposals or options for change will be informed by further EqIAs as appropriate.
80. It is essential that Members give due regard and consult appropriately on the implications for protected groups in the context of their equality duty in relation to their decisions. All EqIAs are available as background papers as part of the decision making process.

RECOMMENDATIONS

It is recommended that Policy Committee:

1. Notes the progress made to date under the Redefining Your Council framework.
2. Approves the Category A savings proposals, as appended to the report, for implementation.
3. Approves the start of consultation on the Category B and C savings proposals, as appended to the report, and a potential increase in Council Tax

COUNCILLOR ALAN RHODES LEADER OF THE COUNCIL

Financial Implications (PM 30/10/14)

The financial implications are set out in the report. The full impact of these proposals, and the consultation responses to them, as well as the implications of the Government Settlement in December, will be considered in the Budget reports in February 2015.

HR Implications (MT 17/10/14)

The high-level staffing implications are set out in the body of the report. Redefining Your Council has been discussed with trade union colleagues at the Central Joint Consultative and Negotiating Panel. Some of the specific proposals have already been discussed with trade union colleagues at departmental Joint Consultative and Negotiating Panels. This process will continue throughout the consultation period. Formal consultation with the recognised trade unions will take place in accordance with the Council's agreed protocols.

Constitutional Comments (HD 23/10/14)

Policy Committee has the authority to agree the recommendations in the report.

Background Papers Available for Inspection

Equality Impact Assessments

Redefining Your Council

Redefining Your Council Budget Consultation Feedback

Appendices

<u>Appendix</u>	<u>Title</u>
1	Category A Options for Change
2	Category B Options for Change
3	Category C Options for Change

Consultation Category A - Options for Change

Reference	Portfolio	Title	Committee	Equality Impact Assessment required and undertaken
A01	Adult and Health	Ensuring cost-effective day services	Adult Social Care and Health	Yes
A02	Adult and Health	Gain alternative paid employment for remaining Sherwood Industries staff	Adult Social Care and Health	Yes
A03	Adult and Health	Partnership Homes	Adult Social Care and Health	No
A04	Adult and Health	Quality Assurance and Mentoring Package	Adult Social Care and Health	No
A05	Adult and Health	Promoting Independence through the use of Assistive Technology (AT)	Adult Social Care and Health	No
A06	Adult and Health	Increasing income for Short Breaks	Adult Social Care and Health	No
A07	Adult and Health	Community Safety - Reductions to Current Net Budget	Community Safety	No
A08	Children's and Culture	Fixed Cost Purchase of Residential Care Placements for Children with complex needs	Children and Young Persons	No
A09	Children's and Culture	Looked After Children Placements	Children and Young Persons	Yes
A10	Children's and Culture	Recharge to Schools Budget	Children and Young Persons	No
A11	Children's and Culture	Support to Schools Service – Education Improvement	Children and Young Persons	No
A12	Children's and Culture	Outdoor Education - Income generation and efficiency savings	Children and Young Persons	No

Consultation Category A - Options for Change

Reference	Portfolio	Title	Committee	Equality Impact Assessment required and undertaken
A13	Children's and Culture	Restructure of the Quality and Improvement Group	Children and Young Persons	No
A14	Children's and Culture	Libraries, Archive, Information and Learning - Operating model gains/reducing the managerial core	Culture	No
A15	Children's and Culture	Sherwood Forest Country Park and Visitor Centre - Service redesign based on strategic partnering	Culture	No
A16	Children's and Culture	Accelerated delivery of Green Estates Strategy	Culture	No
A17	Place and resources	Concessionary Travel Scheme	Transport and Highways	No
A18	Place and resources	Veolia Revised Project Plan (RPP) Contract Negotiations	Environment and Sustainability	No
A19	Place and resources	Staffing reductions to reflect streamlined financial procedures	Finance and Property	No
A20	Place and resources	Shared service for Internal Audit	Finance and Property	No
A21	Place and resources	Savings from the recent re-tender of the Council's banking contract	Finance and Property	No
A22	Place and resources	ICT Licences	Finance and Property	No
A23	Place and resources	ICT Services - Telephone Network	Finance and Property	No
A24	Place and resources	Joint Venture for Property Services	Finance and Property	No

Consultation Category A - Options for Change

Reference	Portfolio	Title	Committee	Equality Impact Assessment required and undertaken
A25	Place and resources	Re-designed Human Resources service offer	Personnel Committee	No
A26	Place and resources	Business Support Centre - Maintain an in-house service and explore the opportunities to sell services to other organisations	Policy Committee	No
A27	Place and resources	Ongoing development of digital improvements to legal services procedures	Policy Committee	No
A28	Place and resources	To retain the Customer Service Centre in-house and identify new opportunities to develop the services on offer	Policy Committee	No
A29	Place and resources	Review of the in-house Document Services team	Policy Committee	No
A30	Place and resources	Reductions in Communications and Marketing	Policy Committee	No
A31	Place and resources	Centralising information management, performance and data functions	Policy Committee	No
A32	Place and resources	Staffing Reduction in Democratic Services	Policy Committee	No



Option Ref

A01

1. Service Area

Services for younger adults

2. Option Title

Ensuring cost-effective day services

3. Summary of Options

The Council will work with providers of specialist services to deliver savings through cost efficiencies and different ways of working.

4. Rationale / Evidence Base for the Option

This proposal seeks to ensure delivery of cost-effective services for people with complex needs. This reflects the principle in the Adult Social Care Strategy of encouraging and stimulating an efficient, diverse, affordable and high quality social care market.

Discussions have been held with incumbent providers of these services, which have enabled identification of further savings, to the value of £150k per annum, to be delivered over two years. This will involve the providers making changes to the ways in which the services are arranged. The Council will be able to deliver a further £50k through reduced transport costs thereby delivering a total of £200k over the two year period.

5. What Will the Outcomes of the New Service Be?

Continuation of a more cost-effective specialist service for people with complex needs.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS
£000

1,797

NET
£000

1,797

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	50	150	0	200
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	50	150	0	200

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

11.1%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

0.0

	2015/16	2016/17	2017/18
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

Service users would see no change of provider although there may be some change in the way that the services are delivered. This change may affect staff and activity programmes. Such changes may cause some stress to service users and families, even though the provider will remain constant. A slow transition would enable this to be kept to a minimum.

ON OTHER ORGANISATIONS / PARTNERS

The current provider will be affected by the proposal.

ON OTHER PARTS OF THE COUNTY COUNCIL

No other impacts.

10. Initial Equality Impact Assessment

There are likely to be some changes in the way that the services are delivered by the provider. This may affect staff and activity programmes. In order to ensure minimum disruption to service users and their families, a slow transition will ensure that any changes are implemented with their agreement and at a pace that takes the needs of service users into account.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

The provider has itself identified how the savings are to be delivered and is seeking to ensure that quality will not be compromised.



	Option Ref	A02
1. Service Area	Supported Employment (Sherwood Industries)	
2. Option Title	Gain alternative paid employment for remaining Sherwood Industries staff	
3. Summary of Option		
<p>This proposal is to support the remaining 11 disabled staff to move out of temporary and supernumerary positions within the Council and into secure alternative long-term employment, either within the Council or in the wider employment market. These staff members will be provided with specialist job coaching support including job matching.</p>		
4. Rationale / Evidence Base for the Option		
<p>The Council can feel proud of the support and loyalty provided to the 11 disabled staff who were formerly employed in Sherwood Industries. The salaries and terms and conditions of these staff have been protected since the closure of Sherwood Industries in 2012; this is in recognition of the fact that it can be extremely difficult for disabled people to find alternative employment, especially in the current economic climate.</p> <p>Of the original 30 disabled Sherwood Industries staff, 10 have taken voluntary redundancy and 12 been supported to find alternative employment within the Council after the closure of Sherwood Industries in June 2012. The range of locations where people are working includes Bilsthorpe depot, County Enterprise Foods, Mansfield Bus Station, Brooke Farm, Cauldwell House and Solutions for Data.</p> <p>When Sherwood Industries closed in 2012, dedicated HR support was provided to the workers to help them identify and apply for alternative positions. In many cases, work placements were arranged to put people in a good position to apply for vacant posts when they came up. Over time, the HR support has had to be withdrawn due to reduction in resources, but the remaining workers have been kept on the redeployment register and are sent details of available posts that they can apply for if they wish to.</p> <p>Maintaining these staff in supernumerary and temporary jobs is not a sustainable position for those staff or the Council. The staff deserve the chance to gain employment that is secure and can utilise the skills and abilities that they have gained over the years. We are now proposing to provide dedicated individualised support to the remaining 11 workers through the i-work team. This approach has proved successful with many other people who have a learning disability and other specialist needs. The team has extensive employer networks and can set the staff</p>		

up with work placements and job trials, providing job coaching to ensure successful learning and problem solving.

It is proposed that the specialist job coaching support would be provided for a period of two years. This will cost £70k over a period of two years (£35k a year). As long as two people a year are supported into alternative employment, the Council will have covered the costs of the investment. More savings will be made if more people are moved into alternative employment.

We are confident that the i-work team has the ability and experience to make a difference for at least four staff over the period, and will be able to find them permanent employment, either within or outside of the authority.

5. What Will the Outcomes of the New Service Be?

11 staff will be provided with specialist job coaching support over the two year period.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	265	NET £000	265
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	35	35	70
LESS Loss of Income	0	0	0	0
LESS Costs of Reversion	0	0	0	0
NET SAVING	0	35	35	70
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				26.4%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	35	35	0	70

This includes the cost of an additional worker in the i-work team, to support the 11 employees to find alternative paid employment, plus £5k pa budget to cover costs associated with finding employment, travel and interview expenses. As this proposal is about reducing the number of supernumerary and temporary posts, there are no redundancy costs.

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

10.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

2015/16 2016/17 2017/18

0.0 0.0 0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

The proposal will impact on 11 disabled employees who will be supported to find alternative permanent employment.

ON OTHER ORGANISATIONS / PARTNERS

No impact.

ON OTHER PARTS OF THE COUNTY COUNCIL

The project will impact on services where employees have been placed in supernumerary and temporary roles.

10. Initial Equality Impact Assessment

The proposal will impact on 11 disabled workers.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

There is a risk that it will not be possible to find alternative long-term paid employment for all of the staff.

Mitigation: By investing in direct one-to-one support a higher number of staff may be helped to find suitable alternative employment than has been achieved so far.

There is a risk that the employees will not agree to apply for any alternative employment opportunities, if those opportunities are not regarded as being as favourable as employment by the Council or better.

Mitigation: The Council will aim to find suitable employment opportunities which are reasonable alternatives to the posts the workers are currently in.



Option Ref	A03
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1. Service Area	Strategic Commissioning/Services for younger adults
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2. Option Title	Partnership Homes
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3. Summary of Option

Originally, the Partnership Homes were high cost residential placements for people with learning disabilities. In line with the Council's policy to support people to live as independently as possible in the community, the services have changed into supported living services, resulting in lower costs. The service provider is able to deliver further savings.

4. Rationale / Evidence Base for the Option
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The eight Partnership Homes were high cost residential placements set up in the 1980s as part of a development programme for people with learning disabilities, so that they could move out of long-stay hospital and into the community. There were 89 beds across eight homes in total. A tender was undertaken in 2012 and through the new contract, savings of £276k (net) have already been realised.

To promote the principles of personalisation and greater independence for service users, the Council has been working in partnership with the new provider to de-register many of the homes and provide new services, to replace some of the homes. As part of this partnership arrangement, the Council has a void (vacancy) arrangement with the provider to ensure that the contract remains viable.

Due to the reduction in housing related costs associated with the deregistration, the provider has reported that it would be able to return more funding than first anticipated to the Council by the end of year 5 i.e. 2017/18, when the contract expires.

This proposal outlines how further savings from this contract will be achieved by the end of 2017/18. These savings have not been counted against any other existing savings project.

Going forward the additional savings to be realised will be as follows:

- 1) £118k savings in 15/16 from contract price reductions.
- 2) £292k savings in 17/18, relating to the housing cost savings

From this total gross savings of £410k, once loss of income of £202k* is netted off, there will be new net savings of £208k per annum. Therefore, the total new savings achieved by this contract remodelling will be £484k per annum (net) by 2017/18, (i.e. £208k plus the £276k that has already been realised).

*The £202k loss of income shown for 2015/16 is due to the reduction in the service users contribution when people moved from residential care into supported living.

5. What Will the Outcomes of the New Service Be?

Most of the eight residential homes will have been transformed into Supported Living arrangements.

The services will no longer be funded through a specific block contract and all funding arrangements will have been personalised to individual people.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	<input type="text" value="5,247"/>	NET £000	<input type="text" value="5,045"/>
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	118		292	410
LESS Loss of Income	-202	0	0	-202
LESS Costs of Re provision	0	0	0	0
NET SAVING	-84	0	292	208
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				<input type="text" value="4.1%"/>

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?				<input type="text" value="0.0"/>
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	2015/16	2016/17	2017/18	<input type="text" value="0.0"/>
	0.0	0.0	0.0	

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

People will have more choice and control of where they live and how they spend their money, as they are moving from residential care to supported living arrangements.

ON OTHER ORGANISATIONS / PARTNERS

The impact on the existing provider is as explained in this paper.

ON OTHER PARTS OF THE COUNTY COUNCIL

None apparent at this stage.

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate / adverse or negative impact on people with protected characteristics.

All individuals impacted by this proposal are people with a learning disability. There are a range of ages and complexities of need, and all will benefit from the move into supported living.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (N)

N

11. Risks and Mitigating Actions

1. There is a risk that the level of voids (vacancies) will increase over time which would make the contract unviable for the provider.

Mitigation - The level of voids (vacancies) can be reduced by moving people into the vacant supported living tenancies. The Supported Living team should be able to identify suitable people for this purpose, as part of the work that is needed to move 120 people from residential care into supported living.

2. There is a risk that the Supported Living team will not be able to identify sufficient suitable people to move into the voids (vacancies) within the Partnership Home supported living schemes.

Mitigation – if this is the case and the high level of voids (vacancies) continues, the future of the service will need to be reviewed and a plan developed to redesign or reduce the service. This could impact on service users and staff if properties are closed but would be subject to a full risk assessment as part of the plan development.



	Option Ref	A04
1. Service Area	Quality & Market Management	
2. Option Title	Quality assurance and mentoring package	
3. Summary of Option		
Production and marketing of a quality assurance and mentoring package for providers of adult social care services where concerns have been raised, to improve and sustain quality and generate £75k p.a. income for the Council.		
4. Rationale / Evidence Base for the Option		
<i>Rationale</i>		
<p>The Council has expert in-house knowledge which it currently provides for free to services in need. For those services which require more intensive support and monitoring, the cost to Nottinghamshire County Council in staff time is very significant.</p> <p>The Council's current arrangements allow providers to be charged, with the following contractual wording:</p> <p><i>"be entitled to charge to the Provider any additional cost reasonably incurred by the Purchaser and any reasonable administration costs in respect of the provision of that element of the Service by the Purchasers or by a third party."</i></p> <p>To date, this charge has not been levied.</p> <p>This option for change would develop and promote a system and its application for business benefits and quality assurance. This will enable more robust business planning and continuity planning, including financial sustainability, in response to the authority's increased responsibilities under the Care Act.</p> <p>Currently, the quality systems such as ISO do not sufficiently focus on outcomes for service users. By developing a package that has service user outcomes as the main focus, this enables care businesses to measure the level of their quality and identify areas for improvement, thereby informing their business and continuity plans. The package on offer would include considering equality for service users and people who may experience discrimination or harassment because of their age, disability or caring role, or for other reasons such as race, gender reassignment, religion or belief and sex or sexual orientation. It will also provide reassurance for the authority that businesses within Nottinghamshire are sustainable, which is not covered by CQC's focus on corporate provider failure.</p>		

This could be achieved in partnership with a learning and development organisation.

Evidence base

Through evidence gathered from the risk register over 2013/14 it is clear that the lack of robust quality assurance, or understanding of it, has featured as a theme.

Nottinghamshire County Council officers responsible for quality monitoring are required to respond to approximately 50 quality referrals per month which often result in time-consuming follow-up action, including additional visits.

The figures regarding the suspension of contracts with care homes showed that over the period of the financial year on average the Council had 10 contract suspensions in place each month. Some of the contract suspensions span several months, allowing the provider sufficient time to make the necessary improvements. These all require intensive work prior to a decision to suspend and to support and encourage improvement during the suspension. A significant, but lesser degree of work is required where a contract has been breached and prior to the issuing of an Improvement Notice.

5. What Will the Outcomes of the New Service Be?

The new service would supply an enhanced service to care providers, and better outcomes for service users, by:

- Driving up standards of care
- Sustaining a more viable market
- Improving business continuity and acumen
- Ensuring consistent messaging to providers about the authority's expectations
- Ensuring increased accountability of providers

With a new and robust method of evidencing progress, Nottinghamshire County Council would have enhanced confidence in participating provider ability to measure their own quality, allowing the authority to focus efforts elsewhere.

The £75k p.a. income target might be achieved by charging providers who reach a threshold a fee for this support package, including additional visits or follow-up which would previously have been free. Income would be generated for the authority, to cover the support package, including identification of specific concerns and monitor and follow up progress; and fees supplied to the chosen learning and development organisation, for the quality assurance package. The package developer may charge upfront development costs which would either be paid upfront by the authority, or recouped by them as providers use the package.

The income generated by Nottinghamshire County Council would not result in a profit to the authority, but would allow the costs of staff currently engaged in quality development work to be recovered.

Based on work undertaken by the market development team and regulator in relation to care home quality and deficits in outcomes, it is anticipated that the target £75k income could be generated each year. Further analysis work is required to confirm

the viability of this estimate. It should be noted that at the time of writing in October 2014 this proposal has not been discussed with partners, and consultation would be required.

Subject to further professional advice, it may be possible to realise the income by reducing fees payable to the provider over an agreed period. This would achieve payment without hardship to providers in trouble. However, it is not yet known whether it is legitimate to reduce fees in the manner suggested. The proposal adopts this approach to ensure that the 'income' is received, and in a phased way to limit impact on providers of concern who may be facing financial sustainability problems.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	609	NET £000	609
 WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	75	0	75
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	0	75	0	75
 WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				12.3%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?				0.0
	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0	0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES (incl. considerations relating to vulnerable people and communities & equality)

As described above, the new service would focus on better outcomes for service users and therefore there will be a beneficial impact on service users.

ON OTHER ORGANISATIONS / PARTNERS

It will be beneficial to CCGs, who also monitor services, and CQC as the regulator (particularly around 'outcome 16 – assessing and monitoring quality').

Providers would benefit from enhanced business practice and assurance.

ON OTHER PARTS OF THE COUNTY COUNCIL

Hopefully, the approach would lead to reduced safeguarding concerns. There could also be reduced quality referrals from social workers.

The authority would benefit from:

- providers contributing towards the cost of monitoring, supporting and encouraging improvement; and
- a more robust market.

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate / adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

There is a risk that providers in trouble might perceive that expenditure on quality systems would come at the expense of their ability to deliver better quality care.

In mitigation of this concern, the package will facilitate a deeper understanding of the link between good quality care, better business practice and financial sustainability.



		Option Ref	A05
1. Service Area	Services for older and younger adults		
2. Option Title	Promoting Independence through the use of Assistive Technology (AT)		
3. Summary of Option			
This option will expand the use of Assistive Technology (AT) to support people to remain independent in their own home, and avoid or delay the need for residential care. AT can help manage risks at home, provide support to carers, and enable people to self-manage daily living activities.			
4. Rationale / Evidence Base for the Option			
Assistive Technology (AT) is a range of equipment which can help to keep people independent in their own homes and provide peace of mind to carers. AT equipment can be used to:			
<ul style="list-style-type: none"> • improve assessments – by using lifestyle monitoring systems, such as ‘Just Checking’, to identify risks and support needs for some people with dementia or a learning disability, who may otherwise struggle to accurately communicate how well they are managing at home. • manage risks – by using sensors to automatically alert a 24 hour monitoring centre or a carer to risks at home such as ‘wandering’ due to dementia, falls, epileptic seizures, fires, flooding, or a significant change in daily routine. • support people to self-manage daily living activities – by using devices to prompt or encourage people with memory or mental health problems to undertake daily tasks, such as taking medication, attending appointments, going to bed or securing their home. 			
This proposal builds on the Council's existing AT service provision and will increase the targeted uptake of AT solutions which maintain or improve outcomes for service users and carers. More specifically it is proposed to:			
<ul style="list-style-type: none"> • provide AT solutions before a crisis point has been reached for service users and their families, and the option of residential care appears to be the only alternative. There is evidence that for some vulnerable people AT solutions are currently being provided at too late a stage to work effectively, e.g. for some people with dementia. • improve the consistency of use of AT by social care assessment teams in support planning, through simplifying processes, training and support. • expanding the range of AT solutions available for vulnerable people eligible for social care support, so that a wider range of risks and daily living activities can be managed in people's own homes. • improving better access to information and advice about AT solutions for people who may wish to buy these themselves. This will particularly benefit people who do not meet social care eligibility thresholds or who self fund their own care and support. This will also help to support the requirements of the Care Act. 			

The proposal supports Priority Four of the County Council's Strategic Plan to develop individual and community resources to prevent, delay and reduce the need for care and support. Analysis of performance in 2013/14 shows that cash avoidance savings of £681k were achieved through using AT to delay or divert the need for residential or community care services for 94 people, with further cashable savings of £98k through use of AT to enable people to self-manage risks or daily living activities.

5. What Will the Outcomes of the New Service Be?

1. More people will be given information and advice on how AT solutions could support them at home much earlier in their contact with social care enabling them to live independently for longer.
2. Reduced admissions to residential care.
3. Earlier interventions for vulnerable people and their carers, to avoid the distress of situations reaching a crisis point for service users and carers.
4. Access to a wider range of AT solutions.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 **69,705** NET £000 **42,427**

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	1,743	2,645	3,035	7,423
LESS Loss of Income	-353	-620	-706	-1,679
LESS Costs of Reprovision	-932	-1,419	-1,826	-4,177
NET SAVING	458	606	503	1,567

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET? **3.7%**

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	94	0	0	94
Revenue Costs	0	0	0	0

NB: Capital Costs may be funded through the 2015-16 Capital Fund Programme, subject to the appropriate approvals.

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

2.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

2015/16 2016/17 2017/18

0.0 0.0 0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

The proposals will enable more vulnerable people to be supported to maintain their independence at home. AT can also help to reduce stress and anxiety for carers.

ON OTHER ORGANISATIONS / PARTNERS

Potential market opportunities for local businesses to supply AT solutions to people who are not eligible for social care. Evaluations of AT have demonstrated that it can also deliver better health outcomes for people, for example by reducing hospital admissions, preventing falls and improving medication compliance. The potential for the development of a joint AT service should be included as part of broader local discussions on integrated care services.

ON OTHER PARTS OF THE COUNTY COUNCIL

The proposal will require support from communications and marketing, ICT, customer services and procurement.

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate / adverse or negative impact on people with protected characteristics.

The proposals are a development of existing AT service provision. Principles of adopting AT to provide cost effective care have already been set out in the Adult Social Care Strategy which has been subject to public consultation.

The proposals outlined are an extension to previous targets outlined in the 'Living At Home' and 'Alternatives to Residential Care' programmes and has therefore already been subject to an Equality Impact Assessment.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

- Risk that expected further reductions in residential care placements are not met, given demographic pressures.

Mitigating Action – targeting of teams with AT usage below that of best teams, with regular reporting to group and team managers.

- Increase in AT activity cannot be supported by existing AT staffing.

Mitigating Action – reprovision costs have included an additional AT Assistant post on a 'spend to save' basis to absorb increased workload, which will be kept under review.

- Regional research in the East Midlands commissioned by ADASS demonstrated that poorly targeted AT solutions for prevention purposes was a net cost to local authorities and does not deliver savings.

Mitigating Action – AT services will only be targeted at people eligible for social care, or where there is evidence of future decline leading to the need for a social care intervention over the short to medium term.



		Option Ref	A06
1. Service Area	Direct Services		
2. Option Title	Increasing income for Short Breaks		
3. Summary of Option			
<p>The Council's Short Breaks services for people with learning disabilities will apply to become approved providers on the NHS Carers Breaks scheme. Once approved, the scheme will contribute towards the costs of the breaks taken in these units.</p>			
4. Rationale / Evidence Base for the Option			
<p>The NHS Carers Short Breaks scheme has a budget to fund carers who need a short break from caring.</p> <p>Each year, the scheme can fund £900 worth of service for carers with a "substantial" level of need and £1,300 worth of service for carers with a "critical" level of need. The services used must be approved by the NHS Carers Short Breaks scheme in order for the funding to be paid to the provider.</p> <p>The Council runs 4 short breaks units for people with learning disabilities and these are not yet approved by the NHS scheme. Once the services are approved, the Council will be able to earn income from the NHS scheme, for people who are already using the short breaks services and any new referrals.</p> <p>There are 236 people currently using the 4 short breaks units from Nottinghamshire, excluding Bassetlaw. It is assumed that all the carers will be eligible to receive short breaks services, as they have been assessed to be eligible in the past. Those carers that have not had a carers' assessment previously will need to have one completed in order to qualify for the funding from the Carers Break scheme.</p> <p>It is anticipated that savings from the Council completing the approval process will be in the region of £212k arising from additional income.</p>			
5. What Will the Outcomes of the New Service Be?			
New income of at least £212k pa.			

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	212	0	0	212
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	212	0	0	212

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0	<input type="text" value="0.0"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

There will be no change for the service users who are taking the break in the NCC Short Break services.

ON OTHER ORGANISATIONS / PARTNERS

There will be a new demand for funding from the NHS Carers Break Scheme, once the Short Breaks units have become an approved provider.

ON OTHER PARTS OF THE COUNTY COUNCIL

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate / adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

There is a risk that the approved provider list will not be opened in the near future, for the County Council Short Break Services to become accredited with the scheme. No information is available yet about when the list will be open.

Action: The Council will apply as soon as this becomes possible.

There is a risk that carers will not have a Carers Assessment completed so their eligibility for funding from the NHS Carers Breaks scheme will not be established.

Action: Community Learning Disability Teams will be asked to prioritise Carers Assessments for those carers who do not have an up-to-date Carers Assessment.

There is a risk that the NHS Carers Breaks scheme budget will be fully spent, before the Council is able to claim for all the relevant service users.

Action: The Council will ensure a process is established so that claims on the scheme are submitted as early in the financial year as possible, once the person has spent their first week on a short break.



Option Ref	A07
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1. Service Area	Community Safety
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2. Option Title	Reductions to Current Net Budget
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3. Summary of Option

To propose net reductions of £66k to the Community Safety Budget. Of this, £54k can be realised by deleting a vacant Team Manager post, resulting from the absorption of Community Safety into the Trading Standards' management structure. A further £12k can be saved by working more efficiently.

The Community Safety Budget for 2014/15 is £587.3k. This is a 35% reduction on the same budget for 2013/14. This reduction was achieved by redesigning the Service (merging with Trading Standards and Public Health picking up some domestic violence work) and by reducing the commissioning budget.

In summary, the budget is currently allocated over three distinct categories:

Category	Amount (£k)	%
Employee related spends	294.7	50
Commissioning and initiatives	262.4	45
Supplies and services	30.2	5
TOTAL	587.3	100

The proposal is to reduce the Community Safety Budget for 2015/16 by £66k as follows:

Category	Proposed Savings (£k)
Employee related (salaries)	54
Supplies and services	12
Commissioning and Initiatives	0
TOTAL	66

4. Rationale / Evidence Base for the Option

Commissioning and Initiatives: No reductions are proposed to the Commissioning and Initiatives budget.

Staffing: Within the Community Safety budget, there is an allocation of £54k for the post of 'Community Safety Team Manager'. Following the relocation of the

Community Safety service to Adult Social Care, Health and Public Protection and the subsequent merger into a joint Trading Standards & Community Safety Service, the post of Community Safety Team Manager is vacant. The management of the Community Safety Service has now been absorbed within Trading Standards. It is proposed that the savings from the post of Community Safety Team Manager are realised.

The deletion of the vacant post of Community Safety Team Manager and the new management arrangements for the Community Safety Team would have no impact on the delivery of the Community Safety function as the new very lean management arrangements are working effectively. The 4.8 fte Community Safety officers are experienced and well skilled to provide the county-wide Community Safety strategic leadership and partnership input needed, with decreased management support.

Supplies and Services: It is anticipated that up to £12k can be saved from efficiencies within supplies and services, by introducing more efficient ways of working, including 'hot-desking', use of cutting-edge IT, and a paperless environment.

Merger of Community Safety and Community & Voluntary Sector teams:

A further area that could be explored is the possibility of merging the Community Safety and Community & Voluntary Sector teams. There are many synergies between the two areas of work. A merger could potentially realise a management saving of 0.5 fte Team Manager post (£26k). Further work would be required to consider the viability and implications of this option.

5. What Will the Outcomes of the New Service Be?

- The most vulnerable members of our communities will be protected
- The most vulnerable locations within the county will be safer
- The public are confident that Nottinghamshire is a safe and secure place to live and work
- Nottinghamshire is a fair and safe place to do business
- The safety of local people is protected by organisations working together

More specifically:

- The development of a 'preventative' approach to community safety thus reducing the demand on people needing long-term social care and making Nottinghamshire a safer place to live.
- Continued leadership on the nine strategic themes – those issues most impacting on both the safety and general vibrancy of the communities of Nottinghamshire.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	66	0	0	66
LESS Loss of Income	0	0	0	0
LESS Costs of Reversion	0	0	0	0
NET SAVING	66	0	0	66

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18	
	1.0	0.0	0.0	<input type="text" value="1.0"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

- Minimal impact

ON OTHER ORGANISATIONS / PARTNERS

- Reduction in management capacity within the Trading Standards & Community Safety Service to support partnership initiatives led by other organisations/partners

ON OTHER PARTS OF THE COUNTY COUNCIL

- Reduction in management capacity within the Trading Standards & Community Safety Service to support and promote other County Council initiatives.

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate / adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risk

A reduction in management capacity within the Trading Standards & Community Safety Service could result in less management time being dedicated to the management of strategy, performance and risk within Community Safety.

Mitigating action

Community Safety Officers having more devolved responsibility for work and decisions that would previously have been undertaken by a manager.



		Option Ref	A08
1. Service Area	Children's Social Care		
2. Option Title	Fixed Cost Purchase of Residential Care Placements for Children with complex needs		
3. Summary of Option			
<p>This option proposes to develop a fixed cost purchase arrangement for 24 residential care placements for children and young people who are looked after by the local authority, assessed as having challenging behaviour and who need residential care. The option will provide better quality and consistency of care and achieve savings through economies of scale.</p> <p>A key outcome of this arrangement is that children will be placed closer to the communities from which they entered care, as it will specify targets for the providers to place a minimum number of children within Nottinghamshire by November 2015. As a result of this, looked after children will be more likely to be able to stay in their existing education settings. Furthermore, travel time for social workers and other professionals who may need to provide support to these young people will reduce.</p> <p>A fixed unit cost would be agreed with the agreed provider/s for the period of the contract.</p>			
4. Rationale / Evidence Base for the Option			
<p>This option will improve outcomes for our most vulnerable looked after children by ensuring there are sufficient residential care placements within Nottinghamshire borders, which keep children close to their local communities and the professionals who are providing ongoing support to them.</p> <p>This option is also being put forward as a means of achieving significant savings when purchasing these placements through entering in to a long-term contract with a smaller number of providers.</p> <p>There is currently a lack of provision in relation to residential children's homes within Nottinghamshire, and by taking this approach it will encourage the development of new children's homes that are close to the communities from which children enter care.</p> <p>This proposal is in line with Nottinghamshire's Placements Commissioning Strategy that was agreed at Children and Young People's Committee in 2014.</p>			

5. What Will the Outcomes of the New Service Be?

Children and young people in residential care are most likely to be placed outside of Nottinghamshire (when compared to other types of placements) due to the need to place away from family members or certain communities. However it is more often because of a lack of sufficient good quality residential care homes in the areas where they are needed. This is a recognised challenge for Nottinghamshire and this proposal will enable the County Council to shape the market to ensure it is meeting the needs of our most vulnerable looked after children.

As a result of this, children and young people will also be more likely to be able to stay in their existing education settings if they can be placed within Nottinghamshire.

It is anticipated that placements will be more stable and less likely to disrupt due to better information sharing and collaboration with agreed providers. Most quality indicators suggest that placing children close to their local communities leads to better outcomes than sending them far from home.

There will be a reduction in travel time and associated costs for child social workers, independent reviewing officers, and placement commissioning officers as a result of more placements being within Nottinghamshire.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS
£000

Not applicable

NET
£000

Not applicable

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	439	372	0	811
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	439	372	0	811

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

N/A

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

0.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18
	0.0	0.0	0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES (incl. considerations relating to vulnerable people and communities & equality)

The majority of children and young people who require a residential care placement would be placed within Nottinghamshire over the lifetime of the contract. Therefore the agreed provider/s may need to open up new homes in Nottinghamshire.

This approach will enable better planning and transitions for these young people, as they will already be more likely to be living in Nottinghamshire, so that support services can work effectively to identify accommodation, training and employment opportunities beyond the young persons time in care.

Stimulating the growth of residential care provision in Nottinghamshire may also provide training and employment opportunities for local communities.

ON OTHER ORGANISATIONS / PARTNERS

Entering in to a long-term contract with agreed providers may mean that a smaller number of providers operate within Nottinghamshire and the East Midlands.

Having more looked after children placed within Nottinghamshire will have a positive impact on our partners who support looked after children. For instance, health colleagues' travel time will be reduced.

More looked after children remaining in the county may have an impact on school placements.

ON OTHER PARTS OF THE COUNTY COUNCIL

Virtual School Service - This option will help to strengthen the relationship with Nottinghamshire schools as the County Council will be better able to support, and where necessary, challenge schools.

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate, adverse or negative impact on people with protected characteristics.

The proposal is to continue the same model and level of provision however enter in to a long-term contract with a smaller number of providers to deliver this.

**WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED?
(Y/N)**

N

11. Risks and Mitigating Actions

Risk 1: Provider unable to match the most complex children in to placements.

Mitigation: Extensive consultation has taken place to date with providers so they are clear on the needs of children that they will need to place. A matching panel will be set up to ensure decisions are fair and transparent.

Risk 2: Provider may enter in to a negative OFSTED category.

Mitigation: Robust contract management and decommissioning process will be set up. There will be the option to exit the contract if the quality of placements is not appropriate.

Risk 3: Demand for residential care placements drop.

Mitigation: This risk is mitigated by a clause within the contract which would allow scale down of placements or exit. Furthermore, the County Council has continuously placed 10-12% of its looked after children in residential care.



Option Ref A09

1. Service Area

Children's Social Care

2. Option Title

Looked After Children Placements

3. Summary of Option

Looked After Children Placements business case C15 received Full Council Approval in 2013-14 as part of the 2013-14 budget consultation. This proposal is to extend the current business case to include a fourth year saving in 2017-18.

This option builds on current work to reduce reliance on expensive external (privately run or out-of-county) residential placements and the use of independent fostering agency (IFA) placements for looked after children. These would be replaced primarily by increasing the number of foster carers employed directly by the County Council.

The proposal is over 4 years to release savings from:

- The reduction in use of independent fostering agencies and privately run or out-of-county residential placements.
- Increased number of council managed fostering placements.
- Increase in Special Guardianship Orders and adoption.
- Reducing unit costs relating to provider services
- Keeping children at home in their families wherever it is safe to do so

4. Rationale / Evidence Base for the Option

Detailed analysis of local data and benchmarking information shows that a higher proportion of children are placed in external residential care than average which impacts on total spend on Looked After Children placements.

In order to reduce total spend on placements, there needs to be a smaller proportion of children placed in more expensive placements (residential and Independent Fostering Agency) and a larger proportion in lower cost placements (internal fostering, special guardianship orders, adoption) where this is in the best interest of the child.

5. What Will the Outcomes of the New Service Be?

- A higher % of children in foster care placements and semi-independent placements
- Fewer children in residential care, which is often far from their local communities
- Effective support is available for the most vulnerable children and families in Nottinghamshire

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving			1,700	1,700
LESS Loss of Income	0	0	0	0
LESS Costs of Reversion	0	0	0	0
NET SAVING	0	0	1,700	1,700

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	225	0	0	225
Revenue Costs	45	45	20	110

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18	
	0.0	0.0	0.0	<input type="text" value="0.0"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES (incl. considerations relating to vulnerable people and communities & equality)

Where appropriate and safe to do so, looked after children may move from residential or independent fostering agency placements to alternative placements. These moves will only be planned where a new placement is identified that fully meets the needs of the child and the transition between placements will be carefully planned and supported.

As far as possible and where appropriate, children and young people newly entering placements will not be placed in residential or Independent Fostering Agency placements unless their needs cannot be otherwise met.

ON OTHER ORGANISATIONS / PARTNERS

Reliance on independent fostering agencies and external residential providers who are commissioned by the Council will reduce, resulting in reduced income from Nottinghamshire County Council for these organisations.

ON OTHER PARTS OF THE COUNTY COUNCIL

N/A

10. Initial Equality Impact Assessment

An Equalities Impact Assessment was completed to support the proposal that went to Full Council in 2013/14.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)	Y
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11. Risks and Mitigating Actions

Risk: Increased targets for recruitment of additional foster carers may not be achieved

Mitigation: A comprehensive recruitment and retention strategy is in place, which draws on best practice from independent sector fostering agencies and other local authorities.

Risk: Whilst robust analysis and forecasting has been carried out, future changes in Government policy and unpredicted demand for Looked After Children placements could affect the ability to deliver savings

Mitigation: This is a service pressure that is difficult to mitigate against, however detailed forecasting and trend analysis has been undertaken, and monthly monitoring is in place to identify if demand increases above projections



Option Ref A10

1. Service Area

SEND Policy & Provision

2. Option Title

Recharge to the schools budget

3. Summary of Option

This option will make savings through the recharge of some Special Educational Needs and Disabilities (SEND) staffing costs to the schools budget. This will enable a reduction in the Council revenue budget.

In practice, this means £300,000 staff costs relating to the SEND Commissioning team funded by the County Council should be charged against the SEND Services budget which sits within the schools budget.

It is proposed to identify vacancies in SEND Services which are funded by the school's budget. These posts will be deleted from the permanent staffing structure in order to release funding. This will then allow a recharge of salary costs totalling £300,000 for the SEND Commissioning team against the schools budget which will enable a reduction in the Council's revenue budget.

The proposal to recharge this amount will not require any reduction in the level of the SEND Commissioning team and will enable savings of £300,000 to be achieved. However, there will be a reduction of circa 6 (currently vacant) posts in SEND services equating to £300,000

The number of items of expenditure which may be charged against the schools budget is limited. This is due to the fact that such items must relate to supporting the inclusion of pupils with SEND. It is legitimate to charge the cost of the SEND Commissioning team to schools as the function of the team relates to the development of inclusive practice. There are other functions which sit within the Council's budget which it is not possible to charge to schools.

4. Rationale / Evidence Base for the Option

This option relates primarily to those frontline services that deliver specialist advice and support to schools and families and carers in the community. Currently these services are funded by resources which sit within the schools budget.

These services include:

Educational Psychology Service (EPS)
Schools & Families Specialist Services (SFSS)
Health Related Education Team (HRET)
Physical Disability Support Service (PDSS)
Managing Actual and Potential aggression (MAPA) and Anti-bullying
Primary Social and Development Team (PSED)

Currently vacancies exist within these service areas and it has been possible to continue to deliver a quality service to schools and families. This proposal seeks to permanently reduce the staffing structure where these vacancies already exist. As these vacancies already exist it will not be necessary to make any compulsory redundancies in a sensitive area of work.

5. What Will the Outcomes of the New Service Be?

The size of the SEND Services offer will be reduced by the value of £300K. This will be managed by not filling vacancies across all service areas, minimising the impact on one specific service.

A service reduction of 6 posts will reduce capacity within SEND services to support families and schools

Currently discussions are taking place between service managers from SEN, Early Help and Young People's services in order to create integrated locality teams. This will provide an opportunity to reconfigure SEND services and minimise the impact of the reductions through the collective capacity created through locality teams.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	<input type="text" value="657"/>	NET £000	<input type="text" value="630"/>
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WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	175	125	0	300
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	175	125	0	300

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?	<input type="text" value="47.6%"/>
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7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

There will be no implementation costs with this option.

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

163.0

2015/16 2016/17 2017/18

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

3.0 3.0 0.0

6.0

There will be a reduction in circa 6 posts across a range of SEND teams that are financed by the Schools Budget. It is not possible to identify specific posts at this stage as some vacancies will arise through retirement and natural wastage

9. Anticipated Impact

**ON SERVICE USERS AND COMMUNITIES
(incl. considerations relating to vulnerable people and communities & equality)**

Although there will be a reduction in service, it is anticipated that the impact on families and schools will be minimal because services are currently running efficiently with these vacant posts.

ON OTHER ORGANISATIONS / PARTNERS

None

ON OTHER PARTS OF THE COUNTY COUNCIL

Developments will be taking place with Early Help and Young People's services in order to establish integrated locality teams which will form part of a wider transformational agenda.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

In order to reduce the risks of reducing the capacity of the service, SEND Policy & Provision leadership will consider innovative ways of delivering services through locality based integrated teams.

This offers the potential for a more efficient model of service delivery. In due course this should lead to increased devolution of resources and responsibilities to partnerships of schools.



Option Ref	A11
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1. Service Area	Education, Standards and Inclusion
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2. Option Title	Support to Schools Service – Education Improvement
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3. Summary of Option

This option proposes to reduce direct budgets used for school to school support and move towards a more self-sufficient service by increasing the sold offer to schools and reducing any duplication and bureaucracy. We will continue to work with schools and other partners to ensure we best support schools and meet our statutory duties.

The option includes:

- To reduce the Targeted Support budget from £300k to £150k (A reduction of £163k will be applied to this in 2015/16 already as part of the current business case (£463k reduced to £300k))
 - **Saving: £150k**
- To increase the income generation target from £320,000 profit to £578,000 profit
 - **Saving: £258k**
- General efficiency savings from whole structure non staffing costs
 - **Saving: £142k**
- To maintain the current staffing compliment of 36.6fte (includes provision for Service Director of Education, Standards and Improvement)
- To maintain funding to fulfil statutory duties in relation to statutory moderation of Foundation Phonics, Key Stage1 and Key Stage 2 writing (£100k)
- To maintain funding to fulfil statutory duties in relation to Elective home education (£100k)
- To maintain an Education Improvement Associates budget of £150k

Note, savings identified in this option are in addition to £370k saving already committed in 2015/16 from a previous savings proposal.

4. Rationale / Evidence Base for the Option

- These savings would not fundamentally impact on the overall structure and operating model of both the Education Improvement Service and Place Planning & Admissions.
- The focus of the reductions will continue to come from the Education Improvement Service.

- National policy continues to move responsibilities to Teaching Schools for school improvement; these proposed savings would reflect this national policy
- The proposed structure would also reflect the national policy with schools increasingly having to fund their own school improvement including schools in special measures having to mediate deficit budgets prior to any academisation.
- Two Virtual School posts have been ring-fenced within the overall support to schools structure allowing virtual school budget to be spent on provision.
- The income target increase is a key part of this budget option

5. What Will the Outcomes of the New Service Be?

The proposed reduction would ensure that the current School Improvement Strategy continues to underpin relationships with all schools, but particularly maintained schools in relation to support and challenge.

The proposed structure savings would ensure that brokerage role undertaken by the education improvement team to mediate the support needs for maintained schools continues.

There would be increased cost to schools, particularly schools in adverse Ofsted categories who would not access Targeted Support funding.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	<input type="text" value="3,748"/>	NET £000	<input type="text" value="2,834"/>
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WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	292	0	0	292
PLUS Additional Income	258	0	0	258
LESS Costs of Reprovision	0	0	0	0
NET SAVING	550	0	0	550

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?	<input type="text" value="19.4%"/>
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Please note: The % saving of 19.4% is based on the 14-15 budget before the additional £370k (already committed) is taken out. The total net savings in 15-16 will be £920k which is a 32.5% reduction on the 14-15 budget.

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

36.6

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18
	0.0	0.0	0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

Maintained schools at risk of an Ofsted category, or judged to Require improvement, would not be financially supported and would have to negotiate a planned deficit and recovery plan with Finance. Any deficits would still revert to the County Council prior to the school going to Academy status if required by the Department for Education to be sponsored

ON OTHER ORGANISATIONS / PARTNERS

Teaching schools and other partnership schools would be required to increase their provision of support to schools in Nottinghamshire

ON OTHER PARTS OF THE COUNTY COUNCIL

There would be reduced capacity to respond to requests for support advice or intervention from other Departments such as Human Resources, Governing Bodies and requests from leadership for additional report writing. Furthermore responding to complaints and requests from Elected Members for information would all be reduced as the focus would have to be on statutory duties of the Local Authority.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

There would be less advocacy for pupils with SEND and other vulnerabilities when at risk of not being able to access high quality education provision.

The proposals do not directly affect the Equality and Achievement remit of the team and the Virtual school for Looked After Children.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

1. If targeted support is reduced from £350k to £150 there is a risk that maintained schools requiring improvement will be required to fund the improvement partnership from their own budgets. This could result in more maintained schools having to negotiate a deficit.
2. If a school is at risk and is forced to academise whilst in a budget deficit, the Local Authority is required to cover the cost of the deficit as the school must convert with a clear budget.
3. There is distinct risk that the local authority would be less able to intervene early in complex issues in maintained schools.
4. The Local Authority would have less direct influence to challenge poor support provision to maintained schools from other partnerships
5. The income target is ambitious but realistic based on previous performance with staffing levels maintained. Close monitoring of the sold service programme will ensure that any shortfall in the required net profit is identified early and any action required to meet the budget levels is taken.

With reduced net budgets, it is not possible to completely mitigate against these risks. The Local Authority has no direct influence on the quality of support from external partners. If demand for sold services reduces, then a new budget model will need to be agreed which would inevitably involve staffing reductions.



	Option Ref	A12
1. Service Area	Outdoor Environmental Education (OEE)	
2. Option Title	Income generation and efficiency savings	
3. Summary of Option		
<p>This option proposes to reduce the level of subsidy for outdoor education provision by generating increased income from schools and other customers, implementing a staffing review to reduce management and staffing costs and by making central cost savings including the introduction of an appropriate occupancy rate for staffing.</p>		
4. Rationale / Evidence Base for the Option		
<ul style="list-style-type: none">• The Outdoor Education Service has an excellent track record of generating income through providing services that are valued by a strong and sustainable customer base (mainly Nottinghamshire Schools);• In recent years the service has been able to demonstrate constant or improved take up of its traded service offer		
5. What Will the Outcomes of the New Service Be?		
<ul style="list-style-type: none">• The Outdoor Environmental Education will continue to provide the same high level of service to its customers.• Outdoor Environmental Education will continue to engage with more than 25,000 children and young people annually		

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000 *

* Before existing OBC reductions for 15/16 and 16/17 of £62k and £52k respectively

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	84	45	25	154
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	84	45	25	154

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs		0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18	
	5.2	0.0	0.0	<input type="text" value="5.2"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

- No impact, except young people, parents and groups engaging with the Duke of Edinburgh's Award will have an improved offer through streamlining of the Award's governance arrangements.

ON OTHER ORGANISATIONS / PARTNERS

- Increased charge rates to customers

ON OTHER PARTS OF THE COUNTY COUNCIL

- None

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED?

NO

11. Risks and Mitigating Actions

- Anticipated charging increases represent some business risk. However, price rises will be in line with the broad outdoor education market and local competitors.



Option Ref	A13
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1. Service Area	Quality and Improvement
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2. Option Title	Restructure of the Quality and Improvement Group
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3. Summary of Option

This option proposes to develop a core suite of support functions for the Department by 2017/18 whilst also delivering budget savings over two years starting in 2016/17. Efficiency savings can be made through economies of scale, staffing reductions and commissioning choices.

The purpose of the Quality and Improvement Group is to provide a range of support functions to front line services so that they can provide the best support to children, young people and families in Nottinghamshire. The Group follows the principle that services should be child-centred and integrated to best and most efficiently meet the needs of children, young people and families.

The Quality and Improvement Group is a new service created by bringing together various support services across the Children, Families and Cultural Services Department into one place. Therefore this budget option proposes to develop a core suite of support functions for the Department by 2017/18 whilst also delivering a saving of £250k over two years starting in 2016/17.

It is anticipated that efficiency savings can be made through economies of scale. Given that staffing costs make up the majority of the Group's overall budget, reductions in staffing levels are inevitable. Moreover, given the continuing need to provide a comprehensive activity of support to frontline services, consideration will be given as to whether it remains feasible to deliver all of the support services in-house, or whether some functions can be commissioned rather than directly delivered

4. Rationale / Evidence Base for the Option
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As services across the Department deliver their own savings and plan future budget reductions, the departmental support functions within Quality and Improvement must adapt to meet the needs of these remodelled or reduced services.

Therefore this option would review the effectiveness of the current restructure / transfer of staff and further refine the Group's core functions within the context of reducing budgets. This will allow the group to focus on the most important priorities for the department and achieve savings.

5. What Will the Outcomes of the New Service Be?

The outcome will be a Quality and Improvement Service that focuses on the Department's core functions and activities around:

- making sure that the work we do to support children and families is consistent and of a high quality and also ensuring that we are always improving the services that we offer.
- leading work to support staff who work with children and their families, and sharing best practice
- managing the department's information systems so that we protect confidential information, track the services provided to an individual young person, and ensure that know how well we are performing so we focus on areas for improvement
- providing a range of support services to the Department's senior leadership team.

In broad terms, outcomes of the service will be that:

- the Department's services to children and families are well planned, integrated and child centred, robustly quality assured, and deliver continuously improving outcomes;
- Children's Services professionals are trained and assured of their effectiveness to support children and their families; and
- Senior colleagues are effectively supported in discharging their strategic responsibilities

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS	<input type="text" value="2,328"/>	NET	<input type="text" value="2,168"/>
£000		£000	

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16	2016/17	2017/18	TOTAL
	£000	£000	£000	£000
Gross Saving	0	125	125	250
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	125	125	250

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

NOTE: At the time of drafting this option for change, the re-alignment of budgets to coincide with the various transfers of staff, have yet to be completed. The figures below have been estimated, albeit it is anticipated that they will prove to be very accurate.

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

35.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18
	0.0	3.0	2.5

5.5

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

The direct impact on services and communities will be minimal to the extent that the Quality and Improvement Group provides support functions for the department's frontline services. However, the service is responsible for the IT system that is accessed directly by parents to apply on-line for a school place for their child(ren), as well as systems that record detail of case work with some of our most vulnerable children and young people.

The indirect impact on services users will be two-fold:

- Children's Services professionals will have the right skills, knowledge and systems to support the children and families that they work with.
- A reduction in budget could minimise the support to some parts of the department which may make a difference to the quality of support that they receive.

ON OTHER ORGANISATIONS / PARTNERS

It is anticipated that the Group will continue to coordinate and support the work of the Children's Trust, which brings partner organisations that commission services to improve the health and wellbeing of children across Nottinghamshire. The Board includes representatives from health, Police, District and Borough Councils, and the voluntary sector.

ON OTHER PARTS OF THE COUNTY COUNCIL

Other front line services within the Department that receive support from the Group are determined by the department's priorities (shown in section 5).

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

Due to the service not directly interacting with the public, an equality impact assessment is not required for any changes arising to this Group

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

No

11. Risks and Mitigating Actions

The nature of these support services mean there is generally less risk in budget reductions, albeit the Group does provide some critical support functions to key front-line services, such as children's social care, early help services (e.g. Children's Centres) and school admissions. Service provision to schools will be largely unaffected and the Council's interests will continue to be properly protected.

Risk: The Department does not have sufficient resource to adequately support frontline services to ensure they are well planned, integrated and child centred, robustly quality assured, and deliver continuously improving outcomes;

Mitigation Action: Manage expectations and have a clear understanding of the department's priorities so support can be targeted in the right areas.

Risk: Senior officers do not have the level of support required to effectively coordinate departmental policies, strategies and initiatives.

Mitigation Action: Manage expectations and have a clear understanding of the department's priorities so support can be targeted in the right areas.

Risk: The department does not have the capacity (resources / budgets) to provide the sufficient workforce development activity through training and continuous improvement.

Mitigation Action: Pooling workforce development budgets will improve efficiency, reduce duplication and help target resources in line with the department's priorities.



Option Ref	A14
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1. Service Area	Libraries, Archives, Information and Learning
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2. Option Title	Operating model gains/reducing the managerial core
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3. Summary of Option

This option outlines increased efficiency gains from the development of a mutual organisation, operating at arm’s length to the Council. Further savings will come from reductions in the Service’s professional, managerial and support functions core.

- i) Increased projection of efficiency gains from development of a mutual organisation:** Forecast updated benefit realisation from establishing an arm’s length operating model. Savings = additional £100K rates decrease, and £50K anticipated staff turnover savings
- ii) Staffing changes / reductions in professional, managerial and support functions core across Libraries, Archives, Information and Learning:** Savings = £200K

Savings Total: £350k

4. Rationale / Evidence Base for the Option

The Chartered Institute of Public Finance and Property (CIPFA) benchmarking indicates that Nottinghamshire County Council Libraries are now provided at average cost and deliver high performance.

The service’s current business case aims to save £1m by 2016/2017 without the closure of any library whilst developing increased levels of partnership work to sustain an extensive library network for the future, and establishing an arm’s length management arrangement for the Service. In order to maintain this approach and make further savings, options are therefore limited.

This option identifies updated financial benefits of the agreed move to an arm’s length arrangement, and identifies further opportunities to reduce the Service’s managerial core.

5. What Will the Outcomes of the New Service Be?

The overall outcomes of the Service will be maintained through the provision of a comprehensive and efficient public library service for Nottinghamshire.

Staffing changes in non-operational and delivery areas will reduce the overall capacity of the Service to provide development, innovation and programmes. The staffing review will consider roles across the entire Service.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 **12,967** NET £000 **8,949**

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	100	250	0	350
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision		0	0	0
NET SAVING	100	250	0	350

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET? **3.9%**

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING? **213.0**

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18	
	6.0	0.0	0.0	6.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

Reduction of staff will impact upon the development and non-operational delivery of services.

The number of events, activities and 'professional' tasks undertaken may be reduced.

ON OTHER ORGANISATIONS / PARTNERS

The number and range of organisations that services work with may be reduced. There will be reduced capacity to generate external income, especially heritage, health/wellbeing and arts.

ON OTHER PARTS OF THE COUNTY COUNCIL

Potential reduction in events and programmes will reduce positive reputational impacts for the County Council. Service capacity to respond to specific requests will be reduced. The Service's wider contribution to health, social care, early intervention and educational attainment work may be reduced.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

This option will aim to maintain wide access to library services across the county. Ongoing support and development of Community Partnership Libraries and Library Access Points would adhere to access standards and policies. This will protect access to services for all including protected groups.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risk: Staffing changes across the group will result in a reduction of professional skills and a loss of valuable experience and skills. Funding from Skills Funding Agency and Education Funding Agency is dependent upon meeting contractual and Ofsted requirements.

Mitigation: Reshaped managerial roles will encompass the right skills and experience mix in new roles/teams.

Risk: Implementation of revised managerial arrangements so soon after implementing a new structure in April 2014, whilst working towards arm's length status in April 2016, may cause some staff uncertainty.

Mitigation: Full and effective staff consultation on the revised arrangements.

Risk: That the additional cashable savings from a move to a new operating model outside of the council are over estimated.

Mitigation: Regular review and monitoring of savings progress.



Option Ref A15

1. Service Area

Sherwood Forest Country Park & Visitor Centre

2. Option Title

Service redesign based on strategic partnering

3. Summary of Option

This option sets out the desired revenue budget reductions arising from current work to seek a partner to develop a new visitor centre and to introduce a new operating arrangement for Sherwood Forest country park.

This would significantly reduce the revenue costs to the Council and the third party partner would develop and operate the replacement visitor centre and manage the country park. The procurement process was approved by Culture Committee in October 2014

4. Rationale / Evidence Base for the Option

The success of the recent partnering project at the National Water Sports Centre and recent “soft market” testing activity offers a level of confidence that there are a range of organisations interested in investigating the opportunity to work in partnership with the County Council in pursuit of the management of the country park and the redevelopment of the visitor centre.

5. What Will the Outcomes of the New Service Be?

- Significantly enhanced visitor facilities that will support the wider north Nottinghamshire tourism offer
- Clear management arrangements for the country park
- Continuing effective conservation and heritage management arrangements for the park.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS
£000

1,426

NET
£000

432

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	0	205	205
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	0	205	205

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

47.5%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16	2016/17	2017/18	TOTAL
	£000	£000	£000	£000
Capital Costs	0	4,300	0	4,300
Revenue Costs	100	0	0	100

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

0.0

	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0	0.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

0.0

Note – This figure is difficult to establish at this point as it will be dependent on the type of delivery model chosen for future delivery. TUPE regulations will apply to any staff transferring from the Council. There is also evidence from other projects that new employment opportunities arise out of a refreshed offer and that FTEs increase as a result.

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

If successful, the proposals will achieve a positive impact on service users as the process is designed to encourage partner investment.

ON OTHER ORGANISATIONS / PARTNERS

New relationships will need to be established with partner organisations as the Council moves from direct delivery to a commissioning and contracting role. The proposal also offers an opportunity to engage with a range of new and existing partners in creating and delivering an innovative solution.

ON OTHER PARTS OF THE COUNTY COUNCIL

To achieve the desired outcomes there will be a requirement on central support service colleagues to build in time to current work programmes to support the procurement processes. Experience shows also that cross departmental support and expertise is essential (often required within short time periods) to ensure that the council is in a position to make robust commercial recommendation for members to be able to make appropriate decisions. Resources are also required at crucial periods during the transfer of services to a third party supplier and throughout the transition period following contract sign off. It should also be recognised that the Council will need to build in appropriate levels of “client” monitoring resources to ensure contract compliance.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risk: That capital funding is not available from the Council at the levels required to attract a partner / partners

Mitigation: Sufficient capital funding has been allocated within the corporate capital programme.

Risk: That partners are not attracted by the opportunities and interest does not result in credible bids

Mitigation: Soft market testing to date has been positive and will inform the procurement process and contract structure.

Risk: That procurement processes are not completed within the timescales required to release the revenue savings.

Mitigation: Strict project management controls.



Option Ref A16

1. Service Area Green Estate

2. Option Title Accelerated delivery of Green Estates Strategy

3. Summary of Option

This option seeks to reduce the management and maintenance costs of the Council's Green Estate sites, in line with the current Green Estates Strategy endorsed by Culture Committee in March 2014.

The County Council has a long tradition of developing and managing a number of Green Estate settings across the county, including Bestwood Country Park.

4. Rationale / Evidence Base for the Option

The rationale for the proposals is based on the further development of existing work with external partners who will be willing to engage with the Council to maintain and manage Green Estate sites at a lower than current cost.

5. What Will the Outcomes of the New Service Be?

The outcome of the proposed changes will result in the County Council retaining control of the Green Estate portfolio, with maintenance and management for some sites moving to key partners under specific management/lease arrangements.

Successful delivery of the proposal will retain, and in some cases enhance, the majority of current provision whilst supporting the council in its ambition to reduce the revenue subsidy currently allocated to the Green Estates portfolio.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	<input type="text" value="515"/>	NET £000	<input type="text" value="463"/>
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	50		50
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	0	50	0	50
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				<input type="text" value="10.8%"/>

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0		0	0
Revenue Costs	0		0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

12.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

2015/16	2016/17	2017/18
0.0	0.0	0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

The proposals will have a minimum impact on service users.

ON OTHER ORGANISATIONS / PARTNERS

New relationships will need to be established with partner organisations in respect of the management/maintenance of individual sites.

ON OTHER PARTS OF THE COUNTY COUNCIL

Much of the anticipated work will be property related, and effective joint work with corporate property services is therefore essential.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risk: That partners cannot be identified to support the delivery of the Strategy

Mitigation: Initial engagement with potential partners has been positive and supports the delivery of this proposal.



		Option Ref	A17
1. Service Area	Transport and Travel Services		
2. Option Title	Concessionary Travel Scheme		
3. Summary of Option			
<p><i>The County Council intends to introduce an online application form to simplify processes and reduce costs. This will be in addition to the current paper based application forms.</i></p> <p><i>In parallel, the County Council will negotiate with the bus and tram operators to renegotiate the level of payments to bus companies for this scheme.</i></p> <p>By exploring the following options Transport and Travel Services (TTS) aims to reduce the budget by £300,000</p> <ul style="list-style-type: none">• to include the facility for customers to apply on-line for a concessionary travel pass in line with other local authorities• to provide the facility to apply for a replacement pass on line and include facility for payment• option to explore a full/partial bureau service for the concessionary fare applications• the target is to save £120k from the above measures• aim to reduce spend by £180k in negotiation with the bus operators on reimbursement. (Note: reimbursements are currently below CIPFA average)			
4. Rationale / Evidence Base for the Option			
<ul style="list-style-type: none">• There are 196,000 people in Nottinghamshire over 60 (164,000 with a pass).• Around 35,000 passes are reissued annually at a cost £140,000. It is a statutory legal requirement to replace concessionary passes every five years.• Meets the corporate strategy for improved digital processes• Other local authorities provide an online service• Reduced costs			
5. What Will the Outcomes of the New Service Be?			
<ul style="list-style-type: none">• Provide customers with an option to apply and replace passes on line• Reduce the number of paper applications requiring manual processing• Improve the customer experience• More efficient process• Increased use of the Customer Services Centre• Improved access for customers• Easier organisation of online applications• Easier accessibility for customers• Transport and Travel Services receive information more timely			

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	25,043	NET £000	18,416
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WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	100	100	100	300
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	100	100	100	300

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?	0.2%
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The net budget for Concessions is £10.8m in 2014/15.

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	10	0	10

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?	50.0
--	-------------

	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0	0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

- Increased use of digital technology, providing improved access to services for customers
- Faster processing and issuing of travel passes

ON OTHER ORGANISATIONS / PARTNERS

- External provider of system
- Reduced reimbursement to the bus and tram operators

ON OTHER PARTS OF THE COUNTY COUNCIL

- Increased use of the Customer Services Centre

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics

This will increase the options for applying for a travel pass. Anyone unable to apply on line will still have the option to complete a paper application.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)	N
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11. Risks and Mitigating Actions

- IT and the external supplier are unable to deliver the online option to timescale
Mitigation:- Transport and Travel Services to work with providers to ensure milestones and timelines are adhered to.
- Customers unaware of new on line service
Mitigation:- publicity around this new process to be agreed.
- Discussions with operators may not have desired outcome
Mitigation:- Transport and Travel Services to hold discussions on a timely basis.
- Disadvantage to customers with no access to computers or little knowledge of IT
Mitigation: a paper based application option will still be available.
- Verification of personal details
Mitigation: system is able to check and verify customer details.



Option Ref A18

1. Service Area Waste Management

2. Option Title Veolia Revised Project Plan (RPP) Contract Negotiations

3. Summary of Option

Conclude the Veolia Revised Project Plan, as approved by Environment and Sustainability Committee on 4 September 2014, and realise £1m pa in contract savings with effect from 2015/16.

4. Rationale / Evidence Base for the Option

Lengthy negotiation with Veolia has identified contract efficiencies, and savings which would deliver an additional £1m to the County Council if the RPP solution provided was accepted. Critically, the savings would not impact on the public or district councils and could be delivered with little effect or risk balance provision to the Council.

5. What Will the Outcomes of the New Service Be?

Better partnership working resulting in an additional £1m in savings.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	33,000	NET £000	30,000
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WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	1,000	0	0	1,000
LESS Loss of Income	0	0	0	0
LESS Costs of Re-provision	0	0	0	0
NET SAVING	1,000	0	0	1,000

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET? **3.3%**

Note that the savings are indicated as saving against the overall Waste and Energy service budget (£30m including landfill tax of £12m), and not against the direct budget for this service element of circa £18m.

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

16.0

	2015/16	2016/17	2017/18
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

None

ON OTHER ORGANISATIONS / PARTNERS

None

ON OTHER PARTS OF THE COUNTY COUNCIL

None

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risk: Limits long-term flexibility in terms of contract provision except with the ability to close recycling centres as required.

Mitigation: Proposed savings are sufficient to release this flexibility in the future.



Option Ref	A19
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1. Service Area	Finance and Procurement
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2. Option Title	Staffing reductions to reflect streamlined financial procedures
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3. Summary of Option

As financial procedures continue to be streamlined across the Council, existing vacant posts in the Financial Management Group will be deleted in 2015/16 and a review will be undertaken in 2016/17 to make savings of £200,000.

The savings in 2015/16 will be generated largely by the deletion of eight vacant posts across the two Finance Groups (3 FTE) and the Procurement Centre (5 FTE).

The savings in 2016/17 will be made by the disestablishment of a further seven posts from the Financial Management Group, at this stage, in anticipation of the broader organisational change across the County Council.

4. Rationale / Evidence Base for the Option

The proposed reduction in Finance and Procurement Centre Capacity is based on the approach that support services should make an appropriate contribution towards the Council's overall savings target to safeguard front-line service delivery. Further savings will be realised through staffing reductions.

The restructuring of the finance function delivered full year savings of £450,000 (24 fte posts from a total of 89 fte posts or a 27% reduction) in 2014/15. Further change is necessary both to embed the improvements that have been delivered, whilst also implementing revised structures, systems and processes that will allow the service the scope to "do more with less" in the future.

The recent restructure of the Procurement Centre, which involved the centralisation of "procurement" functions from across the organisation, realised full year efficiency savings of £250,000 in 2014/15. Whilst the proposed reduction of posts can be contained, further savings beyond this are likely to result in a significant diminution the team's ability to provide an effective procurement service to the rest of the County Council.

All these changes must be delivered alongside broader organisational change within the context of "Redefining Your Council".

Taking into account existing savings options in the Medium Terms Financial Strategy (MTFS) over the three years to 2016/17, the division will have provided total savings of £1.5 million, a reduction of 36% against the 2013/14 net budget of £4.2 million.

5. What Will the Outcomes of the New Service Be?

The outcomes of the new service will be:

1. A refocusing of the service on the areas of the wider business that require the most financial support
2. The retention of a streamlined service
3. A reduction of a further 15 posts (17%).

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 **3,849** NET £000 **3,234**

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	110	90	0	200
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	110	90	0	200

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET? **6.2%**

Taking into account existing savings proposals the total reduction will be 22.6%.

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING? **89.0**

	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	8.0	7.0	0.0	15.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

The size, scope and technical requirements of the Finance Service are driven by the Council's size and complexity which, if diminishing in overall terms, would mean a reduced requirement for

finance support. The required reductions could, therefore, potentially occur through reduced demand; this will materialise as the Council is redefined.

The vision for Finance continues to be a smaller team but one which is more strategically focused and with a higher density of appropriately qualified staff. It may also have to have a different skill set to respond to changing business need. This will, nevertheless, be dependent upon other organisational wide factors such as:

- the Council's operating model
- the continued move to manager self-service, particularly for budget monitoring/forecast
- the reduction in operational and transactional processing that should be achievable from investment in technology, together with ongoing business improvement and service redesign.

The Procurement Centre operates as a support service to front line service delivery. As such any reduction in capacity and capability could have an effect on how well front line services are procured and managed unless appropriate steps are taken to prevent this happening.

ON OTHER ORGANISATIONS / PARTNERS

The Procurement Centre works collaboratively with a number of external organisations and partners. A reduction in capacity may affect the team's ability to engage with other organisations and partners.

ON OTHER PARTS OF THE COUNTY COUNCIL

The Procurement Centre is a support service, the primary aim of which is to deliver effective contract outcomes, most notably the delivery of contracts which support the delivery of high quality services and savings delivery. Any reduction in capacity within the team should reflect the overall Redefining Your Council approach to prevent any reduction in the level of service on offer to departments.

In terms of alignment to the strategic objectives of the authority, any reduction in capacity to deliver quality services to residents and ability to continue to generate savings at the current level and beyond needs to be fully considered.

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate / adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

There is a risk that the level of financial support and advice provided to the Council will not be sufficient unless appropriate safeguards are taken. As such this is seen as the maximum that can be safely reduced.



Option Ref

A20

1. Service Area

Finance and Procurement

2. Option Title

Shared service for Internal Audit

3. Summary of Option

To save £75,000 by sharing the cost of the Internal Audit service with other Nottinghamshire authorities.

4. Rationale / Evidence Base for the Option

A number of other county councils / unitary councils have developed a shared internal audit service. The potential benefits include improved resilience, sharing of staff and expertise, potential to win new work, broader experience for staff and lower oncosts by reducing the number of heads of internal audit. The option would improve economies of scale by managing resources across a broader base.

Audit Lincolnshire and Veritau (North Yorkshire and City of York) provide potential models.

5. What Will the Outcomes of the New Service Be?

The outcome of the new service will be a similar service to the current service, managed locally but with the potential to share a head of internal audit with the City / district councils. For the service, there is potential to generate additional income by selling more services to keep costs at a reasonable level by improved economies of scale.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS
£000

503

NET
£000

366

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	75	0	75
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	75	0	75

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

20.5%

7. Estimated Implementation Costs

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	25	0	0	25

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?				13.7
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	2015/16	2016/17	2017/18	2.0
	0.0	2.0	0.0	

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

Risk of reduced engagement by internal audit with service users and communities as a potentially “arms-length” organisation provides the internal audit service. Audit coverage likely to go down to reduce cost. Reduced support could lead to increased error and fraud, unless appropriate steps are taken.

ON OTHER ORGANISATIONS / PARTNERS

Reduced internal audit cover will require additional steps to be taken to prevent error, fraud and risk.

ON OTHER PARTS OF THE COUNTY COUNCIL

Reduced internal audit cover will require additional steps to be taken to prevent error, fraud and risk.

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate / adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

There is a risk that local councils will fail to agree promptly on the set-up of a shared service. This will be mitigated by engaging in early discussion.

Due to reduced internal audit cover, systems might fail, resulting in undetected poor service, error and fraud unless appropriate steps are taken. Risk to internal audit cover will be mitigated by continuing to focus work on higher risk areas.



Option Ref	A21
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1. Service Area	Finance and Procurement
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2. Option Title	Savings from the recent re-tender of the Council's banking contract
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3. Summary of Option

To realise savings of £62,000 as a result of the successful re-tender of the Council's banking contract following the withdrawal of The Co-operative Bank from involvement in providing banking transmission services to Local Authorities.

4. Rationale / Evidence Base for the Option

Tender completed and savings identified. Contract began at end of September 2014, although savings in 2014/15 have been set aside to meet costs of implementation of new provider.

5. What Will the Outcomes of the New Service Be?

Continued delivery of banking service to existing/improved standards.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	124	NET £000	124
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	62	0	0	62
LESS Loss of Income	0	0	0	0
LESS Costs of Reversion	0	0	0	0
NET SAVING	62	0	0	62
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				50.0%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

0.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

2015/16 2016/17 2017/18

0.0 0.0 0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

Changes from existing provider will affect the majority of schools. Transition and communication plans have been implemented to minimise disruption.

ON OTHER ORGANISATIONS / PARTNERS

None

ON OTHER PARTS OF THE COUNTY COUNCIL

Transition and communication plans have been implemented to minimise disruption.

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate / adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

None identified.



Option Ref A22

1. Service Area ICT Services

2. Option Title ICT Licences

3. Summary of Option

To save £80,000 by rationalising the number of Oracle licensed databases used by the County Council during 2014/15, basing the contract on computer processors rather than user numbers.

4. Rationale / Evidence Base for the Option

The transferred databases will run on Microsoft SQL and are covered by the existing Enterprise Agreement licence that we have.

5. What Will the Outcomes of the New Service Be?

There will be no reduction in service to users as the databases will simply be run from a different technology platform.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS	<input type="text" value="767"/>	NET	<input type="text" value="767"/>
£000		£000	

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16	2016/17	2017/18	TOTAL
	£000	£000	£000	£000
Gross Saving	80	0	0	80
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	80	0	0	80

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

0.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18
	0.0	0.0	0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

None

ON OTHER ORGANISATIONS / PARTNERS

None

ON OTHER PARTS OF THE COUNTY COUNCIL

None

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Oracle has undertaken a licence compliancy audit in 2014 and they have confirmed the proposed licence model and budget reduction based upon our planned usage.

Compliancy audits remain an ongoing risk and we have experienced three related Oracle audits in the last five years. The audits use software to scan all of our Oracle licence usage over a period and compare this with the terms of the licences we have procured.



Option Ref A23

1. Service Area ICT Services

2. Option Title Telephone Network

3. Summary of Option

To save £70,000 by removing the existing ISDN lines at 15 office sites and routing voice calls through the recently installed broadband network.

4. Rationale / Evidence Base for the Option

The broadband ICT network is now sufficiently sized and designed to enable voice calls to also be routed in this way and this has been proven at pilot sites.

5. What Will the Outcomes of the New Service Be?

There will be no service change to end users. Telephone calls will be made in the same way using the same handsets, but the voice traffic will be delivered to the County Hall switchboard via the ICT broadband connection rather than through the separate and dedicated telephone connection (ISDN line).

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	70	0	0	70
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	70	0	0	70

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

0.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

2015/16	2016/17	2017/18
0.0	0.0	0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)
None

ON OTHER ORGANISATIONS / PARTNERS

None

ON OTHER PARTS OF THE COUNTY COUNCIL

None

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

There is no perceived greater risk from telephony calls being delivered over the ICT broadband network than the current ISDN telephone network. A pilot project has proven the technology solution. 'Quality of Service' will be deployed at these sites to partition some of the broadband bandwidth so that it is dedicated for voice calls.

All sites currently lose access to ICT services if the site based broadband connections or telephony connections fail. The services that run over the ICT broadband network are designed to be resilient as far as is practicable in order to avoid service outages.



Option Ref

A24

1. Service Area

Property Services

2. Option Title

Joint Venture for Property Services

3. Summary of Option

To secure a commercial Joint Venture (JV) for Property Design, Construction and Maintenance and related services in order to improve value for money and manage financial risks to the Council.

To create a public sector Combined Property Unit (CPU) for property and estate management services over the next two to three years.

4. Rationale / Evidence Base for the Option

1. Executive Summary of Key Points

Why the status quo is not sustainable?

- Projected significant decrease in the capital programme that provides a source of design and operational work
- Potential significant rationalisation in the property estate
- Need for continuous improvement through changes in the way services are commissioned and managed.

Is there any ability to make *reasonable* additional short-term savings?

- No - there have already been significant budget reductions in recent years
- Limited maintenance budgets for the estate are spent mainly on keeping buildings safe and operational, and essential building works
- Budget provision for the maintenance of the estate is already insufficient for the size of the property estate and backlog of maintenance. Consequently further reductions would only result in higher costs in the future
- Chartered Association of Public Finance Accountants (CIPFA) value for money comparison show excellent performance amongst the benchmarked groups - there is limited scope to improve further with the current service delivery model
- Design staff are mainly fee earning with their costs covered by the project. Therefore staff reductions do not create a revenue budget saving.

Why is a JV solution being proposed?

- Provides increased flexibility to respond to peaks and troughs in work demand
- An opportunity to bring in commercial expertise
- Flexibility to adopt more dynamic processes and procurement routes
- Creates an opportunity to invest in developing the services.
- There is the potential to provide job security for a highly skilled and professional work force
- Has the potential to retain knowledge and experience of Council's staff.

Why is a JV commercial partner preferred?

- Commercial experience and expertise
- Ability to invest
- Removes many of the barriers associated with public sector working practices and processes.

Key Benefits:

- Case example, Worcestershire from its JV anticipate overall financial savings of around 25%
- Reduced accommodation need
- Potential for reduced project costs
- Providing job security
- Exporting skills which are in high demand: engineers, quantity surveyors. There is likely to be strong demand from the commercial sector which should result in a competitive service offer.

Why have a CPU and not a JV for the remainder of the service?

- There is no direct synergy between some property service activities eg valuers, strategy officers and architects - not one solution is suitable for all
- A CPU between public sector partners supports the drive by central government to have joined up asset management, one estate, one service
- Less immediate need for change - a CPU will take time to set up, property rationalisation will follow a similar time line.

2. Background Detail

Current Service Delivery Offering

The Property Group provides two distinct services to the Council:

- (i) A core support function that is necessary for the management of the portfolio
- (ii) Design and delivery of capital and revenue programmes for the Council

The services are delivered in the context of:

- The value of the Corporate Estate: £1.2 billion
- The strategic land-bank: Over £200 million
- There is a diverse portfolio of 900 sites and over 13 m square metres of floor space
- Running costs of portfolio: £40 million annually
- The capital and revenue programmes for the Council amount to in excess of £40-50 million on average annually.

A significant proportion of the Group's work is aligned with supporting services going through transformational change; identifying property need and property solutions. The importance of this role has been highlighted by the Council's decision in 2013 to consolidate property staff from across the organisation into the property group.

Summary of Recent Changes:

During the last four years the group has experienced a period of rapid change and downsizing with the number of staff reducing by over forty posts. Savings have been achieved amounting to almost £2 million when work for its services have been increasing, most notably through:

- Large capital investment in Schools Capital Refurbishment Programme (SCRCP) of £90m over a four to five year period
- Basic Need programme for additional school places of £68m over a four to five year period
- The need to maximise asset value through land allocations
- The need to achieve high levels of capital receipts to support financial planning
- The need to ensure that properties are safe to use
- Improved asset management planning

The Group has increasingly commissioned services from private and public sector partners. A key partner is Faithful and Gould who have been commissioned to provide project management, quantity surveying and design solutions linked particularly to education programmes. The value of these works amount to circa £100 million over a four to five year period.

The Council also accesses the regional/national framework contracts for design and construction services from the commercial sector. In-house maintenance service also delivers nearly £7 million of works for the Council as well as private sector partnership with Nottinghamshire based company, Woodheads.

Review of Service Performance

During December 2013 a detailed Value for Money exercise was commissioned which was undertaken by CIPFA and reviewed in detail the property service provision against 22 other benchmarked authorities. The findings were generally excellent across most of the 60 + indicators.

With the launch of Redefining Your Council, the property group held a series of workshops during May 2014 undertook a SWOT analysis with property staff on the current service delivery model. This was supplemented by visits to Warwickshire and Worcestershire who were identified by CIPFA as undergoing transformational change.

Summary of findings:

- Internal systems and procedures can inhibit productivity
- There is a need to have flexibility with staff resourcing to respond to change
- There is no 'one size fits all' solution for each part of the property group
- There is an established professional skill base particularly amongst quantity surveyors and architects that is recognised and is marketable
- Joint venture arrangements in various guises were identified as offering potential for improvement
- The operational unit should have the capability to seek trade outside of the public sector domain.

Property Strategy & Estates Management – Rationale/Evidence

- The Statutory obligations are adequately addressed eg in relation to the control of asbestos, legionella etc and the portfolio is maintained to an acceptable standard
- It is unlikely health and safety requirements will decrease in nature in future years
However, over time as the property estate gets smaller, less resources would be

required to monitor and manage

- In terms of maintaining the estate, a recent report to Finance and Property Committee identified the challenges the Council faces in sustaining the property estate at its current size. There is limited scope for budget reductions in the foreseeable future
- A strategic management function is required to ensure that property meets service needs, enhancing asset value and facilitating efficiencies for example via identification of co-location opportunities
- As the Council seeks to progress transformational change the demand required to support this process will increase, particularly in relation to asset management planning both at a corporate and service level
- At a time of severe budget pressure it is important that asset values are maximised and buildings are optimally used
- The work associated with the future size and shape of the property estate and the connection it has with ways of working programmes means that it will be extremely difficult to accurately predict current need during the next three years. The likelihood is that extra demand will arise to manage the transformational change process. However, in the longer term, a smaller estate will mean a lower demand for this nature of activity.

Proposal:

Bearing in mind the significant reductions and changes in the staffing levels over the past five years and other factors outlined above, there is little scope for realising significant savings over the next two years or so.

In view of the foregoing, it is recommended that a CPU option with other public sector bodies is fully explored. This has the potential to deliver significant financial and operational benefits to the Council and also has the potential to create an innovative public sector joint venture in the region.

Design, Construction & Maintenance

- Direct works operations which provides the Council with an in-house capacity to undertake design and maintenance services for the Council's capital and revenue programmes
- These services have a proven track record of undertaking works promptly to high quality/standards and at competitive cost. However, these are heavily reliant on departmental spend and suffer from issues associated with identifying a consistent and steady flow of work. These issues are likely to become more extensive as programmes contract
- In addition to the above, the Council relies heavily on external framework contracts and external contractors to undertake design and construction services to deliver capital and revenue works for the Council. This includes for example, SCRP, Basic Need and Refurbishment programmes. This area accounts for approximately 80%+ spend of the Council
- A JV will also help to mitigate redundancies that will arise as programmes decline
- Given the declining and variable works programmes and financial challenges facing the Council, it is considered an opportune time to radically change the service delivery model. This will be underpinned by robust commissioning and contract management in order to improve VFM and mitigate the impact of volatile programmes
- Fundamentally, the main reasons why a commercial JV is a preferable option are twofold. Firstly, there is a shortage of suitably skilled and experienced design/construction staff with a track record in the public sector, and as a result this

group of staff are highly sought after by the sector, looking for growth in business. Secondly, for the sector having exclusivity of services to a well-known public sector client like NCC is a significant strategic acquisition even though volume of work is not guaranteed.

Proposal:

In recognition of the above it is proposed that a commercial sector JV be established. This has the potential to deliver significant savings to the Council in the cost of capital and revenue funded building programmes.

5. What Will the Outcomes of the New Service Be?

- A property service that can maintain full support to the Council and departments at a time of key transformational change
- A change to a more dynamic design and operational service that can better respond to changing demands where professional expertise is fully exploited
- An establishment of a longer term 'road map' for joined-up service provision that should provide for reduced staffing costs for partners involved; a service that can respond to varying demand and is able to utilise specialisms embedded within existing resourcing structure.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	10,114	NET £000	6,280
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	0	0	0
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	0	0	0	0
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?	0.0%			

Sizeable savings (up to 25%) are anticipated from the Design, Construction and Maintenance Services JV. These projections are based on a recent procurement exercise by a comparable County Council who have transferred all the services to a private sector partner. This is due to a fundamental shift in the way projects are delivered with a shift to design and build solutions, removal of management/non-fee earning posts as a consequence of integration of the service with the private sector partner, and economics of scale. In other words, savings arise from a fundamental change in the way the services are procured and delivered.

Further savings will emerge from the implementation of alternative ways of working and property rationalisation. These are yet to be quantified.

Note – the above savings are additional to £1.036m envisaged in the existing business case as a part of the 2014 budget.

7. Estimated Implementation Costs

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	50	50	0	100

Note: Only indirect costs incurred relating to procurement and legal support. It is important to stress that external implementation/procurement costs are expected to be minimal because standard procurement routes that are readily available.

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE				131.0
	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0	0.0

Note: No staffing reductions are anticipated but approximately 70FTE staff will transfer into a JV and CPU under TUPE arrangements

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

No negative impact. Consistency of service delivery during a period of significant change and longer term improved access to specialists and quicker response times

ON OTHER ORGANISATIONS / PARTNERS

No negative impact. Potential for greater sharing of services and promotion of joined up asset management

ON OTHER PARTS OF THE COUNTY COUNCIL

No Negative impact. There may be some sensitivity on losing direct control over the service delivery

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate / adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Securing a JV partner: The objective will be to achieve staff transfer security, and provide an improved service delivery at reduced cost. Risks in relation to service transfer to a JV are minimal and can be effectively managed through good commissioning and contract management.

Loss of staff during transition period: Changes will cause anxiety amongst staff and this may result in an increasing loss of experienced staff. However, with a proven JV partner provide a degree of certainty over job security.

The extent of ways of working programme scope and property rationalisation: The level of property service support is inextricably linked to changes in property and accommodation need. The extent of change is unknown at this stage. It is important that as the Asset Management Plan for NCC is developed that there is a parallel review of the level of property service that is required to support it.



Option Ref	A25
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1. Service Area	HR
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2. Option Title	Redesigned HR service offer
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3. Summary of Option

The retention of in-house corporate HR and Health and Safety functions with a revised service offer; mixed economy for provision of occupational health services and commissioning learning and development activity and increased generation of income through services sold to schools.

Retaining the in-house corporate HR and Health and Safety functions, with external commissioning of some specific activities, will provide best value for money reflect the Council's organisational priorities to support the transformation programme.

It is recognised that this needs to be in the context of a new Service Offer that reconfigures capacity to reflect the future workforce priorities of the Corporate Leadership Team and political administration as set out in the Workforce Strategy.

This option will best ensure that the Council is able to deploy its people in a legal, safe and efficient manner and develop their skills, knowledge and abilities to provide innovative, value for money, quality services to the citizens of Nottinghamshire.

A number of activities delivered by the service are statutory in nature. This includes the requirement for a nominated competent person under health and safety legislation; the provision of safeguarding training in schools; the provision of other training including for qualified social workers and under the Mental Capacity Act; provision of advice in relation to disability and ill health under the terms of the Local Government Pension scheme.

The current in-house model generates considerable income through sold services to schools and other external customers and there is potential to expand on this.

Operational /Strategic HR:

- The HR service has delivered the required savings year on year with significant staff reductions and has developed an integrated service delivery model to maximise capacity with reduced resources.
- In the first year current capacity is retained to enable and support organisational and service review; the implementation of change and wider transformation.
- The HR Operational service remains responsive to customer needs and has proved to be sufficiently flexible to enable the continuing delivery of a quality service. However, managers continue to receive support in areas where there is an expectation they self-serve and the future in-house offer will need to support and enable managers to do more of their own people management. HR would continue to provide advice on the most complex casework but focus

resources on preventative and developmental work.

- The current Business Partner model needs to reflect the changing strategic priorities and move away from low value operational support to more creative strategic human resource management which is concerned with longer term people issues and encompasses issues of organisational structure, quality, culture, values, commitment and matching resources to future need.
- HR has maintained a significant market share in the service sold to schools and academies. Further income could be generated but would require the development of greater commercial skills and an open dialogue with schools about the true cost of the service. Charging continues to be geared towards maintaining business whilst moving towards a full cost recovery model.
- There is the potential to offer the service to districts and boroughs as they too seek to make required savings. There is also the opportunity to sell to third sector organisations some or all of the support and advisory package and in some cases to provide ad hoc advice to service users or their families employing people through personal budgets.
- Bespoke packages or additional services could be offered to in-house services on a pay as you go model but this would be very difficult to determine demand and to resource accordingly.
- Decisions are required on whether the new service offer is universal or whether there will be the option for internal services to buy more if they pay more.

Workforce and Organisational Development: (see current business case)

- A re-modelled, integrated, corporate, in-house service.
- A realigned service offer which reflects current organisational workforce development priorities.
- In-house advice and expertise to support corporate and departmental talent management and workforce planning priorities.
- Delivery of corporate priorities to support organisational transformation and culture change.
- Hybrid model of provision of commissioned and directly delivered learning and development activity and learning materials (eLearning) which support departments workforce transformation needs.
- Potential for greater synergies with the strategic HR function moving forward.

Occupational Health (OH):

- Considerable cost efficiencies have been driven out from Occupational Health already.
- Continued delivery of in-house Occupational Health service providing professional clinical advice including reasonable adjustments to support effective absence management and management of risk (HAVs, Hep B vaccinations, audiometry, workplace risk assessment) - helps protect the County Council from potential litigation.
- Advice to support decisions in relation to the Local Government Pension Scheme.
- Occupational Health service continues to contribute to strategic employee wellbeing agenda (recognised as high quality by Wellbeing at Work gold level award).

- Continue to provide employee counselling through an external provider.
- Directly employed professionally qualified Occupational Health Nurses and administrative support.
- Continue existing contractual arrangements with existing OH Doctors.
- Reduce property cost /overheads.

Corporate Health and Safety:

- Continued delivery of a centralised Health and Safety service in house.
- The Health and Safety service has been reviewed and redesigned to maximise manager enablement.
- Fulfil role as ‘competent persons’ requirements under Management of Health and Safety at Work Regulations.
- Provision of advice and support via business partnering approach enabling health and safety compliant service delivery.
- Exploit opportunities for income generation in new markets via training and advice - particularly with academy trusts.
- Support services with appointment and monitoring of service delivery partners ensuring health and safety compliance.
- Closer working with departmental personnel with safety roles i.e. Catering and Facilities management and highways coordinators to avoid duplication.
- Staff cost saving by use of agency for short cover periods rather than permanent appointment of advisors in vacant posts.
- The need to retain sufficient resource was highlighted by the recent BSI corporate audit inspection.

Both Occupational Health and the Health and Safety services are now operating at the minimum level needed to retain the viability of an internally delivered service.

4. Rationale / Evidence Base for the Option

Operational /Strategic HR:

- The retention of the in-house model enables the knowledge and experience of the services within the County Council and in schools to be utilised to shape the future services to be delivered by the Authority or to support change to new operating models be they in-house or outsourced. It may be that this is an interim arrangement to be reviewed once services have undertaken the necessary transformation.
- Schools, particularly primary schools, have expressed a desire to remain with the service that provides unique synergies with other services delivered by the County Council and which can provide ‘a one stop shop’ for them which enables them to maximise their management capacity.
- The business partner model has ensured that the service has retained service specific knowledge whilst ensuring that skills and knowledge are transferred across the business partner cohort so that there is always appropriate cover.
- The development of capacity to generate income will enable funding of additional strategic work to further enhance the offer to both services and schools/academies.

Occupational Health (OH):

- The current in-house model has been rationalised to provide maximum value for money.
- Doctors rates are very competitive and reflect their long standing professional relationship with the County Council.
- Customer satisfaction has improved.
- Waiting times for appointments are minimal.
- Currently income is generated through sold services to schools and other external customers – including charities, voluntary sector and a small number of external schools. There is considerable potential to increase this and some interest has been expressed from non-Nottinghamshire districts in buying the County Council's OH service
- Accreditation against Safe Effective Quality Occupational Health Service (SEQOHS) standard pending.
- Savings of around £47,000 to be made on property cost through move to a County Council owned property

Corporate Health & Safety:

- Service already aligned to business needs and corporate (BS OHSAS 18001) safety management system managed by in-house safety team.
- Team performs integrated functions difficult to outsource e.g. advice and support to Risk Safety and Emergency Management board.
- Current budget estimate forecasts 14/15 savings.

5. What Will the Outcomes of the New Service Be?

A focus on :

- High level, technical advice to managers.
- Creative and strategic human resources management with a focus on workforce planning and talent management.
- Further streamlining of HR key policies to improve accessibility and ease of manager application.
- Update and review of the Manager's Resource Centre to improve accessibility and encourage usage.
- A greater commercial focus to maximise income generation.
- Compliance monitoring.
- Core Service Offer for all.
- Customer choice – menu of extra service inputs that can be "bought".
- HR Business Partner model further developed to deliver new Service Offer.

Occupational Health:

- Maintenance of close links with HR sickness absence management caseworkers and County Council managers from a knowledge base that understands the operational need of the Authority's services ensures absence levels remain stable/improve.
- More sold services.
- This option represents the best value for money.

Corporate Health and Safety:

- Maintenance of corporate safety management system to OHSAS BS18001 standard.
- Balanced approach to risk management with focus on risk prioritisation.
- Focus on health and safety compliance monitoring of service delivery partners and supply chain as the authority adopts differing service delivery models or commissions services.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 **6,857** NET £000 **2,071**

Excludes 5% vacancy rate and income

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	184	0	184
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	184	0	184

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET? **8.9%**

There are no additional anticipated savings immediately arising from the interim service model for 2015/16 – other than those set out in previous business cases or those which follow from the impact of changes to front line service delivery and operating models. Potential savings from reductions in the HR resources required if alternative delivery models are progressed for significant areas of front line services will be factored in as these decisions become clearer.

During 2016/17 as the HR Business Partner model is further consolidated it is likely that there will be further staffing reductions with associated redundancy costs, the value of which is difficult to estimate at this stage.

Levels of buy back of services by schools have fluctuated up and down in recent years but overall remained stable. This Option assumes income remains the same or is increased to deliver greater efficiency and economies of scale.

7. Estimated Implementation Costs

There are no capital costs and no immediate revenue costs arising from the implementation of this Option – see 8 below

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

There are no anticipated additional staffing reductions immediately arising from the interim service model for 2015/16 within his Option other than those set out in existing business cases or due to changes in operating models for front line services resulting in reductions in the level of HR resources required. During 2016/17 as the HR Business Partner model is further consolidated it is likely that there will be further staffing reductions with associated will be redundancy costs, the value of which is difficult to estimate at this stage.

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

88.3

2015/16 2016/17 2017/18

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

0.0 8.0 tbc

8.0

***NOTE 11.3 fte reduction in current business case = 77 fte by 31.3.15**

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

Improved Service Offer enhances quality of people management advice and support to managers with knock on positive impact on service users

ON OTHER ORGANISATIONS / PARTNERS

Potential increase in the level of services sold and number of organisations able to access HR services. Improved business continuity and breadth of available HR experience to draw on.

ON OTHER PARTS OF THE COUNTY COUNCIL

Improved service for NCC managers once the new model has bedded in.

Greater efficiency and economies of scale.

Improved business continuity and breadth of available HR experience to draw on.

10. Initial Equality Impact Assessment

The future changes would not impact disproportionately on staff with any particular protected characteristic.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risks:

- Lack of management compliance and potential reaction from managers who already feel under pressure in their roles as this will be viewed as additional work for them
- Lack of management buy in to new model; the principle of increased self-service and integration of strategic support functions
- Lack of strategic HR capacity to support organisational change through workforce development
- Under developed commercial acumen amongst HR staff
- Duplication of roles and responsibilities emerging in departmentally based workforce development roles
- Potential risk to reputation if managers get things wrong due to perceived lack of support

Mitigations:

- Ensure senior management buy in to the new Service Offer – consultation with Leadership teams
- Up skill and reskill HR Business Partners and managers within the businesses/services at all levels to respond to operate in context of the new model including account and contract management
- Realign HR resource to ensure appropriate balance of capacity engaged in workforce development activity to deliver organisational transformation needs
- Clearly define roles and responsibilities.
- Take the opportunity to improve the knowledge and skills of managers to effectively manage people and consequently improve service delivery – initial input of the Leadership Development Programme.



Option Ref A26

1. Service Area

Business Support Centre

2. Option Title

Maintain an in-house service and explore the opportunities to sell services to other organisations

3. Summary of Option

To continue to provide all of the Council's transactional financial and employee services in house; whilst generating additional income by selling the services to other organisations.

- Continue to provide all of Nottinghamshire County Council's employee and financial transactional services in house.
- Increase income generated through an increase in sold services including:
 - Payroll Bureau – schools, academies and other external bodies, also consider providing new services such as payroll payovers
 - Disclosure and Barring Services (criminal records checks) – the County Council currently provides an on line DBS service to a range of external customers, with appropriate marketing this service could be offered to any organisation requiring criminal records checks
 - Recruitment and Advertising Service
- Continue to provide support, maintenance and development of the Business Management System (BMS)(SAP) system and other technology to deliver further efficiencies through automation and new technology.
- Alternative Service Delivery Models such as shared services and outsourcing should continue to be reviewed and developed whilst the in house model delivers its three year savings and efficiencies programme.

4. Rationale / Evidence Base for the Option

- All savings should be driven out, ensuring that transactional activities are as lean as possible. The Business Support Centre (BSC) savings plan will reduce the overall BSC budget from £4.635m(2013/14) to £2.935m a total saving of £1.7m by 2016/2017, with a further projected saving of £300k in 2017/2018 – please see table for breakdown.

BSC Budget Savings Profile			
Financial Year	Savings	Net Budget	Comment
2013/2014	-	£4.635m	
2014/2015	£1m – delivered	£3.635m	Delivered through staffing restructure across all teams, consolidation of admin and clerical activities in a BSC central Business Hub and a range of Lean + projects
2015/2016	£500k – planned	£3.135m	To be delivered through staff reductions and implementation of new systems and functionality.
2016/2017	£200k – to be planned	£2.935m	To be planned, potential multi skilling of staff across different BSC disciplines.
2017/2018	£300k - projected	£2.635m	Delivery is dependent upon NCC fully complying with all the BSC business processes.

This will deliver a total net savings of £2m, 43% of the 2013/2014 net budget.

- The in-house provision could be sustained until the rest of the Authority settles into its future state and therefore the full scope of future transactional activity is understood. During this time work would continue to review and further develop options for outsourcing and the development of shared services.
- Retaining the in-house provision will also ensure that the County Council is able to continue to deliver value for money and good quality services for schools which they value and trust.
- Retaining the in-house provision will provide the County Council with the opportunity to properly develop alternative service delivery models.
- BSC would continue to provide a flexible transactional service for the County Council, responding to emergency requests without additional cost to departments.
- Continued development of the BMS system providing new functionality and further automation of business processes will enable further savings to be driven out by departments. Eg the deployment of mobile applications to frontline workers allowing a review of the Business Administrator role within departments. This would enable the Authority to ensure it has maximised its investment in the BMS system.
- All savings should be driven out, ensuring that transactional activities are as lean as possible before outsourcing so that no additional costs are incurred.

5. What Will the Outcomes of the New Service Be?

- The BSC will continue to provide an efficient, effective and flexible transactional service controlled by Nottinghamshire County Council.
- The BSC will maintain and continue to increase income generated through sold service provision including:
 - Payroll bureau
 - Disclosure and Barring Service
 - Recruitment and Advertising Service.
- Continue to develop the BMS system to drive out the Authority's return on investment through increased automation and implementation of new functionality such as mobile applications, to support the delivery of further savings across the County Council.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS £000	4,786	NET £000	3,648
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WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	*	*	300	300
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	0	300	300

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

8.2%

* Please note that the BSC Outline Business Case (October 2013) details the BSC savings for 2014/2015 of £1m, 2015/2016 of £500k and the 2016/2017 savings of £200k.

Projected net savings in 2017-2018 of £300k on a net budget of £2.935m. This would give a total budget saving of £2m since 2013/2014.

Please note that the projected net saving for 2017/18 of £300k is dependent upon the County Council fully complying with all the BSC business processes. For example Non-compliance across the County Council of the requirement for a purchase order, exemption or a County Council named contact on invoices costs the BSC Accounts Payable team £72k or 3.38 FTEs. If this does not happen the BSC will be unable to deliver the 2017/18 savings.

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

SAP development costs will be incurred for the implementation of any new functionality. Figures to be confirmed.

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

187.0

	2015/16	2016/17	2017/18
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	19.5	*	*

19.5

BSC Staffing Reduction

Financial Year	Headcount Reduction	Opening Headcount	Comment
2013/2014	-	215	ESC plus Finance & Procurement Department teams "lifted and shifted" into the BSC and the establishment of new teams (Competency Centre and Accounting and Clearing House) for BMS go live – November 2011
2014/2015	28 FTE – delivered	187 (1/4/14)	Delivered through BSC restructure across all teams; consolidation of admin and clerical activities in a central Business Hub.
*2015/2016	19.5 FTE – planned	167.5 (1/4/15)	Planned to be delivered through staff restructure following and implementation of systems such as e-recruitment; further review of payroll teams; transfer out of Police Pension Administration.
*2016/2017	X FTE – to be planned	To be confirmed	To be planned by multi-skilling of staff across different disciplines.
*2017/2018	X FTE - projected	To be confirmed	Delivery is dependent upon the County Council fully complying with all the BSC business processes.

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

Increased efficiency, reduced costs, reduction in duplication and waste, more joined up approach to customers with increased customer satisfaction overall. Impacts are anticipated to be felt equally across all customers.

ON OTHER ORGANISATIONS / PARTNERS

Improved service delivery, more efficient, reduced cost, waste etc in respect of sold services and organisations for whom we provide a service. Higher levels of self service and compliance with processes and procedures are likely to be required from external and internal customers. This may impact on the level of sold services and income generated.

ON OTHER PARTS OF THE COUNTY COUNCIL

- Improved transactional service delivery, efficiency and value for money in terms of the County Council's day to day operations.
- Reduced levels of debt and timescales for recovery.
- Prompt and efficient payment of suppliers within terms.
- Positive impact on NCC reputation.
- Impact on managers, employees and schools in terms of new processes and ways of working – increasing self-service will impact on workloads and roles elsewhere in the Authority.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risk Impact of the decision to implement alternative service delivery models for other NCC services e.g. outsourcing, joint venture may result in a reduction of transactional activity to be undertaken by the BSC as these services may transfer to other providers.

Mitigation – BSC scales down its operation in line with all remaining transactional activity and or increases sold services to fill the gap.

Risk Non-compliance with processes and procedures by the business.

Mitigation The BSC will be unable to deliver its full savings plan if the County Council does not fully comply with agreed processes and procedures.

Risk Increase volume of sold services without the capacity to support the increase

Mitigation Resources to market, customer management etc required

Risk Care Act - the County Council does not fully understand the impact of the Act and how this may impact on the recovery and enforcement of monies owed and the resources required as guidance on the Act is still emerging from Government

Mitigation Develop and implement a Debt Recovery policy to cover the specifics of the Care Act. Ensure that the County Council's resources, plans and redesigns debt recovery processes accordingly.



1. Service Area	Legal Services
2. Option Title	Ongoing development of digital improvements to Legal Services procedures
3. Summary of Option	
<p>To save £850,000 over the next three years by maximising opportunities to use digital technology to streamline legal procedures.</p> <p>Legal Services has already implemented its primary digital operating model. This “core” approach to working digitally throughout the service has involved development of unified file / naming protocols, electronic filing and the removal of paper based case systems and processes</p> <p>The Service has introduced the use of twin monitors, digital scanning solutions sending post to every officer’s electronic post box each day, as well as the introduction of specialist software enabling the transmission of large digital file sizes which existing NCC systems have traditionally restricted. These changes, coupled with a “leaning” of child protection procedures have already begun to deliver significant savings from the peak cost of Legal Services two years ago.</p> <p>Having established this “digital backbone”, Legal Services is now fully able to explore further benefits and efficiencies of operating digitally. These include a range of measures:</p> <ul style="list-style-type: none"> • Trialling electronic court bundles in court: working collaboratively with the courts to trial the use of completely electronic court bundles using secure email technology for the transfer of this sensitive data, together with electronic tablet devices to view these bundles in court. If the trial proves successful this will remove the cost of printing off multiple court bundles of hundreds of pages and the costs of secure courioring across the County to courts, legal practices and judges in advance of the court hearings. • Video conferencing for regular meetings: introducing this technology will dramatically reduce the need for multiple journeys for routine liaison with clients and potentially the courts in future. Time spent travelling, cost of journeys and the need to transport sensitive data are all removed by using this technology. • Use of electronic signatures to enable all paperwork to be managed totally electronically without incurring costs for printing, manual handling and postage. • Further streamlining of office finance and administration procedures. Archiving and storage facilities will bring the office to an almost paperless state. <p>All of these measures will play an active contribution in reducing cost and will enable the in-house team to retain more work, reducing costs further and increasing efficiency and effectiveness.</p>	

As a consequence of having streamlined the way in which the service works, the necessary staffing changes have been implemented in respect of childcare proceedings. The service continue monitoring expenditure but the latest data shows that external spend in this area has declined significantly with the number of child protection cases sent externally reducing by over 90% during the last nine months.

4. Rationale / Evidence Base for the Option

There is firm evidence to show that outsourcing is only likely to increase costs on a major scale due to the significant difference between private sector hourly charges and those of the in-house team: (£50-97 in-house, compared with £90-£185 in the private sector).

As a consequence of our digital strategy the service has seen ongoing reductions in spending on :

1. Agency staffing costs
2. External legal costs
3. Stationery costs
4. Parking and mileage costs

The rationale for continuing the development of this digital strategy is to harness the full potential of the solution to provide ongoing savings which have been clearly demonstrated through the work done so far.

5. What Will the Outcomes of the New Service Be?

1. A faster, more responsive service
2. A more efficient practice
3. Reduction in wasteful and inefficient practices
4. Reduction in administrative support that is required
5. Reduction in external legal fees/costs in respect of child protection cases
6. Reduction in operational costs associated with physical document production, transportation and ongoing storage costs
7. By equipping staff with the essential tools to work effectively and remotely, the service is able to consider further office rationalisation proposals quickly and effectively.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	4,554	NET £000	4,436
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	500	200	150	850
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	500	200	150	850
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				19.2%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16	2016/17	2017/18	TOTAL
	£000	£000	£000	£000
Capital Costs	40	0	0	40
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

53.0

	2015/16	2016/17	2017/18
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	2.0	2.0	2.0

6.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

Client services will continue to receive the same quality and responsiveness of legal advisory service as they currently do. As clients themselves become more digitised in the way they work, the opportunities for further efficiencies across the wider organisation are enhanced.

ON OTHER ORGANISATIONS / PARTNERS

By collaborating with the courts and other partners there is more likelihood of further efficiencies being identified improving the perception of the Council within those organisations.

ON OTHER PARTS OF THE COUNTY COUNCIL

Same as for service users.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

There is minimal risk involved with these proposals. The impact on staffing levels is low and can be managed effectively within the service. The greatest risk lies in delays in implementation of the technologies proposed, either due to resistance from external partners or from other internal support priorities. However, considerable savings are still envisaged from the work already underway and from ongoing improvements to systems and processes.



Option Ref		A28
1. Service Area	Customer Service Centre (CSC)	
2. Option Title	To retain the Customer Service Centre inhouse and identify new opportunities to develop the services on offer	
3. Summary of Option		
<p><i>To further develop the in-house customer service model by driving out further efficiencies; improved customer service; increased use of digital channels and generation of income</i></p> <p>This option will seek to drive out further efficiencies within the service, to further develop/implement self-service via the web whilst continuing to provide customer service from the existing centralised Customer Service Centre (CSC). The ongoing development and efficiency programme will include:</p> <ul style="list-style-type: none"> • Further technology enhancements to deliver efficiencies • A continuation of the Lean+ work already underway with service areas to strip out waste, hone and improve processes • Progression of the Digital Development programme around self-service, enhancement to customer journeys and the implementation of channel shift enablers • Extending the services provided to include the enquiry handling from new access channels including Webchat, SMS, social networking, email and whitemail • Extending the knowledge of staff so they are able to improve first call resolution, preventing the need for more costly professionals picking up these enquiries. <p>This will achieve a further £200,000 savings (approx.)</p>		
4. Rationale / Evidence Base for the Option		
<p>This builds on the work already undertaken and planned within the current business cases. Progress since 2009 to date is set out below:</p>		

	2009/10	2010/11	2011/12	2012/13	2013/14	2014/15 (forecast)	
Budget	£5.63m					£3.42m	
Cost per contact	£12.22	£8.94	£5.84	£5.07	£5.03	£4.85	
						60.3% reduction in cost per contact	
Average enq's/month	21,860	23,924	43,121	57,492	55,333		
Total enquiries	262,320	287,093	517,456	689,903 **	664,003		
VOLUMES						253% volume increase	

** 40k impact from Concessionary Travel renewals during 12/13

Continuing with the provision of customer service in-house and in-house improvements will provide the following benefits:

- 'Front Door' control is retained in-house
- Customers, staff and services will be unaffected as there is no change and therefore no potential for disruption in service
- There will be no loss in terms of intellectual property/knowledge as trained and developed staff are retained
- There will be no impact to the service delivered and therefore no potential to adversely impact reputation
- More channels will be made available for Nottinghamshire residents with the development of the website, online transactions, SMS and social media.
- Agility and flexibility to change will not be affected
- There is no change to service areas, the CSC now has well established communication/contact channels with service areas, these will be unaffected

5. What Will the Outcomes of the New Service Be?

The service will continue to improve service provision if this option is chosen. To continue with Digital First, channel shift enablers and current development plans will mean:

- Continued positive reputational impact through good service provision
- Customer confidence and trust levels will be retained
- Customers will continue to use what is known to them already and not have to learn new contact numbers and processes
- It will be easier for customers to raise issues and request services as more channels will be in place to do so (right channel/right people/right time).

- It will be easier for customers to self-serve on the website
- Channels will not be closed for customers, there will still be a choice and this ensures fair and equitable access to services for all residents
- Customers continue to get the service they are used to and tailored approaches are used to meet their needs
- Customers will see improvements to service as the 'joined up' and One Council approach to service delivery continues
- Customer feedback will be unaffected.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	3,486	NET £000	3,425
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WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	*	*	200	200
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	0	200	200

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?	5.8%
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*See service summary for current business case savings =£370k

Income

It is anticipated that through the County Council's provision of a commissioned telephone service for some district Council's an income stream can be achieved. This needs to be fully investigated.

7. Estimated Implementation Costs

The implementation costs will be met through current project delivery work streams.

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

8 FTE reduction overall. * Previous business cases for 2014/15 onwards identify further reductions in staffing of 15.5 fte

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

111.0

2015/16 2016/17 2017/18

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

0.0 0.0 8.0

8.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

- Improved access to frontline services, ability to self-serve and increased customer satisfaction.
- Reduced cost.
- Consistent approach to customers with consistent standards - one front door.
- Improved customer focus, feedback and customer information.

ON OTHER ORGANISATIONS / PARTNERS

- Improved access to Nottinghamshire County Council and information, services and advice.
- Improved levels of satisfaction and reputation of Nottinghamshire County Council with partners, business etc.
- Potential for closer working and sharing of access to services - reduced waste and duplication, increased efficiency and potential savings for partners.

ON OTHER PARTS OF THE COUNTY COUNCIL

- Increased customer satisfaction and improved reputation for Nottinghamshire County Council.
- Reduced costs of access to services and basic service provision, freeing up professional and technical expertise and resources for complex service delivery and to meet complex needs.
- Supports the delivery of cashable and non-cashable benefits in departments and frontline services.
- Potential for generation of income.

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

No

11. Risks and Mitigating Actions

Risk: There is the potential that staffing could be reduced to a level that will not be able to provide the support required from frontline service areas. If other service reviews are built upon the CSC delivering more of the service through the 'front door' then savings or transformation could be reduced.

Mitigating Actions: Service areas need to be made aware that there is no capacity at the CSC to absorb work and should therefore ensure that resource funding at the CSC is included/deducted within the estimated savings at the planning stage.

Risk: The savings are predicated on the delivery of the Digital Development Plan and that customer demand decreases as a result of additional self-service channels being available to them. Should this not be the case additional staff may be required to manage increasing volumes at the CSC.

Mitigating Actions: Ensure that tight controls are implemented with delivery of the Digital Development Plan. Marketing and Communication will be required to ensure customers are aware of self-service options. System (CRM) integration is included as part of the ongoing development work to ensure there are true savings to be had within back-office functions.

Risk: With less centralised control over service access it is difficult to maintain consistency of service standards from the Council's and partners' perspectives.

Mitigating Actions: We need to ensure adequate standards and consistency of customer service are maintained by the robust application of agreed customer service standards and best practice and maintenance of a degree of control/influence over how services are provided.



Option Ref	A29
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1. Service Area	Communication & Marketing - Document Services (Graphics/Print/Scanning/Mail and Distribution)
2. Option Title	Review of the in-house Document Services team
3. Summary of Option	
To review the operation of the Document Services team, including the graphics, print buying, document scanning and mail and distribution services to deliver savings worth £430,000 over three years.	
4. Rationale / Evidence Base for the Option	
<p>This option is to diversify and expand the managerial control of business functions, to ensure that the projects processed through this group of in-house services are aligned to the organisation’s priorities. It builds on the foundations and successes already achieved in order to meet the organisation’s fluid business requirements and deliver savings and service improvements across the whole organisation.</p> <p>The security, confidentiality, quality, accountability, flexibility and economics of providing services in-house are some of the key benefits. Critically, this option increases the savings of current programmes of work and adds more savings from new stems of the business.</p> <p>What we know :</p> <ul style="list-style-type: none"> • On-line and Off-line services will co-exist for many more years. • Multi-channel communications offer opportunities to deliver communications effectively and efficiently, particularly to our ‘hard to reach’ groups. • The mantra of going paperless has now been downsized to what is perceived to be an achievable goal of “paper light”. Online services market researcher International Data Corporation (IDC) states that last year, worldwide page volume from digital printers fell just 1% to 3.09 trillion pages and it predicts small gains in volume through 2015, even in the U.S. where tablet alternatives are having the most impact. • Nothing cuts through the digital clutter like print • During 2007 to 2010 print jobs that were not managed by trade specialists were typically 20% more expensive. • Unmanaged 2009/10 back office print costs were £1,600k • Our holistic approach to printing, management and governance has reduced costs in the back office by 40% and more can be achieved. • Unmanaged incoming and outgoing mail costs hundreds of thousands per year. Research suggests that organisations that manage their mailing activity efficiently have reported savings of between 19% and 40%. 	

- Unmanaged 2013/14 fax associated costs estimated at £400k per year. Research suggests that organisations that manage their fax environment efficiently will achieve significant savings and service improvements.
- In 2010/11 the independent review of our trading services summarised this group of services as Low-Med Cost / Med-High performance. Regular benchmarking and customer surveys suggest that this assessment of the services has improved further.

5. What Will the Outcomes of the New Service Be?

A number of benefits that stem from this proposal include:

- Simplified service delivery – a ‘one-stop-shop’ for all document solutions to provide more integrated service delivery options and greater synergies.
- Full and accurate control of costs by in-house management – keeping things simple, conserving management time and ensuring local accountability.
- Full financial control and managerial control so that the projects processed through the in-house team are aligned with the organisation’s priorities.
- Greater security and confidentiality and reduced risk of compliance failure.
- Reducing costs across the whole organisation – supporting all services to achieve and contribute towards meeting their objectives.
- Quality based on clear understanding of branding, logo and corporate standards and procedures.
- Ability to shift resources quickly to tackle local needs and any emergencies.
- Opportunities to generate more external income – diversification will open up new revenue streams.
- Any surplus/profits can be retained within the organisation.
- Effective governance for all fax, scan, copy, printing, mailing and distribution activity for the whole organisation.
- Incremental value-added services, including online capabilities, mail operations, multi-channel and customised communications and the ability to cost-effectively explore new options and alternatives for delivering internal and external communications.
- Less errors and greater customer satisfaction by replacing manual, error-prone processes with automatic classification, separation and data extraction.
- Professional, personalised mail is processed faster and reaches customers sooner.
- Free up office space and quieter, cooler offices with less office-based equipment.
- Staff can print and send mail from any County Council computer.
- Digitalising offline material and electronic document storage and cataloguing will reduce physical storage space required for the whole organisation, improve efficiency and improve document retrieval efficiency.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving*	175	346	293	814
LESS Loss of Income**	-77	-153	-153	-383
LESS Costs of Reversion	0	0	0	0
NET SAVING	98	193	140	431

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

* Cross Council savings / ** Redefining the Council and channel shift outcomes est. drop of 25% income.

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	133	0	0	133
*Revenue Costs	0	22	22	44

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18	
	2.0	2.0	0.0	<input type="text" value="4.0"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

- No negative impact identified.
- The proposal also includes the capability of direct marketing which makes it easier for the Council to be closer to its customers and business partners while simultaneously reducing costs and enhancing the customer experience.
- Professional, personalised mail is processed faster and reaches our customers sooner.
- A stronger, more consistent corporate identity enables people to recognise and access Council services and shows public accountability. This group of services are pivotal to the governance of the corporate brand, ensuring consistency and quality

ON OTHER ORGANISATIONS / PARTNERS

- No negative impact identified.
- For the external customers the transformation simplifies service delivery and provides more integrated service options – keeping things simple conserves management time.
- This option will open up new opportunities to support other organisations/partners.

ON OTHER PARTS OF THE COUNTY COUNCIL

- No negative impact identified.
- Document Services are centralised services directly supporting other Council services, therefore this option directly supports savings across the whole organisation, particularly with the reduction of resources (human and financial).
- Reduced waste and energy costs will contribute towards the Council’s green agenda.
- Quieter, cooler offices with less office-based equipment needed
- A more efficient service at a lower fixed and operating cost resulting in lower recharges.
- Print, mail and fax anywhere from any computer convenience.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N) N

11. Risks and Mitigating Actions

Risk	Relative Impact	Relative Likelihood	Mitigation	After mitigation
Resistance to culture change.	2	3	<ul style="list-style-type: none"> • Senior management approval of strategies. • Communications to staff. • Stakeholder engagement and buy in. 	1
Delays – support from the appropriate services such as finance, ICT and procurement are required to deliver this proposal.	5	3	<ul style="list-style-type: none"> • Senior Management buy in, approval and commitment of resources to each project. 	2

Relative Impact: 1 – 5 (1 being Insignificant and 5 Catastrophic)

Relative Likelihood: 1 – 5 (1 being rare and 5 Almost Certain)



	Option Ref	A30
1. Service Area	Communications and Marketing	
2. Option Title	Reductions in Communications and Marketing	
3. Summary of Option		
To deliver a new Communications and Marketing strategy. A revised staffing structure will be introduced saving £125,000. Running costs of the marketing function will be reduced by £75,000 over a three year period and an invest to save marketing model will be piloted.		
4. Rationale / Evidence Base for the Option		
<p>A new strategy focuses on delivering three main outcomes:</p> <ul style="list-style-type: none"> • Increased satisfaction with the Council • Income generation • Cost avoidance <p>In order to deliver the strategy a revised staffing structure has been put in place (which will save £125,000) The structure includes a number of revised posts that will remain in the permanent structure alongside some fixed-term resource to deliver the Digital First project which will drive and support transformation across the Council.</p> <p>In addition the Marketing budget will reduce by £25,000 a year for three years and some resources will focus on cost avoidance by testing an invest to save marketing approach where this makes most sense to do so.</p>		
5. What Will the Outcomes of the New Service Be?		
<p>The demand on Communications and Marketing will increase over the next few years as it supports the wide-scale transformation taking place across the Council – more than two-thirds of the existing Options for Change highlight the need for additional communications support.</p> <p>The main outcomes of the new service will be:</p> <p>Reduction in avoidable costs</p> <p>Effective communications can have a significant effect on achieving behavioural change that results in the reduced reliance and associated costs (e.g. road safety, older people’s independence). It can also stimulate service take-up which again results in reducing future avoidable cost (e.g. recruitment of foster carers and adoptive families). The following are just a couple of examples where avoidable costs have been realised during 2013/14:</p>		

Fostering and Adoption: During 2013/14, 47 foster carers and 65 adoptive families were successfully recruited. Over a period of one year, this resulted in a cost avoidance of £3.1m. The longer term avoidance figures for adoption are estimated at £31.5m. The Return On Investment (ROI) for this campaign was for every £1 spent on promotion, £110 was saved in cost avoidance.

Road Safety: In 2013, the Ditch the Distraction campaign is estimated to have avoided £7.6m of costs for traffic management and other associated costs following a traffic accident. The ROI was for every £1 spent, an estimated £14k was saved for the taxpayer in cost avoidance.

Maximisation of income generation

The focus has been largely on identifying and selling advertising opportunities across Council assets (publications, website, lamp post banners etc.) and promoting the sponsorship of Council events (e.g. Robin Hood Festival). Policy Committee approved targets to generate income of £48k in 2015/16 and £72k for the following years.

The promotion of Council services also supports services to generate income through increased take-up or increased trading, just a few examples of this include:

Events: Christmas at Country Parks marketing activity contributed to generating £52,921 income in 2013 through sales of tickets, meals and car parking. The ROI was for every £1 spent, £13.54 income was generated. Robin Hood Festival 2013 marketing resulted in 100% visitor increase (from 25,000 visitors in 2012 to 50,000 in 2013) and £160,094 income (9.15% increase compared to £146,671 income in 2012). The ROI for this campaign was for every £1 spent, this generated £26.61 income.

School Meals: In 2013/14, an additional £466k was generated from the previous year through the promotion of the school meal service with subsequent increase in take-up (1.6% increase in primary school meals and a 3.6% increase in secondary school meals). The ROI was for every £1 spent, £9.32 income was generated.

Delivery of service income and cost avoidance targets

Outline business cases from across the Council have identified areas where communications and marketing activity can have a direct impact in generating income and avoiding costs. Examples of this include: supporting the Registration Service target to become cost neutral by increasing service take-up; incentivising the take-up of green waste collection which would deliver savings of £200,000; promotion of fostering and adoption service to deliver savings of £8.9m; promotion of existing services for older and disabled residents (e.g. HPAS, Shared Lives) and new initiatives that enable people to live independently and plan their finance; support the target of full cost recovery for school meals which is a £26m business.

Increased Customer Satisfaction

Targeting the main drivers of resident satisfaction is a key theme of the Communications and Marketing Strategy 2014-16. While there are many drivers of this corporate measure, the LGA has identified the three most influential ones: how informed people feel, the value for money perception that residents have about the

Council and, finally, how able people feel they can influence decision making. Taking a strategic approach has led to satisfaction levels increase from 40% in 2010/11 to 58% in 2013/14

Digital Transformation

In addition, the service is leading the Digital First project which has six work streams that will deliver a number of specified outcomes over the next 18 months:

1. New digital infrastructure
2. New public website (design, content and structure) that will work on mobile devices (visitor from mobile now exceed 50%)
3. Customer journeys – most transactional services will be moved to digital delivery saving time and resource while increasing customer satisfaction
4. Improved employee engagement tools (intranet, apps etc.)
5. Review, consolidation and refresh of microsites
6. Review of the use of social media across the authority

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	2,155	NET £000	1,815
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	174	25	25	224
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	174	25	25	224
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				12.3%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?				32.0
	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	6.0	0.0	0.0	6.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

This option for change would mean that the focus of current activity would focus on the three main elements of the strategy (customer satisfaction, income generation and cost avoidance) while at the same time delivering the digital transformation at the authority.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

No

11. Risks and Mitigating Actions

None identified



Option Ref	A31
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1. Service Area	Corporate Strategy Group
2. Option Title	Centralising information management, performance and data functions
3. Summary of Option	
<p>To review and centralise areas of performance management work that have not already been brought together and to centralise the Council’s work on information management as part of the Complaints and Information team. These changes will result in savings of £185,000.</p>	
4. Rationale / Evidence Base for the Option	
<p>In 2013 the Council adopted a Strategic Management Framework setting out its approach to strategic planning, performance management and service commissioning. Redefining Your Council reinforces the need to further integrate and improve the rigour of our performance management and benchmarking to support short and long-term decision making.</p> <p>As part of the performance management and benchmarking programme the Council will review and bring together as appropriate performance, data and analysis resources that have not already been centralised resulting in efficiency savings.</p> <p>Information Management deals with the creation, storage, access, protection and lifecycle of information and data. This work is currently undertaken by a number of services across the Council. There is increased scrutiny from the Information Commissioner as to how this work is managed and the Commissioner has imposed some large fines on public bodies (including Councils) that breach the Data Protection Act.</p> <p>It is recognised that the Council needs to improve/develop some areas of its information management work to be compliant with statute. The proposal to centralise information management in the Complaints and Information Team will support the achievement of this through rationalising these strands of work and streamlining their management and implementation of these functions. The functions that will be brought together are: FOIA; access to records work (Subject Access Requests) data security breaches; implementation of the Transparency Code and responsibility for the Publication Scheme; support to the Information Management Group and Information Delivery Group; acting as the central point of contact with the Information Commissioner’s Office; Retention of Records guidance and Information Asset Register.</p>	
<p>Page 127 of 322</p>	

5. What Will the Outcomes of the New Service Be?

- The decision-making of the Council, services and partnerships is informed by timely, assessed information on risks, performance, pressures, customers, demand, benchmarking, costs, best practice, government and council policies, provided through a single intelligence and benchmarking hub, enabling the council to respond consistently to emerging requirements and manage performance risks to customers, outcomes, reputation and resources.
- The performance of the Council, services, strategies and key partnerships is analysed, assessed and reported to enable timely intervention, challenge, transparency and improvement and to enable the council to meet statutory reporting and data collection requirements from government and inspectorates.
- The Council maintains effective processes for strategic and strategy planning, service commissioning, service reviews and continuous improvement that enable priority outcomes to be achieved and best use to be made of limited resources. Services have the tools and are supported to plan, assess and performance manage their service as part of a single approach with specialist advice, analysis and quality assurance.
- Members, partnerships, leadership teams, services and managers can access analysis and dashboards providing information from Council and partner systems through an intelligence and benchmarking hub. Analysis of performance, benchmarking, pressures, demands, risks, best practice, government and council policies, satisfaction, performance, customer and research data, forecasting and projections on the County's population, social condition and economy is provided through commonly managed databases, data management practices, consistent technical reports, profiles, graphics and mapping.
- Centralisation of information management will ensure that the Council focuses on meeting the requirements of government in a more focussed and strategic manner. The new service will agree and deliver a programme of work in relation to information governance arrangements and improvements; ensure SARs are completed consistently and in a more timely way (90% in timescale); ensure a consistent approach to breach reporting, investigation and accountability; progress work on the Transparency Code and improving the Publication Scheme.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	25	160	0	185
LESS Loss of Income	0	0	0	0
LESS Costs of Reversion	0	0	0	0
NET SAVING	25	160	0	185

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

Note: The level and means of delivery of the savings in 2016/17 is subject to the outcome of the proposed review set out within this option for change.

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18	
	0.0	tbc	0.0	<input type="text" value="0.0"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

- Improved access to information on the Council's website
- Improved external reporting of performance for Members / public

ON OTHER ORGANISATIONS / PARTNERS

- No reduction in service for key partnerships – increased resources to be available through flexible demand management
- Partnership gain improved access to wider range of information and analysis as part of a wider 'hub'
- Good practice from existing community safety hub to be shared and widened into new intelligence and benchmarking hub (within information sharing agreements)

ON OTHER PARTS OF THE COUNTY COUNCIL

- Savings of time spent on information management work in legal services and social care locality teams.
- Changes in resourcing should ensure all statutory return / data collections maintained
- Key departmental reporting priorities to be maintained
- Senior Leadership Teams to be advised or reallocation of resource with regular review of restructure risks to ensure properly mitigated

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)	N
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11. Risks and Mitigating Actions

Risks are being managed through the performance and benchmarking programme but include mitigating possible impacts on statutory returns, audit and inspection during any service change.



SUMMARY PROPOSAL

		Option Ref	A32	
1. Service Area	Democratic Services			
2. Option Title	Staffing Reduction in Democratic Services			
3. Summary of Option				
To reorganise the administrative and research support to the ruling group.				
4. Rationale / Evidence Base for the Option				
By reducing the number of staff by 1 FTE in the group secretariat and increasing the hours of the temporary research and administrative officer post (from 18.5 to 26 hours), it will be possible to provide more cost effective, flexible and appropriate support to the group. Within the Members and Civic Services budget this will provide a net reduction of approximately £17,000				
5. What Will the Outcomes of the New Service Be?				
Continued service delivery for support to the ruling group within a more adaptable framework.				
6. Projected Net Savings to the Budget				
WHAT IS THE PERMANENT BUDGET?	GROSS £000	760	NET £000	743
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	17	0	0	17
LESS Loss of Income	0	0	0	0
LESS Costs of Reversion	0	0	0	0
NET SAVING	17	0	0	17
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				2.3%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

3.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18
	1.0	0.0	0.0

1.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES (incl. considerations relating to vulnerable people and communities & equality)

None – the services will continue to be provided as required

ON OTHER ORGANISATIONS / PARTNERS

None – the services will continue to be provided as required

ON OTHER PARTS OF THE COUNTY COUNCIL

None – the services will continue to be provided as required

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Any reduction in staffing may create an additional burden on existing staff within the group support team. The increase in hours for the temporary research and administration officer role will provide added flexibility and cover to meet necessary service demand. Impact will be monitored and additional cover will be available as required from within PPCS department should the need arise.

Consultation Category B - Options for Change

Reference	Portfolio	Title	Committee	Equality Impact Assessment required and undertaken
B01	Adult and Health	Review of Intermediate Care services	Adult Social Care and Health	Yes
B02	Adult and Health	Handy Persons Preventative Adaptation Service	Adult Social Care and Health	Yes
B03	Adult and Health	Short Term Prevention Services	Adult Social Care and Health	Yes
B04	Adult and Health	To create a single integrated safeguarding support service for the council	Adult Social Care and Health	No
B05	Children's and culture	Early Years - Service and contractual efficiencies	Children's and Young People	Yes
B06	Children's and culture	Special Educational Needs and Disabilities (SEND) Home to School Transport	Children's and Young People	Yes
B07	Children's and culture	Targeted Support and Youth Justice Cost Reductions	Children's and Young People	No
B08	Children's and culture	Children and Young People's Sports and Arts - Service redesign including arm's length operation	Children's and Young People	Yes
B09	Children's and culture	Integrated Family Support Model	Children's and Young People	Yes
B10	Children's and culture	Arts Development Service - Staffing Reduction	Culture	Yes
B11	Children's and culture	Sports Development - Reduction of revenue funding	Culture	No
B12	Children's and culture	Rufford Abbey Country Park - Improve customer offer and reduce revenue costs	Culture	No

Consultation Category B - Options for Change

Reference	Portfolio	Title	Committee	Equality Impact Assessment required and undertaken
B13	Place and resources	Establishing an alternative service delivery model for the whole of the Highways Division	Transport and Highways	No
B14	Place and resources	Publicity and Transport Infrastructure	Transport and Highways	No
B15	Place and resources	Passenger Transport Facilities Charge	Transport and Highways	No
B16	Place and resources	Introduction of charges for the acceptance of non-Household Waste at recycling centres.	Environment and Sustainability	No

	Option Ref	B01
1. Service Area	Intermediate Care	
2. Option Title	Review of Intermediate Care services	
3. Summary of Option		
<p>This proposal is to review, redesign and deliver Intermediate Care services which prevent or delay people needing long term care home placements, thereby delivering savings of £1.6m.</p> <p>Intermediate Care services are primarily provided to older people who have temporary or longer term physical disabilities or who are frail and who would benefit from a period of rehabilitation following an illness. The services are currently provided by the Council and by NHS organisations. Through delivery of these services, the Council ensures that people receive the appropriate levels of health and social care services which mean they can be safely discharged from hospital following surgery or a period of illness. The services seek to help people to recover and regain their independence. These services can often delay or prevent people's need for long term residential or nursing care.</p> <p>There are emerging joint social care and health projects within the three Clinical Commissioning Group areas of planning (south, mid and north Nottinghamshire), which are seeking to define future integrated service models for Intermediate Care (IC), Reablement and other hospital discharge services.</p> <p>It is proposed that within these models Nottinghamshire County Council maintains the following principles when defining future services:</p> <ul style="list-style-type: none"> • Prioritise funding for IC and Reablement services which can evidence avoidance of or delay in the need for social care packages, including residential care • Target service to those who would benefit most from it • Focus on avoiding care home admission and hospital admission where possible, as well as hospital discharge • Significantly reduce the number of admissions into long term care directly from hospital <p>The aim is to design a new, integrated service model, which will assure partners that the savings can be delivered from further reductions in residential care and intensive support packages.</p>		

4. Rationale / Evidence Base for the Option

Intermediate Care and Reablement are not statutory services however they are regarded as an evidence-based preventative service. There are a number of national and local research projects and evaluations which have generally shown the positive outcomes of Intermediate Care and Reablement Services in terms of older people (and cost savings for both health and social care services) e.g. 'Half-way Home', produced by Department of Health in 2011, and National Audit of Intermediate Care 2013.

This option proposes that Reablement services are considered as part of the wider definition of Intermediate Care. The National Audit of Intermediate Care (2013) identifies the following four categories of Intermediate Care services:

- i) Crisis Response Service (predominately staffed by health professionals);
- ii) Home Based Intermediate Care Service (predominately staffed by health professionals with some Local Authority (LA) funded paid carers)
- iii) Bed-based Intermediate Care Service (predominately staffed by health professionals with some LA funded paid carers)
- iv) Reablement Service (predominately LA funded social care professionals)

The National Audit of Intermediate Care (2013 report) also highlighted the opportunity for Reablement services to become more integrated with the whole Intermediate Care system. In particular, diversity of provision was identified as a key theme, which identified concerns about fragmentation of services, potentially unclear routes in and out of services and lack of economies of scale.

Due to the way in which services have developed over time, Intermediate Care funding is currently disproportionately allocated across localities. Reviewing the budgets would provide the opportunity to ensure the resources are allocated more equitably across the county.

5. What Will the Outcomes of the New Service Be?

The aim of the new integrated Intermediate Care services will be to support people to quickly regain their independence following a health crisis whenever possible.

Promoting people's independence and maintaining people living in their own homes through community based intermediate care services will reduce the need for residential placements, and high cost care packages.

A bed based intermediate care service could be used as a hub around which a more integrated Reablement service could be developed. This would offer both home based Reablement in the community as well as the option of an accommodation based service for those requiring it.

The review of these services will enable the Council to deliver a more flexible and responsive service. It will provide an opportunity to reconfigure staffing and operating models so that it is able to deliver 7 day working or longer hours.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	1,600	0	1,600
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	0	1,600	0	1,600

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	52	0	0	52

- 1FTE Project Manager @ Band D

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

2015/16 2016/17 2017/18

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

0.0 0.0 0.0

No additional social care staff reductions are planned, above those already agreed in former savings proposals.

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

- It is anticipated that the service will become more flexible and responsive, including through extending the hours of service
- The aim of the service is to support people's recovery and to help them regain their independence following a period of illness or a stay in hospital. The services can often delay or prevent people's need for long term residential or nursing care.

ON OTHER ORGANISATIONS / PARTNERS

- The review of the Intermediate Care services is being undertaken in partnership with Clinical Commissioning Groups. This should help avoid duplication and overlap thereby making the services more efficient.

ON OTHER PARTS OF THE COUNTY COUNCIL

- Clearer pathways to more joined up services - less duplication

10. Initial Equality Impact Assessment

Older People are the main users of this service, and would be most affected by a reduced service.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

Risk: The remodelled service and plan is not able to deliver the required £1.6m savings.

Mitigating Action: Detailed modelling and forecasting will be undertaken over the next 6 months together with Clinical Commissioning Groups to identify any risk/s and to put in place measures to minimise risk.

Risk:

The public and wider stakeholders will perceive the funding reductions negatively.

Mitigating Action: Clear communications with the public and wider stakeholders on the efficiencies being delivered and the ability to divert people away from long term residential care.

Risk:

Further reductions to residential care placements are not achieved and therefore the required level of savings is not achieved.

Mitigating Action: Review of funding to current intermediate care services if reductions cannot be made to long term care budgets.



Option Ref	B02
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1. Service Area	ACSH – Strategic Commissioning
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2. Option Title	Handy Persons Preventative Adaptation Service (HPAS)
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3. Summary of Option

It is proposed that the Handy Persons Preventative Adaptation Service (HPAS) partnership is reviewed and redefined, including seeking a proportionate financial contribution from Clinical Commissioning Groups to support the highest area of growth for HPAS, which is referrals to support hospital discharges, specifically to fit key safes rapidly.

Current Operating Model:

The Handy Person Adaptation Service (HPAS) is a highly used and highly valued service which aims to help people live safely and independently in their own homes through arranging:

- essential minor adaptations, such as installing grab rails, second stair rails, and half-steps. Individuals are asked to pay a contribution of £15 towards trader fees for adaptation work. Up to £250 worth of adaptations can be supplied and fitted in a single job.
- small practical jobs, such as fixing and fitting curtain rails and window locks, putting up shelves and fixing trip hazards such as loose carpets. Individuals are asked to pay a contribution of £15 towards trader fees for handy person jobs. All materials need to be supplied for the job are paid for by the service user.

The work is carried out by professional traders from Nottinghamshire County Council’s [“Buy with Confidence”](#) register. They have all been approved by Trading Standards.

The £456,900 funding for the scheme is currently divided between partners as follows:

Nottinghamshire County Council	78%
District / borough councils	22%

The number of handyperson jobs has declined substantially over the past four years, whereas the number of adaptations has increased. Last year a total of 414 handyperson jobs were undertaken (standard and hospital discharge), compared to 2,929 adaptations (1,234 of which were hospital discharge adaptations).

The Supra C500 key-safe unit is the only material not exempt under the HPAS scheme or already covered by a client contribution where the cost may possibly be recouped.

During 2013/14 a total of 1,085 key safe units were fitted (at a cost of £92,272). Of these, 736 resulted from hospital or self-referrals for fast installation to support hospital discharge (at a cost of £65,000). The key safes enable both community health and social care staff to access people's homes to provide support for people who have difficulties in getting to the door themselves and/or who may be at risk of falling.

This hospital discharge element of the service was added to the original scheme following a successful pilot project. The pilot was initially funded by temporary joint re-ablement funds; however, no long term funding was added to the service to take on the additional work. Demand for this part of the service is now growing rapidly as more people are supported to return home earlier from hospital.

Options, including increasing the contribution from service users in line with other similar local schemes or increasing the contribution to achieve full cost recovery have been explored but discounted, as they would deliver minimal additional savings.

4. Rationale / Evidence Base for the Option

HPAS is a preventative service that people do not have to meet social care eligibility criteria to use. It is not a statutory service.

HPAS contributes to timely discharge from hospital through the provision of installation of key safes. It is of benefit to health partners as it is a low cost service that can assist in expediting safe discharges from hospital, HPAS is therefore a cost effective service.

5. What Will the Outcomes of the New Service Be?

The aim is to continue to deliver the same volume of service by seeking funding from Clinical Commissioning Groups (CCGs) for the elements that support hospital discharge. If funding cannot be secured, then this element of the service may be reduced.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	100	0	0	100
LESS Loss of Income	0	0	0	0
LESS Costs of Reversion	0	0	0	0
NET SAVING	100	0	0	100

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18	
	0.0	0.0	0.0	<input type="text" value="0.0"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

There should be no direct impact on service users or carers unless CCG partners are unable to contribute towards the key safe jobs, in which case, this element of service provision could not be maintained at its current level, which could impact on hospital discharges.

ON OTHER ORGANISATIONS / PARTNERS

Potential impact on CCG partners if the capacity for the fitting of key safes to support hospital discharge is reduced. This element of the service was added to the original scheme following a successful pilot project; it was initially funded by temporary re-ablement funds. Agreement would be needed on the method of CCG split of contributions; however, if this was equally divided between the six CCGs a relatively small contribution of £16,600 p.a. each would be required.

There are some other handy person schemes available in some areas of the county but they do not meet the quick time-scales required for hospital discharges. These services may incur increased demand.

ON OTHER PARTS OF THE COUNTY COUNCIL

N/A

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate / adverse or negative impact on people with protected characteristics. If health partners agree to contribute towards the cost of key-safe jobs, this proposal should not directly impact on service users or carers. However, if they do not, and this element of service is reduced, it would impact on clients of the key-safe service, which are mostly people aged 70 and over.

An Equality Impact Assessment has been completed in the event that there is no contribution from the health partners.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)	Y
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11. Risks and Mitigating Actions

There is a risk that health partners will not be able to contribute towards the cost of keysafe jobs.

However, CCGs are highly supportive of all schemes which support people to be discharged from safely from hospital and which prevent unnecessary delays. Discussions have already been held with health partners about jointly investing in services which have a positive impact on people and which prevent delays in hospital discharges.



	Option Ref	B03
1. Service Area	Strategic Commissioning – services for younger and older adults	
2. Option Title	Short Term Prevention Services	
3. Summary of Option		
<p>The County Council will invest in a short term prevention service for both younger and older adults. The aim of the service is to avoid people needing social care where possible, or stop existing social care needs increasing.</p>		
4. Rationale / Evidence Base for the Option		
<p>A review of the evidence base for different preventative interventions informed the current 2014-17 programme of savings. Services that show good outcomes for reducing the need for social care are already planned to re-focus on three key areas of Older People, Mental Health and Vulnerable Adults. This also redefines investment in services that will deliver the new Care Act prevention duties and priorities.</p> <p>It is proposed that:</p> <ol style="list-style-type: none"> 1. Social Care and Public Health jointly commission targeted, short term prevention support for both older and younger adults as one exercise and use this approach to help support a saving of £200,000. 2. The service will focus on the requirements of the Care Act and developing a sustainable service that is effective in preventing people requiring social care, or reducing the intensity of their needs. <p>Work undertaken with the Institute of Public Care last year has developed a set of indicators of when older people are likely to most require and benefit from the service. For example, someone who is aged eighty plus, with multiple long term conditions, living alone following the death of a spouse. This will be used to pro-actively target people most likely to benefit from the service. Work will also be undertaken to establish indicators for younger adults.</p> <p>Proposed Combined Older and Vulnerable Adult Prevention Support Service The following demographic information and the new Care Act duty to identify and prevent future demand for social care services and also prevention services have been used to inform this proposal.</p> <p><u>Evidence Base:</u> The IPC identified the following characteristics as indicators of likely future need for residential care (5 characteristics) or escalating social care needs (3) for older people.</p>		

Long term conditions	Life Events	Social Characteristics
COPD(Chronic Obstructive Pulmonary Disease) Stroke Diabetes Asthma Dementia Incontinence Learning disability Visual impairment Depression Limited mobility	Fall Death of spouse or friend Family move away Financial difficulty Sudden illness	Inappropriate or inaccessible housing Lives alone Limited social engagement Rural Over 85 Female Carer with own health problems Carer elderly

The targeted prevention support element of the service would be available only to people with at least two of the characteristics set out above (i.e. just short of escalating social care needs) and would, through the provision of very short term support (up to 6 weeks) aim to support people to continue to self-manage their independence.

Based on this, a combined early intervention and prevention support service has been designed. This combines Public Health resources (linked to Community Outreach Advisors) with social care budgets to commission one service that will deliver brief interventions to a broader population of targeted preventative support, as well as outreach work. The combined service will reduce duplication in service commissioning and delivery and create a more flexible and responsive service.

The brief intervention element of the service (Public Health funded) will initially offer up to two visits to address issues raised. The response will predominantly involve signposting to a range of organisations and services, including Department of Work and Pensions (DWP), energy advice services, Falls prevention team, Handy Persons Preventative Adaptations Service (HPAS), befriending services etc.

The outreach element will deliver the Care Act requirement to pro-actively identify people with prevention needs. A First Contact checklist will be completed for all contacts at this stage and where needs are more complex and people meet the criteria for a prevention support service, the service user will move to the next tier of service. At this point a more detailed assessment will consider needs in five core areas:

- Improving Health & Well-being
- Promoting Independence
- Social Connection
- Safe and Suitable Accommodation
- Improving Economic Well-being

It would be a principle of the service that, where services exist elsewhere that could deliver individual outcomes sought; people should be signposted to that service. The same work will now be completed in respect of the target population of vulnerable adults

and the interventions that will be most effective in addressing their risks to independence, in order to inform the new service.

Opportunities for more integrated commissioning are being explored. The involvement of the District Councils in this work is also being sought. Contact is being pursued with the CCG areas in the county for similar discussion.

The intention is to have new services in place by late summer 2015.

5. What Will the Outcomes of the New Service Be?

Service level outcomes:

The high level outcomes sought from the new service will be based on the core objective of reducing demand for social care services and include:

- identifying people at risk of becoming eligible for social care services before a crisis emerges
- addressing key issues that evidence shows contribute to the escalation of social care needs
- supporting people over a short period of time to continue to self-manage.

Service user outcomes:

At an individual level, the needs of service users will vary. Outcome measures will be developed to measure impact of the service on individual service users, across five support areas:

Improved health and wellbeing:

This might be achieved by referring people to health services, supporting access to health management information or falls preventing exercise, offering healthy lifestyle advice or advising on improved home security.

Promoting Independence:

This might be achieved by the development of new skills or finding new ways to manage daily tasks. Where possible, informal support solutions might be found from within communities.

Social Connection:

This might be achieved by supporting people to engage in their local community, build stronger networks of family and friends or through referral to befriending services.

Safe and suitable accommodation:

This might be achieved through referrals for adaptations or equipment, support to carry out repairs or housing options advice.

Improved economic well-being:

This might be achieved through support or referrals on benefits advice or money and debt management.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	200	0	200
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	200	0	200

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18	
	0.0	0.0	0.0	<input type="text" value="0.0"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

The services are not yet in place; therefore a reduction to the budget can be made without loss of existing services.

ON OTHER ORGANISATIONS / PARTNERS

There are opportunities with partners to develop aligned or integrated services. The combining of services for both older and younger adults provides a better fit with ways that services for people with long term conditions are structured.

ON OTHER PARTS OF THE COUNTY COUNCIL

There is an impact for Public Health as this will be a jointly commissioned service.

10. Initial Equality Impact Assessment

This proposal will impact on people with the protected characteristics of age and disability. The aim, however, is to provide an improved, more effective service. The ability of the provider to offer an appropriate service across these groups will be monitored, in order to minimise any potential negative impacts.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED?

Y

11. Risks and Mitigating Actions

1. Risk that too great a reduction in prevention investment would result in higher expenditure in the longer term as people come to the door sooner and/or in crisis. The services will be targeted to enable more appropriate and timely support services.
2. There are many service providers currently working with either older people or vulnerable adults. This change will require the market to respond appropriately. This can be managed through market events and partnership/consortium bids.
3. Integration considerations add complexity to delivery and therefore a risk to the timescale delivery. Clear links with interdependent projects will minimise this risk.



		Option Ref	B04
1. Service Area	Safeguarding Adults		
2. Option Title	To create a single integrated safeguarding support service for the council		
3. Summary of Option			
<p>There are currently two separate boards overseeing the arrangements to safeguard the county’s adults and children from abuse and neglect. This proposal begins to explore how these boards can work more closely together to achieve greater effectiveness and efficiencies.</p> <p>Early discussions with partners would help to develop and shape this proposal for more collaborative working.</p> <p>By combining some of the functions and working collectively on common issues it may be possible to avoid duplication of effort and create a single support service for the county for all safeguarding matters</p> <p>Funding streams for the respective safeguarding boards are multi agency and no discussion has yet been had with partners jointly funding these arrangements. To ensure fair and sufficient contribution to overall safeguarding arrangements in the county, funding commitments to the service will need to be agreed with partners.</p>			
4. Rationale / Evidence Base for the Option			
<p>A more integrated approach to safeguarding adults and children’s boards has been achieved in other places.</p> <p>With the introduction of the Care Act, both the Adults and Children’s boards will have a statutory function and this provides a good opportunity to consider the possibility of streamlining resources and combining functions and budgets.</p> <p>There may be a reduction in the amount of independent chair time required by having one chair who could represent a joint agenda.</p> <p>Reconfiguring management and officer structures could create efficiencies through economies of scale.</p> <p>There may be opportunities for the amalgamation of some safeguarding functions and streamlining some approaches; for example some sub groups of both safeguarding boards may be combined creating efficiencies, avoiding duplication and further supporting the one council approach. Training could be commissioned and delivered to help staff safeguard children and adults. Currently there is separate</p>			

training to safeguard children and to safeguard adults, and also separate domestic violence training - all overseen by different boards with individual governance arrangements.

5. What Will the Outcomes of the New Service Be?

The Council will have joined up multi-agency safeguarding arrangements for children and adults, meaning the statutory functions of the two safeguarding boards will be fulfilled in a more effective way.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	Gross	569	Net	319
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16	2016/17	2017/18	TOTAL
	£000	£000	£000	£000
Gross Saving	0	70	0	70
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	70	0	70
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				21.9%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?				
	2015/16	2016/17	2017/18	TOTAL
	£000	£000	£000	£000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

This is still to be identified. To achieve the savings it is estimated there will be a reduction of 3 to 4 staff.

WHAT IS THE CURRENT PERMANENT FTE STAFFING?				8.0
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	2015/16	2016/17	2017/18	0.0
	0.0	0.0	0.0	

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

Implemented successfully, service users and communities would see a positive impact on service delivery.

ON OTHER ORGANISATIONS / PARTNERS

Partners would need to be fully engaged and in full agreement regarding any change to current arrangements.

Partners would see a demonstrably more joined up approach to safeguarding.

ON OTHER PARTS OF THE COUNTY COUNCIL

Adult Services and Children and Young People's Services would need to be equally committed to this approach. By adopting a joined up approach shared agendas should be easier to achieve, for both the Council and partner agencies. For example, the 'think family' approach and transitions between Children's and Adult Services.

10. Initial Equality Impact Assessment

It is not believed that the proposal will have a disproportionate / adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risk:1

Inequitable attention is given to either the Children's or Adults agenda in relation to safeguarding work and subsequent activities may reduce, potentially leaving one group at greater risk.

Mitigating actions:

Retention/appointment of staff and independent chairs from both services so that neither service is dominated by one agency/agenda.

Creation of new structures with clear terms of reference that are fit for purpose. Attention given to the management structure of any new arrangements to ensure they adequately reflect the work that needs to be undertaken.

Risk 2

The impact of the Care Act in relation to safeguarding adults' boards may not be fully understood and embedded.

Mitigating actions

The Care Act does not preclude integration of support to safeguarding boards or the joining of safeguarding boards' activity. Careful scrutiny will need to be given to any realignment to ensure compliance with the new legislation. By undertaking the work in 2017/18 this will mean the Care Act will have had time to bed down and be better understood and implemented.

Risk 3

There is a risk that service delivery levels would be affected by staffing changes.

Mitigating Actions

Careful and detailed planning and agreements over the next two years to scope out what could be achieved via integration with clear programmes for the work to be undertaken. Staff training will also be provided.

Risk 4

Uncertainty about how the arrangements would be viewed by partners and regulators and potential withdrawal of multi-agency funding.

Mitigating Actions

Early dialogue with partners to secure agreement and input to shape and refine the outline proposals.



	Option Ref B05
1. Service Area	Early Years
2. Option Title	Service and contractual efficiencies
3. Summary of Option	
<p>This option will deliver further efficiencies from work to support early years provision and through commissioned children's centre services.</p> <p>Children's Centre Services</p> <ul style="list-style-type: none">• Further development of integrated early childhood services: An established work stream will seek to redesign early childhood services together with partners including Public Health commissioning for health visitors and school nurses.• The Service will review and revise its core children's centre offer by targeting the delivery of children's centre services to families with children aged 0 – 5 years, with a specific focus on promoting good levels of child development for 0 – 3 year olds.• Both of these measures will contribute to staffing efficiencies.• In addition, by scrutinising the commissioned contract with Nottinghamshire Children Family Partnership (NCFP), further efficiencies will be identified (such as pension and resources costs). <p>Early Years Services</p> <ul style="list-style-type: none">• The Service will redesign the support provided to the Early Years sector through the Early Years Specialist Teacher team, with a view to developing a support model requiring reduced staffing, based around the development of Early Years Practitioner roles and multi-skilled teams.• The Service will develop a sold service to the early years sector for workforce development and support to improve quality. An Early Years quality brand will be developed with alignment and integration of early childhood services to promote quality provision and sold services	
4. Rationale / Evidence Base for the Option	
<p>This option builds upon the Service's current business case and retains the proposed levels of clustered children's centres with a redesign of the provision of services. This will help reduce further impact on families and communities and continue to support the development of an integrated Council early help offer.</p> <p>The reshaping of the Service's support arrangements for the Early Years sector reflects changing national policy in this areas (the 2, 3 and 4 year old early education offer) and changing regulatory/inspection requirements.</p>	

5. What Will the Outcomes of the New Service Be?

Children's centre services will continue to deliver high quality early childhood services, but will focus more on children and families who need support the most. Children's centre services will be better integrated with broader universal services such as health visiting, and will be promoted to the public under a single Early Childhood Services brand, to improve awareness and service uptake.

Support to the Early Years sector will continue to promote and develop high quality provision in settings for 2, 3 & 4 year olds.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 **17,224** NET £000 **16,681**

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	200	300	0	500
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	200	300	0	500

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET? **3.0%**

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

The implementation costs will be met through the current project being delivered.

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

21.5

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18
	0.0	5.0	0.0

5.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES (incl. considerations relating to vulnerable people and communities & equality)

Reshaped services will continue to offer effective support on a countywide basis for young children and parents/carers. Greater emphasis will be placed on the provision of services for those in most need of support/intervention.

ON OTHER ORGANISATIONS / PARTNERS

The integration efforts outlined in this Option For Change form will impact upon health partners and Public Health commissioned services such as health visiting. The commissioned partner for children's centre service delivery, NCFP, will also be affected..

The reshaping of Early Years Support arrangements will impact upon the early years provider network.

ON OTHER PARTS OF THE COUNTY COUNCIL

Service integration activity will be undertaken alongside Public Health commissioners.

10. Initial Equality Impact Assessment

An Equality Impact Assessment is updated and is a key part of the activity for delivering the current business case. The Equality Impact Assessment will be updated and amended to incorporate this option.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)	Yes
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11. Risks and Mitigating Actions

The majority of risks and resultant mitigating actions will be identified and assessed through the Equality Impact Assessment process.



Option Ref	B06
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1. Service Area

SEND Policy & Provision

2. Option Title

SEND Home to School Transport

3. Summary of Option

This option will make savings through the development of personal budgets for Special Educational Needs and Disabilities (SEND) home to school transport. The proposal is part of national SEND Reforms which require the County Council to offer personal budgets to families which will give parents greater choice and control when arranging school transport for their child. We will provide parents with support to manage their own personal budget.

Currently there are 972 young people who receive home to school transport. The vast majority of these attend Nottinghamshire special schools; others attend local mainstream schools or non-maintained, special schools. The budget for home to school transport is £5.331m, equating to an average cost of £5,484 per pupil. However, the cost per pupil can vary from circa £3 to £180 per day, or £570 to £34,200 per year based on 190 days of learning in an academic year.

The County Council is proposing to meet its statutory duties by offering a personal budget in place of the service in order to increase personal choice and flexibility to families whilst at the same time achieving savings for the County Council.

4. Rationale / Evidence Base for the Option

It is proposed to review current models of SEND home to school transport with the view to offering a personal budget to families through a resource allocation system (RAS), This will provide greater choice and control to parents by offering the following options:

- parents can make individual arrangements
- parents can pool resources to make joint arrangements
- third party facilitator can deliver transport on behalf of parents, for example a special school or charity.
- in exceptional cases where it is not possible to offer a personal budget, the County Council will retain a small contingency

The RAS would assess the value of the personal budget and allow the County Council to determine the size of the personal budget to be allocated to each family. The savings proposed will be made by limiting the overall size of the home to school transport budget over a two year period as shown in section 6.

The potential benefits of these options are:

- Increased personal control
- Increased flexibility
- An allocation system based on available funding

The potential difficulties include:

- Limited or lack of school and parent engagement
- Adverse effect on school attendance
- More vehicles arriving at school gates

The current expenditure for home to school transport is £5.331m. It is proposed that consideration be given to reducing the budget by 20% which will achieve savings of circa £1m.

5. What Will the Outcomes of the New Service Be?

- Parents will have greater control and responsibility for transporting their child to and from school through the allocation of a Personal Budget
- The council carries reduced employment, accommodation costs and other overheads, associated with the delivery of home to school transport.
- School communities increasingly shape the service available to them to match their local needs and priorities.
- Savings are realised by reducing the total transport budget available

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS
£000

5,332

NET
£000

3,597

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	200	300	500	1,000
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	200	300	500	1,000

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

27.8%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

The implementation costs would be met by the SEND Reforms Implementation Grant (circa £20K). Funds have already been earmarked to project manage this piece of work

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

0.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18
	0.0	0.0	0.0

0.0

There would be reductions to be realised from with travel and transport services; currently the level of reduction is not known.

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

There are potential benefits for families who are able to manage the responsibility of a personal budget; there may be some families where this arrangement is less likely to succeed.

ON OTHER ORGANISATIONS / PARTNERS

There will be an impact on existing contractors commissioned by NCC to provide home to school transport.

ON OTHER PARTS OF THE COUNTY COUNCIL

There will be implications for Nottinghamshire transport services, both in terms of staffing and operational practices. These will be explored further with Nottinghamshire Transport Services.

10. Initial Equality Impact Assessment

The provision of home-school transport is already targeted at a vulnerable group which is identified by their SEND. It is likely that the ability to be flexible will increase equality of opportunities rather than negatively reduce these.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

Risk: There is a risk that parents would refuse to opt for a personal budget and to arrange home to school transport for their child.

Mitigation Action: We will offer support for families during the process.

Risk: There is a risk that these changes might undermine pupil school attendance.

Mitigation Action: Arrangements will be put in place to monitor attendance.

Risk: There is a risk that arrangements for home to school transport fall outside of quality standards and monitoring arrangements.

Mitigation Action: Systems will be put in place to monitor suitability of transport arrangements, in order to ensure the safety and well-being of young people.

Risk: This innovative and radical proposal may not achieve the predicted level of savings, especially by 2015/16.

Mitigation Action: Management capacity and specialist financial advice will be made available to progress the project.

At worst, it is conceivable that there could be duplication in costs with administering transport arrangements if only a proportion of the school population take up the option of a personal transport budget.

	Option Ref B07
1. Service Area	Targeted Support and Youth Justice
2. Option Title	Targeted Support and Youth Justice Cost Reductions
3. Summary of Option	
<p>This option reduces staffing and programme costs for youth justice provision in the light of a significant and consistent decline in youth offending rates and anti-social behaviour attributed to young people in recent years that has led to increased capacity within the Youth Justice Service. A reduction in these costs is possible without any significant impact on the ability of the Service to meet demand.</p> <p>Core youth justice services, innovative intervention approaches and the ability to intervene early, including outreach directly into hot-spots, would be retained.</p>	
4. Rationale / Evidence Base for the Option	
<ul style="list-style-type: none"> • Meets all of the statutory obligations on the Local Authority • Targets the most vulnerable • Capitalises on the reduction in first time entrants to the youth justice system • Makes the best use of Grants • Options do not have significant risk of increasing costs for the Council elsewhere (e.g Children's Social Care) 	
5. What Will the Outcomes of the New Service Be?	
<ul style="list-style-type: none"> • The outcomes will remain unchanged although the targets may need to be revised. 	

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	500	0	0	500
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	500	0	0	500

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?*

*Does not include the draw down of reserves in 2014-15

** 11% net saving - including the savings from existing business cases

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

The estimated redundancy costs associated with this business case are £128,000.

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	8.5	0.0	0.0	<input type="text" value="8.5"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

The amount of youth justice crime prevention activity may be reduced if proven youth offending rises

ON OTHER ORGANISATIONS / PARTNERS

None

ON OTHER PARTS OF THE COUNTY COUNCIL

None

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

The proposal to reduce staffing and programme costs within the Youth Justice Service (YOTs) will have limited impact in respect of service users with particular protected characteristics. Programmes will continue to be bespoke after an assessment of individual need.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risk: There is insufficient resource to deal with spikes or rises in youth offending

Mitigation: We would regularly monitor changes in trends and workload and quality and report to the Partnership Board any risk issues so that additional resources can be deployed.



Option Ref	B08
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1. Service Area	Children and Young People's Sports and Arts
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2. Option Title	Service redesign including arm's length operation
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3. Summary of Option

This option proposes a phased move away from the Council delivering Saturday morning performing arts centres and performance groups, towards alternative arrangements and work to develop the Council's Instrument and Music Teaching programme and County Youth Arts offer at arm's length from the Council.

4. Rationale / Evidence Base for the Option

(i) Phased transition of Saturday morning centres/performance groups

Saturday morning performing arts centres operate in 4 locations across the County, and are discretionary provision provided by the Council in addition to curriculum music and performing arts activities in schools. Overall levels of annual subsidy per participant are approximately £255. Charges to participants have been increased in recent years, but the introduction of charges in 2011 and subsequent increases have received mixed feedback from parents and carers.

For this provision to be cost neutral to the Council, participants would be required to pay around £15 per week based on a 23 week programme (approximately £5 per hour as sessions last for 3.5 hours). This assumes that people would be prepared to pay and that participant numbers (750 approximately, in total, out of a Nottinghamshire school age population of 100,000+) remain the same. Many local authorities no longer offer this provision, with young people accessing instead local clubs, school and voluntary group provision.

There are 6 performance groups attended by low numbers of young people. This is also discretionary provision offered in addition to school based curriculum activities.

The Council would seek to transfer the provision to schools to manage directly, or other third parties/independent providers. This transition has taken place successfully elsewhere, but would require pump priming funding to support the transition. The scheduling of the proposed budget reduction (2016/17) allows time for such transition arrangements to be put in place. Should a successful transition not be possible, it is anticipated that the provision would need to close in order to deliver the required savings.

(ii) Development of arm's length model

There is the potential to reduce revenue costs further by managing Instrument and Music Teaching and County Youth Arts provision at arm's length to the Council. There is precedent in neighbouring authorities, where music and instrumental teaching provision and a community arts offer for young people has been successfully moved outside of the authority and in doing so contributed to reducing revenue costs. The offer would concentrate on the delivery of the programme of Instrument and Music teaching in schools and a county wide community arts offer using the central base of the "Old Library" in Mansfield.

There is currently work underway to investigate the most appropriate operating model, options for consideration include

- The development of an in house TECKAL compliant organisation;
- The formation of a Charitable Incorporated Organisation (CIO);
- Alignment with the current work in Libraries and Community Arts to form an arm's length body.

This budget saving is profiled to impact in 2017 allowing time for the chosen arm's length delivery solution to take effect.

5. What Will the Outcomes of the New Service Be?

Phased transition of Saturday morning centres/performance groups

- (i) Continuation of the current offer if successful transition arrangements can be effected.

Development of arm's length model

- (ii) Continuation of the current offer, if successful arm's length arrangements can be established, that:
- Meets the requirements of the national music strategy and retain levels of instrument and music teaching in schools
 - Promotes and delivers a county wide (targeted) community youth arts offer
 - Retains a commitment to work with those most vulnerable and disadvantaged
 - Develops and manages a relationship with the independent sector to promote local opportunities

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving		200	150	350
LESS Loss of Income	0	0	0	0
LESS Costs of Reversion	0	0	0	0
NET SAVING	0	200	150	350

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	100	0	0	100

This is the estimated costs of achieving an arm's length solution to continue elements of the existing provision moving forward

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18	
	0.0	4.0	3.0	<input type="text" value="7.0"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES (incl. considerations relating to vulnerable people and communities & equality)

Phased transition of Saturday morning centres/performance groups

- (i) Continuing access to service provision for young people will be ensured if transition arrangements can be put in place. If this is not the case, service users will not be able to access this provision.

Development of arm's length model

- (ii) Continuing access to service provision for young people will be ensured if transition arrangements can be put in place

ON OTHER ORGANISATIONS/PARTNERS

Schools and third party/independent providers will be approached in respect of future delivery arrangements. The Arts Council, which funds Nottinghamshire's Music Hub activity, will be consulted.

ON OTHER PARTS OF THE COUNTY COUNCIL

None.

10. Initial Equality Impact Assessment

It is not expected that there will be any negative impact on service users with protected characteristics if opportunities to continue some, if not the majority of the provision in partnership with a local delivery agency are realised. However, given that these opportunities need to be explored further, it is important to maintain focus on the impact that the proposal may have on service users with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

Risks

Phased transition of Saturday morning centres/performance groups

- (i) Service closure: Mitigating actions will be the exhaustive pursuit of effective and successful new delivery arrangements

Development of arm's length model

- (ii) In relation to the development of an arm's length arrangement to manage future provision the risks are
- Ensuring managerial and financial stability.
 - Meeting the timescales for development of a new arrangement to fall in line with required budget reductions
 - Taking a cohort of employees forward into a new way of working outside of the Council
 - Maintaining existing business relationships many of which rely on the corporate brand of the Council to ensure quality
 - Management capacity in a new company to deliver the business model required
 - Building in safeguards required by national agencies that will be relied upon to continue to fund activity.
 - Developing back office infrastructure and competencies

Mitigating actions are:

- Appropriate levels of financial, legal and HR engagement and advice
- Detailed staff, customer and partner consultation and engagement
- Learning from existing arm's length operators in similar fields.
- Strong political support from the outset with assurances
- Outcome based Service Level Agreement in line with funding support
- Agreements to disaggregate central support costs
- Process leadership



	Option Ref B09
1. Service Area	Early Help and Children's Social Care
2. Option Title	Integrated Family Support Model
3. Summary of Option	
<p>This option proposes to improve services and reduce the costs of family support provision through the establishment of integrated, co-located Family Support arrangements, combining resources from Early Help and Children's Social Care Services.</p> <p>A review of the support provided to children, young people and families will establish integrated, co-located Family Support arrangements, combining resources from Early Help and Children's Social Care Services.</p> <p>Early Help Family Support colleagues work with vulnerable children and families to support them in achieving a range of positive outcomes and also try to prevent them from needing involvement with Children's Social Care. They address issues such as behavioural issues, parenting difficulties, problems with drugs or alcohol, problems with attendance at school, anti-social behaviour, homelessness and the impact of parental illness or disability and act to keep children safely at home with their families where possible.</p> <p>Children's Social Care Family Support colleagues work primarily to help return children to their families if it is safe and appropriate to do so, and to prevent breakdowns in adoptive, foster or kinship families, for example, by addressing challenging behaviours.</p>	
4. Rationale / Evidence Base for the Option	
<p>There is a growing international research base that indicates that effective earlier intervention can improve outcomes for children, young people and families whilst reducing long term costs for the public purse. Thus, if early help and edge-of-care family services are streamlined and strengthened, and delivered effectively via evidence based interventions, social care provision costs can in the long term be reduced.</p> <p>Direct savings will be delivered by:</p> <ul style="list-style-type: none">▪ Utilising grant income from central government that will become available as part of phase two of the Troubled Families programme to offset revenue spend.▪ Delivering proposals which cluster family support services in localities and make best use of local knowledge when commissioning. Savings will be drawn from changing service structures and models of operation.	

5. What Will the Outcomes of the New Service Be?

- Families in need of early help will be effectively supported.
- Children will be kept at home with their families wherever possible and when it is safe to do so, by increasing positive edge-of-care outcomes. The number of children on Child In Need and Child Protection Plans will be stabilised and, in the long term, reduced.
- Integrated Family Support arrangements able to deliver effective interventions in a flexible way within localities, will be established.
- Co-located teams, situated and resourced according to need within localities, following consistent methodologies which are compatible with approaches across Children's Services, will be in place.
- An effective delivery structure for Phase 2 of the Troubled Families programme will be in place.
- A stable, suitably-qualified and supported workforce with clear development pathways will be in place.
- A defined performance and outcomes framework will be in place.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS
£000

9,369

NET
£000

5,583

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	0	1,000	1,000
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	0	1,000	1,000

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

17.9%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

These are currently being calculated, and will include costs of training, IT resource, and potential redundancy costs.

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

138.7

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

2015/16 2016/17 2017/18

0.0 0.0 15

15

The services within the scope of the Integrated Family Services Review are provided by a mixture of Nottinghamshire County Council and external partners under contract. The proportion of staff affected employed by NCC and external providers may change as the review progresses and this may change the projected FTE reductions.

9. Anticipated Impact

**ON SERVICE USERS AND COMMUNITIES
(incl. considerations relating to vulnerable people and communities & equality)**

Improved Family Support delivery arrangements will provide better outcomes for families as early as possible

ON OTHER ORGANISATIONS / PARTNERS

Supplier matrix – there may be changes to existing contractual arrangements and partnership activity with health partners, voluntary sector providers and the Police.

ON OTHER PARTS OF THE COUNTY COUNCIL

10. Initial Equality Impact Assessment

It is not expected that there will be any negative impact on service users with protected characteristics. However, given the intention to establish integrated arrangements that will significantly change current working practices, it is important to assess, in detail, what impact the proposals may have on service users with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

Risk	Mitigating Actions
That final analysis of the required service outputs / outcomes and the finances make the saving undeliverable	Continuous review of savings options and the project scope.
That early intervention programmes are not as effective as research suggests in preventing need for Social Care intervention	Research into efficacy or otherwise of interventions – concentrate on programmes which are <i>proven</i> to be effective
That integrating overall management of the model may result in knowledge gaps	<p>Ensure a support network is in place – legal framework must be very clear, and managers should have support in place to translate the framework into practice.</p> <p>Ensure consistent legal approach across the management structure – clear principles and policies in place.</p>
That a merged, locality-based team will not affect structural and support savings, and may actually increase costs, which will threaten the achievement of cashable benefits	Deliver optimum locality based working arrangements.
Staff will be unwilling or unable to meet training requirements within project timescales	Put support in place for colleagues who are unable to meet training requirements, by providing mentors, deadline extensions.
The new Business Support Service Offer and reduced numbers may not be able to support the new structure	Consult with Business Support management so that the new structure can be defined to include effective business support. Carry out business process reviews to re-engineer processes, reducing reliance on business support
That not enough structure will not be in place to support the next phase of the Troubled Families programme from April 2015	<p>Prioritise Troubled Families in terms of workstream delivery. For example, provide Troubled Families workers with mobile devices and access to social care information as a priority ahead of other teams within scope.</p> <p>Prioritise reviews of Troubled Families processes so that new processes are embedded in time</p>



Option Ref	B10
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1. Service Area	Arts Development Service
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2. Option Title	Staffing Reduction
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3. Summary of Option

This option maintains an advisory and grant seeking function for arts provision including rural touring programmes, engaging young people in culture and supporting external programmes and fund raising.

- Rural touring programmes (Village Ventures)
- Support to the arm's length body (for Libraries, Archives, Information and Learning) to engage children and young people with culture
- Contribute to the wider learning offer of the new body
- Support external funding programmes and fund raising for arts activity in Nottinghamshire

Savings would be delivered through staffing reductions. Of the current £289k annual cost of the service, £140k would be retained within the contract for the new body, commencing 2016/2017. **Total Saving = £149k**

4. Rationale / Evidence Base for the Option

This option allows the Council to maintain its role as National Portfolio Organisation (NPO) for rural touring (and its relationship with Arts Council and 22 local authorities across Notts, Lincs and Leics) and retain some capacity to provide creative opportunities through the new arm's length organisation.

5. What Will the Outcomes of the New Service Be?

The new arrangements will maintain a limited arts offer, as a strand of the new Library based arm's length organisation. This will include limited capacity to develop the arts, and to provide a small scale arts development capacity that includes Village Ventures.

There will be a reduced range of arts activity and programmes, including targeted arts programmes, though community led options for their continuing operation will be explored.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000 * existing business case £85K

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	149	0	149
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	0	149	0	149

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18
	0.0	3.5	0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

- Potential loss of specialist creative spaces.
- Reduction of creative opportunities for targeted groups including older people, young people with special needs, early years and hard to reach groups.
- Reconfiguration of major events and learning programme including Earth and Fire International Ceramic Fair through seeking alternative arrangements.
- Reduced schools programme, creative opportunities for families and creative workshops.

ON OTHER ORGANISATIONS / PARTNERS

The funding reduction will impact upon the Team's ability to support Arts Council initiatives at both a local and national level, and to utilise Arts Council related funding initiatives.

The reduction may impact upon the access of creative arts sole traders to employment opportunities, and community organisations in respect of access to support to develop arts in their localities.

10. Initial Equality Impact Assessment

A reduction in capacity may have a disproportionate impact on those with protected characteristics in accessing and participating in the arts.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

Risk: Reputational risks associated with the potential reduction of events and courses.

Mitigation: Exploration and establishment, where possible, of alternative delivery models, including community led initiatives, to ensure the continuation of key events and courses.

Risk: National Portfolio Organisation funding for Rural touring, although allocated on a 3 year basis, is dependent on Arts Council England confirmation after its annual budget settlement. Therefore this is a risk that National Portfolio Organisation funding could be withdraw 2015/16. In addition the 22 local authorities who buy into the scheme may withdraw/reduce funding to a point where the programme is not viable.



Option Ref B11

1. Service Area

Culture and Enrichment (Sports Development)

2. Option Title

Reduction of revenue funding

3. Summary of Option

The option reduces revenue funding support for sports development activity by 2017/18, whilst supporting opportunities to seek new external funding to continue key elements of the Sports Development's core programme into the long term future.

4. Rationale / Evidence Base for the Option

Over the next two years, working alongside the County Sports Partnership core team, it should be possible to attract external funding to continue key elements of the Sports Development function's core programme.

The timing of the budget reduction is linked to providing a suitable amount of time for the County Sports Partnership to seek other funding opportunities to cover shortfalls post 2017. Whilst this is not guaranteed the deadline will give a clear focus and challenge that will be understood by all partners and stakeholders.

5. What Will the Outcomes of the New Service Be?

The proposal offers a medium term business as usual approach and a wider opportunity to work with the County Sports Partnership to share management resource and expertise to shape a joint offer. In the medium term, the Sports Development functions key activities to support clubs, coaches and participation will remain in place.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS
£000

346

NET
£000

261

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	0	108	108
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	0	108	108

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

41.4%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

6.6

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18
	0.0	0.0	3.3

3.3

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

The type of work undertaken by the current staff team is designed to support the sporting infrastructure of communities, clubs and individuals and as such, if external funding is not secured, capacity will be lost to undertake this type of work post 2017.

ON OTHER ORGANISATIONS / PARTNERS

Nottinghamshire County Council has forged a number of important strategic partnerships that in turn bring external resources for sports related activity into the County. If external funding is not secured, capacity will be lost to undertake this type of work post 2017, and access to national funding streams may not be realised.

ON OTHER PARTS OF THE COUNTY COUNCIL

None

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risk: A reduced resource commitment means development and funding opportunities will be missed.

Mitigation: Time is being allowed to seek other funding to continue activities, and some work programmes could be picked up by the County Sports Partnership.



Option Ref	B12
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1. Service Area

Rufford Abbey Country Park

2. Option Title

Improve customer offer and reduce revenue costs

3. Summary of Option

This option proposes an options appraisal and implementation of a new operating model to reduce revenue costs and improve the visitor offer at Rufford by 2017. The three models being appraised are retaining in-house, creating an arms-length trust body or partnering with a third party organisation or consortium.

4. Rationale / Evidence Base for the Option

The rationale and evidence base for three future options outlined below will be worked up and brought back for consideration and selection by Members. The options being considered broadly fit into three categories.

1. Retain operation in-house with required capital investment found by the Council and/or a third party funder (e.g. Heritage Lottery)
2. Develop or appoint an arm's-length arrangement to develop and manage the site on behalf of the Council
3. Procure a third party management organisation to develop and manage the site on behalf of the Council

5. What Will the Outcomes of the New Service Be?

The outcomes will be reshaped management arrangements for Rufford Abbey Country Park, and a revised and improved customer offer that will at least maintain current visitor numbers.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS
£000

2,414

NET
£000

643

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0		303	303
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	0	303	303

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

47.1%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16	2016/17	2017/18	TOTAL
	£000	£000	£000	£000
Capital Costs	0	700	0	700
Revenue Costs	0	100	0	100

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

0.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18
	0.0	0.0	0.0

0.0

Note – This figure is difficult to establish at this point as it will be dependent on the type of delivery model chosen for future delivery.

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES
(incl. considerations relating to vulnerable people and communities & equality)
TBC following the options appraisal.

ON OTHER ORGANISATIONS / PARTNERS
TBC following the options appraisal.

ON OTHER PARTS OF THE COUNTY COUNCIL
TBC following the options appraisal.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N) | NO

11. Risks and Mitigating Actions

Risk: That staff and service users feel isolated from the review process.

Mitigation: Sound consultation and communication processes being implemented throughout the process.

Other risks and mitigating actions will be included in the options appraisal.



		Option Ref	B13
1. Service Area	Highways		
2. Option Title	Establishing an alternative service delivery model for the whole of the Highways Division		
3. Summary of Option			
<p><i>To investigate the establishment of a jointly owned local authority company with CORMAC (Cornwall Council's highways company) to manage and deliver Nottinghamshire's Highways Services. This option offers the best balance of efficiency, control, risk, commerciality, and experience. Decisions on this will be subject to the formal approval of a detailed business case, business plan and a legal agreement with CORMAC.</i></p> <ol style="list-style-type: none">1. The reasons for looking into an alternative service delivery model for highways are:<ol style="list-style-type: none">a. our highways budgets continue to fall from both government grant cuts (e.g. 47% cut in Integrated Transport Measures grant) and the need for budget savings;b. a more commercial approach will secure more highways work for the team from outside the County Council – by competing for contracts with other councils and developers;c. there is evidence from other local authorities that this will improve staff morale and productivity and help retain skills and expertise. Also it will spread fixed over-head costs, for example the cost of our depots, across a greater turn-over reducing the cost for Council work;d. to deliver efficiency savings in the order of £1M per year from the highways revenue budget when established.2. This would both transform the highway service and contribute to the necessary budget savings. The principle is that the same level of highways service would be provided but at lower cost. However, this proposal is about operational efficiencies and will not in itself fix more holes in our roads, speed up the repair of street lights, enable more drains to be cleared, or answer customer enquiries more quickly as all these depend on the budgets available.3. It is proposed that the option transfers the whole highway division to the alternative service delivery model to create the opportunity to further integrate teams and drive an additional efficiency to support the saving of £1M per year from the highways revenue budget when established.			

4. Detailed negotiations would establish the joint venture and consideration will also be needed regarding how the Council will manage this arrangement.
5. Alternative service delivery model options for highways include:
 - a. joint venture with a public sector partner – e.g. CORMAC, NORSE;
 - b. local authority owned company – 100% owned by Nottinghamshire County Council;
 - c. joint venture with a private sector partner;
 - d. outsourcing.
6. A commercial highways service will need commercial support services which may need to be provided externally from the Council. The effect of this will be evaluated as part of the development of a detailed business case and subsequent due diligence

4. Rationale / Evidence Base for the Option

1. The creation of a new highways company for Nottinghamshire County Council in a joint venture with CORMAC would be completely in public sector ownership because CORMAC is 100% owned by Cornwall Council.
2. The new Nottinghamshire Company would have a strong public ethos, and be under the control of the Council with board representation by a County Councillor and senior council officer. The company would deliver at least 80% of its work directly to the Council. Policies and priorities for that work will be set by the Council through Service Level Agreements approved, reviewed and monitored by a committee of the County Council.
3. The Nottinghamshire Company would be a subsidiary of CORMAC. This would provide benefits to the new company from the already established CORMAC support services and systems including group finance services, insurance, pension fund, group IT, group business control, and cash flow. A further significant benefit would be immediate access to the support for increased commercial tendering and established record of delivering external contracts.
4. Whilst the group company would hold the majority of the shares the Articles of Association would be drafted to enable Nottinghamshire County Council to maintain control over the significant decisions and strategies that are of greatest importance to the Council. Also the powers of the Board would be moderated by establishing Reserve Matters for those issues that must be referred back to the County Council to ensure that the new company delivers the targets set out in the annual Business Plan.

5. What Will the Outcomes of the New Service Be?

1. Current Nottinghamshire highways staff would transfer to the new Nottinghamshire Company under TUPE conditions relating to their pay, terms and conditions and pensions. The new company would also offer its own terms and conditions to current staff and to new staff, all consistent with the commitment to Living Wage and similar to the current CORMAC arrangement. Based on CORMAC's previous operating experience (e.g. increase in jobs of 17%) any increase in external work will benefit staff in terms of greater job certainty and longer term prospects.
2. An appropriate break clause to protect the interests of the County Council will be agreed as part of detailed negotiations and due diligence.
3. The Nottinghamshire Company would generate a surplus or profit on both the work provided to the company directly from the Council and work for external clients through commercially won contracts. CORMAC are prepared to guarantee the first year's rebate and would also take liability for any losses. Any surplus would be shared:
 - a. a rebate or refund direct and entirely to the County Council budget – in effect budget that was not needed due to efficient working practices.
 - b. a taxable profit split 50:50 with CORMAC. This reflects an additional benefit to Nottinghamshire from the increased external work won.
4. Subject to the development of a detailed business case, the benefit to the County Council would be through further efficiency savings and/or increased surplus (profit). A detailed business case is under development to determine the level of savings but initial indications are that a saving in the order of £1M in the first full year of operation of any of the options could be achieved.
5. To achieve the savings the model would be commercially operated and managed independently of the County Council but in close partnership. The Council would retain ownership in the Company and would continue to set overall direction, determine the key priorities and the capital programme of works.
6. The services delivered through an alternative model would need to be specified by the County Council to ensure that they meet the Council's policies and priorities.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 31,000 NET £000 24,100

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	300	750	1,050
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	300	750	1,050

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET? 4.4%

7. Estimated Implementation Costs

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	200	0	0	200

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING? 517.9

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18	
	0.0	28.0	28.0	56.0

Note these staff reductions may not be necessary if enough external work is secured.

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES
(incl. considerations relating to vulnerable people and communities & equality)
Minimal

ON OTHER ORGANISATIONS / PARTNERS
The alternative service delivery model provides an opportunity to consolidate the delivery of highway work into a single provider including work currently delivered by an external contractor from 2018/19.

ON OTHER PARTS OF THE COUNTY COUNCIL

Currently central support services are provided across the Highways Division by other County Council teams (HR, Finance, ICT, Property, Legal etc.) and the sourcing of these from outside the Council will have a financial impact on the remaining central services which is under detailed investigation.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risks to delivering these efficiency savings / increased surplus return are:

- completion and conclusions of staff, trades unions and external consultation;
- reduced works budgets will reduce the opportunity to find and generate savings;
- implementation timescales including employee and Trade Union consultations will determine the savings profile;
- lack of external business opportunities;
- cost to Council of loss of contributions towards central support service costs and overheads.

Mitigation of the above risks will be managed as part of the development of a detailed business case, including appropriate planning and risk management, and due diligence undertaken on proposals.

Option for Change

	Option Ref	B14		
1. Service Area	Transport and Travel Services			
2. Option Title	Publicity and Transport Infrastructure			
3. Summary of Option				
<i>To provide more information online. To reduce the current spend on publicity, roadside information, bus shelter cleaning and maintenance.</i>				
4. Rationale / Evidence Base for the Option				
<p>Whilst local authorities have a statutory duty to provide travel information, this can be done in a different way and at lower cost.</p> <p>Information is available digitally, signposting users to the National Traveline website and Golden Number locally and nationally for information. The majority of bus services are commercially provided (90%) and we will discuss the proposed changes with bus operators who may continue to provide additional information services.</p>				
5. What Will the Outcomes of the New Service Be?				
<ul style="list-style-type: none"> Information to be provided digitally meeting the corporate digital strategy The cleaning cycle for bus shelters will be reduced from 12 to 6 cleans per year Easier access to information for those who have access and capable of using the internet 				
6. Projected Net Savings to the Budget				
WHAT IS THE PERMANENT BUDGET?	GROSS £000	<input type="text" value="25,043"/>	NET £000	<input type="text" value="18,416"/>
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	10	20	20	50
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	10	20	20	50
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?	<input type="text" value="0.3%"/>			
The net budget is £200k for 2014/15.				

7. Estimated Implementation Costs

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	5	0	0	5

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?				50.0
	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0	0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

- Some users may not have access to the internet for which alternatives will be available; this will include printed timetables upon request and continued use of Traveline Golden Number.
- Approximately 40% of users access information at the bus stop or from bus stations so reductions in journey planning information may affect these users.
- Bus shelter appearance may deteriorate deterring passenger usage and increasing safety concerns.

ON OTHER ORGANISATIONS / PARTNERS

- Bus operators may lose passengers, leading to reduced income and possible loss of some commercial services operating at the margin

ON OTHER PARTS OF THE COUNTY COUNCIL

- Loss of services may result in less opportunity for delivery of Independent Travel Training (ITT) to vulnerable users

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N) | N

11. Risks and Mitigating Actions

Risks: Outlined in section nine regarding service users.

Mitigation: Consult service users. Use local and bus operator internet facilities to access information in addition to the National Traveline telephone service.

Option for Change

		Option Ref	B15	
1. Service Area	Transport and Travel Services			
2. Option Title	Passenger Transport Facilities Charge			
3. Summary of Option				
<p><i>To negotiate with bus companies a modest charge for the provision of information and use of transport facilities.</i></p> <p><i>To reduce the budget by £63,000 between April 2015 and April 2018.</i></p>				
4. Rationale / Evidence Base for the Option				
<ul style="list-style-type: none"> • Reduce costs but maintain quality • Other Councils charge for the provision of these facilities • Local authorities can charge for information under the Transport Act 2000 • The operators benefit from the provision of information on the roadside with Real Time Information proving to increase passengers by 2% • None or minimal impact on bus service provision 				
5. What Will the Outcomes of the New Service Be?				
<ul style="list-style-type: none"> • Maintain the quality of the facilities to the current Quality Partnership standards in the conurbation • Ensure recent capital investment is maintained and replacement of infrastructure is not required earlier than forecast. • Ensure growth in patronage and reduction in congestion is sustained and people are not deterred from using passenger transport. 				
6. Projected Net Savings to the Budget				
WHAT IS THE PERMANENT BUDGET?	GROSS £000	25,043	NET £000	18,416
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	15	23	25	63
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	15	23	25	63
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				0.3%

7. Estimated Implementation Costs

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	2	0	0	2

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?				50.0
	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0	0.0

9. Anticipated Impact

- No change in current provision or information and infrastructure so impact is minimal.
- The provision of integrated network provision at stops helps passengers without access to the internet via a pc or mobile device.
- The continuing provision of Real Time Passenger Information at stops reduces the uncertainties in travelling and helps those with disabilities i.e. visual impairment, access the bus service required.

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)	N
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11. Risks and Mitigating Actions

Risk 1: The operators may ask for further infrastructure improvements to ensure consistent information facilities across the conurbation before they pay the charges.

Mitigation : The County Council has invested over £3m in passenger transport facilities and is looking to invest a further £0.5m over the three year period.

Risk 2: The increased cost borne by the operators, even though small, may have an impact on service provision in the conurbation.

Mitigation: Work with operators to reduce the risk.



Option Ref

B16

1. Service Area

Waste Management

2. Option Title

Introduction of charges for the acceptance of non-Household Waste at recycling centres.

3. Summary of Option

The recycling centres currently accept some non-Household Construction and Demolition Waste (hard-core, bricks, soils, plasterboard) free of charge despite there being no legal obligation to do so and disposal incurring a cost for the County Council. This proposal is to introduce a pre-booking system and charging scheme for the disposal of this waste delivered in vehicles which currently require a van, trailer or pick-up permit.

4. Rationale / Evidence Base for the Option

The Council is proposing to follow the lead of other local authorities such as York, Somerset, Oxfordshire and North Yorkshire who have started charging to accept non-Household Wastes at their recycling centres.

It is possible to accept this waste at a pre-determined cost at a core network of recycling centres/transfer stations by a pre-pay booking arrangement with electronic confirmation using the Customer Service Centre, in a similar way to the existing Asbestos booking arrangements.

Having reviewed the charges made by the authorities noted above suggested charges would be linked to the existing van, trailer and pick-up permit scheme, and the potential carrying capacity of the vehicle as follows:

Transit type LWB Van £60 + VAT
Transit type SWB Van or pick-up £45 + VAT
Double axle trailer towed by a car £45+VAT
Single axle trailer towed by a car £35+VAT
Small car derived van £35+ VAT

Deliveries in a normal hatchback, saloon, estate car or MPV will remain free of charge.

The charges above would be increased on an annual basis at a rate to be calculated, but not to be less than 5%.

5. What Will the Outcomes of the New Service Be?

The intention is to recover the full cost of the disposal of non-Household Construction and Demolition Waste (hard-core, bricks, soils, plasterboard) received at the recycling centre network delivered by these vehicles.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	150	0	0	150
LESS Loss of Income	0	0	0	0
LESS Costs of Reversion	0	0	0	0
NET SAVING	150	0	0	150

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

Note that the savings are indicated as saving against the overall Waste and Energy service budget (£30m including landfill tax of £12m), and not against the direct budget for this service element of circa £6m.

7. Estimated Implementation Costs

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	20	0	0	20

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18	
	0.0	0.0	0.0	<input type="text" value="0.0"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

Some residents may believe that the Council has a duty to provide this service free of charge, even though this is not the case. This proposal is intended to provide for the needs of residents undertaking home DIY whilst recouping costs to the Council.

ON OTHER ORGANISATIONS / PARTNERS

There is a risk that residents could either fly-tip this waste or put in their home residual waste bin, both of which would affect district councils.

ON OTHER PARTS OF THE COUNTY COUNCIL

None

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

Not required at this stage, although the County Council needs to be mindful of this option in areas of high deprivation.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risk: Fly-tipping

Mitigation: Experience shows that this may be an issue initially following implementation, but working with district enforcement teams and communicating our decision effectively (before and after) should mitigate this. Fly-tipping is typically only experienced as a short term response to change. If a charge to make cost neutral option was taken, then costs would be competitive with the private sector and offer the advantage that no minimum tonnage charges would apply.

Risk: This waste is put in the home residual wheelie bin

Mitigation: This is unlikely due to the weight of this type of waste, making the bin too heavy and consequently both the collection crews and vehicle weighing system would reject the bin.

Risk: Satisfaction scores may decline

Mitigation: Effective communication with users, clear pricing or refusal criteria displayed on the web, through the media and on site, should help to mitigate any short term decline.

Consultation Category C - Options for Change

Reference	Portfolio	Title	Committee	Equality Impact Assessment required and undertaken
C01	Adult and Health	Direct Payments	Adult Social Care and Health	Yes
C02	Adult and Health	Older Adult Care Home Fees	Adult Social Care and Health	Yes
C03	Adult and Health	Development of Extra Care Housing and promotion of independent living in place of the current provision of 6 Care and Support Centres.	Adult Social Care and Health	Yes
C04	Adult and Health	Development of a single integrated meals production and delivery service	Adult Social Care and Health	Yes
C05	Adult and Health	Expansion of community-based care and support options	Adult Social Care and Health	Yes
C06	Adult and Health	Reducing the average cost of residential placements	Adult Social Care and Health	Yes
C07	Adult and Health	Strategic Commissioning - Review of Contracts	Adult Social Care and Health	Yes
C08	Children's and Culture	Children's Disability Services Review	Children's and Young People	Yes
C09	Place and resources	Reducing Local Bus Service Costs	Transport and Highways	Yes
C10	Place and resources	Waste minimisation through investment in smaller residual waste bins	Environment and Sustainability	No



	Option Ref C01
1. Service Area	Services for younger and older adults
2. Option Title	Direct Payments
3. Summary of Option	
It is proposed that the County Council will extend the use of pre-paid debit cards for providing a Direct Payment. Additionally it is proposed to reduce the budgeted spend on Direct Payments by 5%.	
4. Rationale / Evidence Base for the Option	
<p>1. People who are eligible for social care services have the option of the Council either arranging their care and support for them, or making a payment to them so that they can choose and purchase this for themselves. People choosing to arrange their services for themselves can now use a debit card which has their funding pre-loaded onto it to make paying for their services easier., The proposal is to move to these cards as the default option for all people using a Direct Payment, unless an exceptional case is made.</p> <ul style="list-style-type: none">• If people are assessed as needing support to manage their DP, the Council currently gives them money for this as part of their personal budget. People can choose their own provider for this support and the Council also has an accredited list of Direct Payment Support Service (DPSS) providers they can use.• People are now able to pay providers using a pre-paid debit card onto which the Council pre-loads their Direct Payment money. This has benefits for people using it as it automatically provides information to the Council's financial team. This means that people do not need to supply copies of bank statements to the Council, which would otherwise be the case. The card reduces the work associated with managing finances and helps more people to be able to do this independently, without the need for services from Direct Payment Support providers.• Some people are currently using DPSS providers for tasks that are relatively straight-forward, for example, to purchase care and support from an agency. Unless they are also employing Personal Assistants (PA) the pre-paid debit card could be used to enable them to carry out these tasks more independently.• The card can also more effectively manage money for people with fluctuating needs and is able to alert automatically the Council if funds are running low or are accruing unused in a person's account, which may trigger the need for a review and adjustment of the support plan and personal budget.• A model that promotes greater self-management of DPs will also promote people's independence and therefore support both implementation of the Adult Social Care Strategy and the Council's Corporate Digital Strategy.• The pre-paid debit cards offer the full range of banking services available from a conventional bank account.	

- Alternative methods of supporting people to use their DPs will continue to be available.
 - The approach outlined complies with the current draft Care Act Guidance 2014 and will be reviewed to ensure that this remains the case following publication of the final guidance.
2. To over programme the Council's community care spend on Direct Payments (DP) by reducing the budgeted spend on DPs by 5% and seeking to recoup a minimum of 5% in unspent money to meet the reduced budget.
- Individuals, who decide to have their care needs met through a DP, receive 100% of the anticipated cost of their care and support package in their DP. In reality service users rarely use all of the care and support identified for them. This 'slippage' can occur for a variety of reasons including holiday, hospital admission, respite care, service user opting to cancel services or the provider failing to make the appointment.
 - No mechanism is currently in place to reflect a slippage rate for service users in receipt of a DP. This results in money 'sitting' in service user bank accounts, which then has to be retrieved following a review. This option for change seeks to reduce the Council's budgeted spend on DPs to reflect the predicted unspent element.
 - By introducing pre-paid debit cards as the default method of receiving a DP the County Council will receive alerts when a service user's balance falls or rises below an agreed level. Pre-paid debit cards enable the Council to receive spending reports directly from the card provider without the need for the service user to send in bank account statements, providing the opportunity to review if it is appropriate to recoup any funds that are not needed, or add additional funds.
 - The pre-paid debit card option will be discussed with service users already in receipt of a DP and individuals will be moved on to a pre-paid debit card on a case by case basis as part of normal review activity.
 - For those service users who receive their DP into a bank account, the Council will still require the service user to provide copies of their bank statements in order to understand the status of their account. In these instances a full review or audit of the DP bank account will be required and the service users will have to repay any excess money identified.
 - Based on the 2014/15 budgets, less the future savings already agreed, a 5% reduction would deliver approximate savings of £1.8 m.

5. What Will the Outcomes of the New Service Be?

All new DP recipients are currently offered a pre-paid debit card unless there are exceptional circumstances arising from individual needs. Extending this approach to existing DP users both supports self-management of DPs and reduces the level of administration for both the person using the service and the Council.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	33,867	NET £000	33,867
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	124	1,697	0	1,821
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	-26	-26	0	-52
NET SAVING	98	1,671	0	1,769
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				5.2%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	122	0	0	122

The cost associated with introducing pre-paid debit cards is estimated to be £26,000 a year. As this is an on-going cost, the annual cost has been factored into re-provision costs in section 6 above.

The implementation costs related to part 2 of this proposal (over programme the community care spend on Direct Payments and seek to recoup a minimum of 5% in unspent money to meet the reduced budget) are as follows:

- Temporary reviewing resource for one year of 4 FTE CCOs Grade 5. (assumes that only 40% of service users transfer to a pre-paid debit card in year 1 and that approximately 960 service users require a DP review or audit).

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?				0.0
	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0	0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

- There is evidence that using pre-paid debit cards can improve access to a DP where a DP recipient is unable to open a separate bank account, as this is not required.
- Existing users of Direct Payment Support Services may not wish to change to a pre-paid debit card.
- The Council's policy to recover excess or unspent DP monies is not new. The option seeks to alter the way in which the Council targets the recovery of the unspent amount.
- Service users who would have had to use ongoing DP support service will have greater independence in managing their own finances.
- Service users concerns about having too much or too little money in their DP account will be addressed. This is a particular concern for people with fluctuating care needs
- The pre-paid debit card offers a safe and secure method for people to purchase their services
- Fewer people will require ongoing support to manage their Direct Payments from a DP support provider and the associated budgeted spend will therefore be reduced.

ON OTHER ORGANISATIONS / PARTNERS

The current accredited DPSS providers are not currently using cards but process all third party accounts through a banking process using a standard Sage business system to maintain separate individual accounts. They will need to re-align with the Council's offer for pre-paid debit cards or offer the existing service at a cost comparable to that associated with the new approach.

ON OTHER PARTS OF THE COUNTY COUNCIL

The main impact will be on the Council's Adult Care Financial Services Team who provide and manage pre-paid debit cards.

10. Initial Equality Impact Assessment

This proposal will affect older adults and younger adults with disabilities. An equality impact assessment has been undertaken for part 1 of this proposal which outlines mitigating action for any disproportionate, adverse or negative impact this proposal may have on these client groups. This includes the need to ensure that the current card provider's telephone service offers all groups access, including those with sensory impairments. The effect of part 2 of this proposal on protected groups has been considered and deemed to have no impact.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)	Y
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11. Risks and Mitigating Actions

- **Risk:** Possible challenges by service users, carers, suitable persons (these are people nominated to manage DPs where the service user lacks the mental capacity to do so) and providers who may prefer the current DP support model.
Mitigation: A training programme to support transformation and skills updates for in-house staff is in development and provider reviews are planned where the use of cards will be explored.
- **Risk:** The recovery of unspent monies described in the report is reliant on the wider roll out of pre-paid debit cards. If the Council was able to move only 30-40% of DP service users on to a pre-paid debit card, a process of individual reviews will still be required to identify unspent money.
- **Mitigation:** Contingency money to cover review activity in Year 1 has been built in to the proposal.



		Option Ref	C02
1. Service Area	Services for Older Adults		
2. Option Title	Older Adults' Care Home Fees		
3. Summary of Option			
To review the current five band pricing structure and produce a simplified care home fees structure which includes maintaining a quality recognition system. The review will include consideration of the requirements of The Care Act 2014.			
4. Rationale / Evidence Base for the Option			
<p>The Council's fee rates are based on five quality bands for both residential and nursing homes. This five-band fee structure has been in place since 2008. In addition, the Council introduced an enhanced payment for the Dementia Quality Mark in November 2013. This has resulted in a complex fee structure of 20 price points.</p> <p>A review of the care home fee structure is required which takes into consideration a number of factors including the new and extended responsibilities arising from the Care Act, 2014. The revised fee structure will continue to reward high quality care services.</p> <p>The Care Act requires local authorities to ensure that people are able to exercise choice and control over the services they receive, including services provided within residential and nursing care homes, and to ensure that the services are personalised and are meeting people's outcomes. At the same time, the Care Act requires local authorities to ensure the services they commission are cost effective and offer value for money. In accordance with these requirements, the review of the care home fee structure and fee levels will consider the following:</p> <ul style="list-style-type: none">• extending personalisation within care homes, including enabling service users to have a direct payment so that they can exercise choice and control over aspects of the care they receive within the care home• the position of the current care home market, including sustainability and provider viability, and consideration of the actual cost of care <p>The review will be undertaken within the context of the Council's budgetary position and the need to make further savings and within the context of the Council's strategic objective of promoting independence.</p> <p>In reviewing the five band pricing structure, the Council will consult on a more simplified fee payment structure which is transparent, equitable and consistent, not only for people who are funded by the Council but also for the benefit of people who pay for their own care. It is proposed that the Council will continue to implement a quality recognition system.</p>			

The average care home fee currently paid by the Council is £501.70 per week, while the mid-point of the current banding system for residential care is £471.00 per week. Should the Council move to a simplified flat rate system near to the current mid-point then the potential savings would be at least £650k.

Part of the process will include reviewing a small number of older adults' placements where the residents are currently funded at a different fee level outside of the current bandings framework. For example, those service users who have entered long term care as a younger person and stayed in the homes after reaching the age of 65. Younger adults' rates are usually higher than those paid for people aged 65 and over. Where needs are primarily related to age it may be appropriate to renegotiate fee levels. Based on seven placements identified to date, negotiating the fee at the older adults' rate may yield a saving of approximately £100k a year.

5. What Will the Outcomes of the New Service Be?

- A simplified fee structure would result in greater clarity about pricing and fee rates for Council funded service users and for self-funders.
- A transparent, equitable and consistent process to support personalisation in care homes and to enable some service users to access Direct Payments.
- It would simplify the process of payments for care home providers.
- No operational delivery changes are envisaged.
- A reduction to the Council of care home costs.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS	NET
£000	£000
69,705	42,427

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16	2016/17	2017/18	TOTAL
	£000	£000	£000	£000
Gross Saving	0	750	0	750
LESS Loss of Income	0	0	0	0
LESS Costs of Re-provision	0	0	0	0
NET SAVING	0	750	0	750

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

1.8%

The saving figure assumes that rates for all service users/placements are changed with effect from April 2016.

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	72	0	0	72

- 1 FTE Commissioning Officer/Market Development Officer at Band C
- 0.5 FTE Finance Officer/Data Analyst at Band C

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

0.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

	2015/16	2016/17	2017/18
	0.0	0.0	0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

- The fee and quality elements in the care home market will be easier to understand.
- For younger adults to older adults rates only – risk of increased costs through possible third party payments.

ON OTHER ORGANISATIONS / PARTNERS

Reduction in funding may mean that some care home providers would see a reduction in turnover

ON OTHER PARTS OF THE COUNTY COUNCIL

10. Initial Equality Impact Assessment

This will be ascertained in a full Equality Impact Assessment.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

Risk: The proposal may be subject to challenge from care home providers.

Mitigating action: A robust consultation and engagement plan will be implemented to ensure that consultation is both broad and representative.



	Option Ref	C03
1. Service Area	Older Adults Care & Support Centres	
2. Option Title	Development of Extra Care Housing and promotion of independent living in place of the current provision of 6 Care and Support Centres	
3. Summary of Option		
<p>The Council is building on the success of existing Extra Care services within the county. This option proposes to develop extra care housing and alternative high quality care services in place of our current provision of Care and Support Centres. People will be offered choices so that they can continue to live in their local community.</p> <p>The Council has listened to local people and has committed to investing £12.65m to develop extra care housing. The purpose built, high quality accommodation which is designed to support people in later life is a real alternative to residential care.</p> <p>The overall aim of the Council is to enable people to live in their own home environment and as independently as possible without a social care support service. Extra care services provide people with the option to remain living independently whilst having access to care and support as and where they are needed.</p> <p>There is an over reliance on residential care services in Nottinghamshire, with almost 200 care homes providing for older adults.</p> <p>The Adult Social Care Strategy emphasises the need to keep people independent and ensure value for money.</p> <p>For those people who do need residential care provision, the local care market can provide sufficient capacity to meet people's needs.</p> <p>From 2015 onwards the Council together with external partners and the District and Borough authorities will be opening additional extra care facilities across the county. As these new extra care facilities are opened the current County Council operated residential care centres would be decommissioned.</p> <p>Should this option be approved following consultation, the County Council would no longer admit people to live at the centres on a long term basis. The care and support centres would focus on providing short term care and assessment services.</p>		

4. Rationale / Evidence Base for the Option

The overall aim of the Council is to enable people to live in their own home environment and as independently as possible. Whilst there will always be a need for long term residential care, it is thought that in the future this will only be for people with complex needs or with Dementia. Older adults have been saying for some time that they want to live independently at home.

In the Council's model of extra care people have their own front door, their own tenancy and the benefit of on-site care staff 24 hours a day. Their care can be as flexible as required to support their needs. For example, they can have planned care throughout the day and night and the ability to call for support at any other times if they need it.

There is also communal space at each of the schemes, so people can develop their own support networks. Some of the facilities include areas to meet up with friends and organise or take part in activities. These rooms can also be used to invite visitors such as a hairdresser or health professionals to undertake wellbeing clinics, chiropody etc.

The Council still owns and runs 6 Care and Support Centres formerly known as Residential Care Homes. Whilst the service provided is very good, the buildings are not modern and do not have the benefit of en-suite facilities for long term care residents.

If the homes were to be de-commissioned, then the long term care residents could be offered places at local residential care homes. There are between 1 and 22 independent sector care homes within a 5 mile radius of each home. The Council keeps information about the availability of residential care homes places across the county. Residents and their families will be provided with up to date information about what is available to them at the time and they would be supported when considering alternatives.

Some of the residents will also be offered a place in a new build Extra Care scheme. For example, the new build at Retford is two streets away from St. Michaels View. Residents at Kirklands in Ashfield could be offered a place at either Darlison Court in Hucknall or Brownlow Road in Mansfield. Furthermore, residents at Leivers Court may be offered a place at St Andrews House in Mapperley.

Whilst it is acknowledged that not all residents will be able to consider Extra Care Housing as a suitable option, it is thought that some residents could be supported in this environment. People have moved from residential care successfully into an Extra Care Housing environment within Nottinghamshire. However, it would be down to individual choice and the Council will support residents and their families when they are considering the options available to them.

5. What Will the Outcomes of the New Service Be?

The alternative services could be a place in an independent sector care home that had full en-suite facilities - people could move in small friendship groups if desired - or a place at a new build Extra Care Scheme.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET? GROSS £000 8,447 NET £000 8,160

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving		3,292	4,868	8,160
LESS Loss of Income		-141	-185	-326
LESS Costs of Reprovision		-1,506	-1,982	-3,488
NET SAVING	0	1,645	2,701	4,346

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET? 53.3%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	58	0	58

- 1FTE Strategic Development Manager @ Band E
The post is already approved for 2015/16.

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING? 223.6

	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	108.6	115.0	0.0	223.6

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

Potential impact: loss of jobs for care home staff. The impact of this could be managed through staff from the centres having the opportunity of applying for posts with the new home based care core providers who will be servicing the Extra Care Schemes.

Community concern re: loss of local authority care home provision.

Service users would be offered an alternative service in an independent sector care home or a new purpose built Extra Care scheme where appropriate.

ON OTHER ORGANISATIONS / PARTNERS

Independent sector care homes would/could re: provide the support to the existing long term care residents; increasing demand.

Possible land swaps with district or boroughs councils if opportunities arise and sites are suitable.

ON OTHER PARTS OF THE COUNTY COUNCIL

Increased opportunities for other uses for the sites such as extra care or supported living.

10. Initial Equality Impact Assessment

Please see attached EQIA document

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)
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Y

11. Risks and Mitigating Actions

- **Risk:** Concern from local communities regarding the loss of NCC residential care provision.
- **Mitigation:** The County Council is investing £12.65m in additional Extra Care Housing schemes across the county. Also, there are sufficient Independent Sector care homes in the County to accommodate the existing residents from the care and support centres.
- **Risk:** Concern that some residents' health could be adversely affected if they moved home.
- **Mitigation:** People would be offered the choice about where they moved to and they could also look to move in small friendship groups if they chose. Ceasing long term care admissions will reduce the number of people who would need to move home. Having a long lead in time will allow for individual planning and preparation with residents and families.



	Option Ref	C04
1. Service Area	County Enterprise Foods (CEF)	
2. Option Title	Development of a single integrated meals production and delivery service	
3. Summary of Options		
The meals production and delivery service will be located onto one site with the distribution unit moving to the production site. This along with other changes will produce efficiency savings within the service.		
4. Rationale / Evidence Base for the Option		
<p>This is a valuable service to the community. CEF produces and delivers hot and frozen meals to Nottinghamshire residents in their own homes. The service comprises a production factory in Worksop and a distribution unit based in Rainworth. The service employs a total of 81 people (78.6 fte); 26 of these staff are disabled workers on the Work Choice programme.</p> <p>Although the authority does not have a statutory obligation to provide a hot delivered meal service, it does have an obligation to make reasonable provision to ensure people can access a meal either in their own home or elsewhere, when they have been assessed as being eligible for support and service from the Council. The service offered by County Enterprise Foods is one way that the Council chooses to meet this responsibility. The meals service is provided to any residents who want to use the service, whether or not they are eligible for support and service from the Council.</p> <p>In addition to the delivery of a frozen, chilled or hot meal, the delivery staff carry out a “safe and wellbeing check”. This is an additional benefit to Nottinghamshire residents and the Council as it helps to identify and resolve problems at an early stage. The check can result in carers and staff being alerted to a situation which they would otherwise not be aware of. The Council is proud of this checking system and understands the preventative value that it offers.</p> <p>CEF generates income through a) charging Nottinghamshire residents £3.95 for a delivered meal; b) producing meals for external organisations and c) grant income from the Work Choice programme.</p> <p>The income that the meals service generates annually has fallen short of meeting the service’s operating costs for a number of years. The net budget (or subsidy) for CEF in 2014/15 is £1,068,846. The service is currently forecasting to spend £730,000 in 2014/15 (due to scrutiny of all costs and unplanned income from a new external contract). Even taking this into account, the cost of the service is not economically sustainable for the County Council.</p>		

The current demand for meals does not utilise the full capacity of the Worksop factory unit. There is significant potential to increase capacity and therefore generate more income, which would reduce the overall subsidy required.

This proposal includes a number of initiatives which will produce efficiency savings within the service and generate new income. The range of proposals described in the document are anticipated to deliver savings in the region of £363k from changes to the staff structure and driver contracts, from savings on utilities and building costs linked to Rainworth and from the additional income generated by the small price increase. It is estimated that recurrent additional costs linked to the co-location proposal could amount to circa £70k resulting in net ongoing saving of approximately £293k a year.

1. Co-locate the production and distribution units to Worksop

The Council proposes that the two sites at Rainworth and Worksop are combined onto one site, as this will allow the service to make significant cost-efficiencies. The Council has considered the relevant factors (eg. locations, size and age of buildings, cost of re-location) and have also thought about the implications for the workers, as it would be very difficult for the disabled staff to travel to work in the factory, if their work base moved from Worksop to Rainworth. Taking all these issues into account, it is recommended that the Rainworth operation is moved to Worksop.

Some recurrent and one-off costs have already been identified and are described below; however the full costs of implementing this proposal will not be available until a fuller feasibility survey has been completed.

The savings due to this proposal will be realised from staff restructure (£120k pa, see 2c below for detail) and savings on utilities and building costs incurred by the Rainworth site (£41k pa). A small saving is also anticipated in fuel costs for the new delivery routes but further work is required to model this robustly.

Total savings forecast : £161k pa

These savings will be set against additional recurrent costs incurred by co-location.

Recurrent costs forecast :

- Lease of extra car parking for delivery vans working across north Nottinghamshire
Cost (based on sample quote for 28 vehicles at £12.50 a week x 52): £18k pa

- Possible lease costs for car parking of delivery vans serving mid and south Nottinghamshire, as the meals from the factory will be driven by lorry to this pick-up point, to prevent all the vans having to distribute out of Worksop.

- Any ongoing costs to secure the Rainworth building, once vacant tbc

One-off costs forecast :

- Travel and disturbance for driving staff (based on 20 staff travelling an additional 40 miles a day at 26p a mile over 2 years) £108k

- Change in vehicle requirement (2 additional oven vehicles at £20k each plus adaptations to 10 existing vehicles) £80k

- Cost to cease the operation on the Rainworth site, until any further usage can be identified. Cost to be confirmed on receipt of feasibility report due in late October.

tbc

2. Restructure of staffing, to include removal of some vacant posts, standardisation of drivers' staffing hours, restructure staff from 2 sites into 1 service.

a) Disestablish vacant posts

Disestablish vacant posts: 3fte (2fte at Grade 1, 1fte Grade 3) vacant posts at Worksop and 1.87fte vacant posts (1.6fte at Grade 2; 0.27fte at Grade 1) at Rainworth (4.87fte total).

Saving:

£92,545 pa

b) Standardisation of drivers contracts

Contracts for drivers will be revised to ensure that the hours worked reflect the level of work to be undertaken. This means that current contracted hours of work will be reduced, with the flexibility to increase the hours available when the level of work demands it. Driving staff contracts will be reduced to 20 hours a week, which is a reduction of between 2.5 and 12.5 hours a week. The total reduction in hours will be 50 per week (equivalent to 1.35fte).

Saving:

£26,461 pa

c) Restructure of staff from 2 sites to 1 service (as a result of co-location)

This will enable the service to reduce 5.26fte from Rainworth (based on mid-point of 1 x 37 hours at Band B; 1 x 32.5 hours at Grade 3; 125 hours at Grade 1), plus other small scale point savings.

Saving:

£119,881 pa*

**already counted at section 1.*

d) Removal of practice of drivers taking NCC vehicles home after delivery of meals

It is custom and practice that 28 drivers currently use a CEF vehicle to drive home and come to work.

The proposal is that all vehicles will be brought back to base at the end of a run. This may give a saving in fuel over a year, but is difficult to quantify at this point. This can be monitored over time. Advantages of the change are:

- Smarter working for the service, as all vehicles will be available on site when and where they are needed
- Fair and equitable treatment of all staff, since all staff will incur normal costs of getting to work and back home again

3. Small price increase to Nottinghamshire residents for the delivery of a meal

The cost of a delivered meal to a Nottinghamshire resident is £3.95. The same price is charged for a frozen and a hot delivered meal. No additional cost is charged to people who are not eligible for support from the Council under Fair Access to Care eligibility criteria. The price was increased to this level in April 2011.

The proposal is to increase the price by 30p (7.5% increase) to £4.25 per meal, to bring the price more in line with equivalent services made available by Local Authorities in the surrounding area. People would still pay the same price, whether they were eligible for support from the Council or not (i.e. eligible for services).

Local Authority	HOT MEAL PRICE* (Eligible clients)	HOT MEAL PRICE* (Clients not eligible)	FROZEN MEAL PRICE*	Is the price subsidised?
Barnsley and Doncaster	£5.65	£5.65	£4.00	NO
Derby City	£3.20	£5.10	£5.07	YES
Derbyshire	n/a	n/a	Via brokerage	NO
Leicestershire	£3.25	£6.95	£5.90	YES
Leicester City	£3.15	n/a	n/a	YES
Nottingham City	£4.35	£5.35	Varies according to the meal	YES
Rotherham	£5.15	£5.15	n/a	NO

*prices as at May 2014

The Council is suggesting a small price increase now, which we believe is justifiable for the following reasons:

- No price increase has been made since April 2011
- Other equivalent services are more expensive in other local authority areas in the region for non-eligible clients, and in three out of six local authority areas for eligible clients.

It is anticipated that 275,000 meals will be delivered in 2014/15. Assuming that meals numbers are maintained, a 30p increase in the price of a meal to £4.25 would generate additional income of : £82,500 pa

It is also proposed that a small price increase of 1.5% (based on Office for National Statistics reporting of Consumer Price Index at August 2014) is made in April every year to reflect costs.

4. New external contracts and grant income

The Council has won two new innovative business contracts to supply meals to Lancashire Fayre and a Swedish company called Romy. These two contracts are worth £287,500 pa and are confirmed for the next 12 months.

This new income will help offset some of the budget pressures in 2015/16 through the expected loss of the Nottingham City contract (£161,000 a year) from October 2014 and through the cessation of the Work Choice grant from central government (£124,800 a year) from October 2015.

These losses will be offset by the additional contribution towards overheads anticipated Work continues to identify new markets. CEF will focus on expanding the supply-only service i.e. production of meals and delivery in bulk to another delivery agent. For example, options include the NHS, providers who have won contracts with other local

authorities, and new providers of services to older people. The aim is to increase total production by 5,000 meals per week.

Earlier in October 2014, CEF was announced as the National Care Association's Catering Team of the Year 2014, so the Council anticipates that this award will help significantly to promote the business to potential new purchasers.

5. What Will the Outcomes of the New Service Be?

The subsidy required to operate CEF will reduce. The service will be restructured and various other measures will improve the commercial viability of the service, so that it is more likely to win additional contracts for work and become more sustainable into the future.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	2,729	NET £000	1,069
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	0	293	0	293
LESS Loss of Income	0		0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	0	293	0	293
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				27.4%

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	300	0	0	300
Revenue Costs	140	54	0	194

Still to be confirmed:

- One-off capital costs related to co-location to Worksop and cessation of operation on Rainworth site

Costs identified (totalled above) :

- One-off fleet requirements (circa £80k)
- One-off travel & disturbance (circa £108k)
- One-off driving staff hours buy out (£5.5k)

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

78.6

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

2015/16 2016/17 2017/18

0.0 11.5 0.0

11.5

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

The proposal will have an impact on all service users who have a meal delivered from this service, due to the proposed increase in price of 30p per meal.

ON OTHER ORGANISATIONS / PARTNERS

ON OTHER PARTS OF THE COUNTY COUNCIL

Any price increase will need to be communicated effectively to staff and appropriate changes will need to be made on any information for clients.

10. Initial Equality Impact Assessment

The proposal will impact on all adults currently receiving the meals service. The population is predominantly older people. 34% of these people are known to be eligible for receipt of support and services from the Council, so they will have protected characteristics related to disability or ongoing illness.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

- There is a risk that the price increase could reduce demand for the CEF service. Alternative options might need to be offered to people who were eligible for support and service from the Council.
- In mitigation the Council continues to market the service and has been successful in being awarded contracts for the supply of meals.



		Option Ref	C05
1. Service Area	Services for younger and older adults		
2. Option Title	Expansion of community-based care and support options		
3. Summary of Option			
<p>This proposal will deliver new person centred opportunities for people with eligible needs for low level support, to enable them to access local support and activity through partnership working across the public, private, voluntary and community sectors.</p>			
4. Rationale / Evidence Base for the Option			
<p>This is a transformative proposal aimed at people who are eligible for service from the Council, but who need only relatively low levels of support to enable them to be socially included and active within their local community. The Council proposes to work in partnership with the public, private, voluntary and community sectors to develop new ways for people to be involved and get appropriate support, by offering alternatives to formal day service and community provision, which can lead to dependency and reliance on long term care.</p> <p>These alternative opportunities will assist people to maintain their independence and social networks in their local community for as long as possible, and so prevent or delay demand for long-term support.</p> <p>This proposal responds to the following key principles in the Adult Social Care Strategy :</p> <ul style="list-style-type: none"> - good quality information and advice will be available to help people plan for the future, reduce the need for care services and maintain independence - we will share responsibility with individuals, families and communities to maintain their health and independence - we will enable people to live with the risks inherent in living independently - we will reduce the demand for institutional care and the need for long term care in the community by commissioning services that support independence - we will promote health and independence through joint working across the public sector <p>Redefining Your Council also stresses the need to use a diverse range of delivery models and partnerships to deliver the services that people need. The resulting new models from this proposal will meet people’s outcomes, promote independence, reduce reliance on long-term social care provision and will cost less than current services. Therefore, it is expected that the Council will be able to reduce the cost of personal budgets over time.</p>			

Of the people currently using formal day service provision, 464 people have low level needs for support during the day (as defined by the day service matrix system). This means that they have outcomes to be met around social contact and background support, but have no personal care needs and do not need support with emotional or behavioural issues, other than general oversight and perhaps encouragement or motivation.

The average number of days attended each week is two days, or four sessions. This costs the Council £15.30 per day. Personal budgets attributed to these service users amount to £710k pa (over 50 weeks).

This proposal aims to support a proportion of these service users to access alternative community options which will:

- meet their needs around social inclusion
- encourage them to become more independent, build on their existing skills and abilities and share those skills with others
- enable them to build their social networks within the local community and become more confident to use local facilities.

Suggestions for alternative service provision include:

1. Expansion of the co-production model to the other client groups

This service has been developed over the last 2 years to provide a flexible, safe and supportive environment within the community for people who are struggling with their mental health, who may or may not be eligible for support from the Council under Fair Access to Care Services guidance.

People who use the service are seen as co-producers, influencing the development of it to suit their needs and preferences, and sharing decision-making. Networks are being developed around the county, to enable people to meet together for support in community locations, share skills (e.g. through time-banking) and to inform people about activities that are already taking place within the local community. Community organisations, including the voluntary sector, have joined the model as partners and are keen to develop activities that meet support needs. Examples of activities underway include drop-in groups, art groups, music classes, gigs and horticulture.

Early discussions have indicated that expansion of the model is possible but further exploration is needed to understand more about the needs of the people with low level needs currently accessing formal day services, so that a pathway out of day services can be developed. More understanding is also needed about the people who have been granted personal budgets for social inclusion-type activities, to see how they are using that funding at the moment and what alternatives could be developed. An additional strand of work will be to explore how to expand the remit of the service so that it becomes the social inclusion delivery mechanism for rehabilitation and reablement provision across Nottinghamshire.

For example, in the Broxtowe area, the co-production model could work with existing U3A (University of the 3rd Age) networks to explore how older people could be linked into these activities. The Alzheimer's Society has developed a memory café in the Beeston area. The Volunteer Bureau in Broxtowe is also working on a scheme to

combat loneliness, using volunteers to telephone elderly people living on their own. Libraries are also keen to reach out to people who want support and activity during the day.

Initial discussions have suggested that 2 x Scale 5 Community Care Officers would allow implementation of this co-production expansion to proceed across Nottinghamshire. They would have a specific remit to understand the needs of the types of clients that the service would need to support (i.e. people who are socially isolated, who may have a personal budget or who may be going through a period of reablement, and people with a low level of need attending formal day services) and then develop the appropriate networks and partnerships to support those needs through the co-production model.

2. Greater use of Shared Lives carers to provide support during the day

Shared Lives is a scheme that recruits people from the local community to welcome vulnerable adults into their lives, both on a short-term and long-term basis. Support during the day can be offered as part of this scheme. As an example, Essex County Council funds this type of scheme as a day service for groups of people who meet within the home of a paid host. This is run by Essex Cares Ltd.

3. Greater use of digital technology and social networking to link people together

The People and Places website is a new scheme which offers a secure web-based portal aimed at vulnerable people, to help them link up for activities and pool the resources in their personal budgets (e.g. sharing support staff). Features include:

- a community network
- Good Stories library
- search for a house mate
- time banking/skills match
- information on gadgets and Assistive Technology
- search for local self-advocacy groups across the country
- activity planners, online diaries and forum for creating and posting events
- feedback forums
- person centred planning tools.

This kind of forum helps people to find appropriate local resources and offers more choice and control, based on informed decision-making. People can create or join local groups, search for and share activities in the area, maintain friendships and search for new people who share their interests. Other uses are to exchange ideas, problem solve and learn from best practice. People can ask for help from others in relation to gaps in skills e.g. computer skills, social skills, basic literacy, public transport etc. The information held on the system can be used as a qualitative record of outcomes and achievements over time, as well as areas of difficulty.

Options for implementation costs

There are costs linked to the implementation of these schemes but there are many sources of funding available to charities and social enterprises to help with social inclusion, particularly for deprived areas. Therefore the Council could establish a partnership to develop these proposals, within which relevant partner agencies could

apply for funding. For example – Cecil Rosen Charitable Trust, Charles Hayward Foundation, Henry Smith Charity, JN Derbyshire Trust.

Advice from Economic Development colleagues is that this proposal may be eligible for European Social Fund funding under the category of Access to Quality Services and within the theme of objective T09, to enhance social inclusion and combat poverty.

5. What Will the Outcomes of the New Service Be?

The opportunities across Nottinghamshire will be expanded for vulnerable people to receive background support and engage in activity which develops skills, enhances social networks, strengthens physical and emotional health and well-being and gives carers a break.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	<input type="text" value="4,070"/>	NET £000	<input type="text" value="4,070"/>
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	50	100	100	250
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	50	100	100	250
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?	<input type="text" value="6.1%"/>			

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	61	61	0	122
<ul style="list-style-type: none"> • 2FTE Community Care Officers @ Scale 5 				

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?				<input type="text" value="0.0"/>
	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0	<input type="text" value="0.0"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

People who have low level support needs and do not have personal care needs will be able to access community-based activities as an alternative to formal day service provision.

People with low level support needs who do not access any activities or support during the day will benefit from new local opportunities and this will help them to maintain their independence and skills, as well as widen their social network.

ON OTHER ORGANISATIONS / PARTNERS

This initiative will require considerable support and involvement from a wide range of partners in the community and voluntary sector. Current providers of formal day services may be impacted by a loss of business and income from these service users. Alternative schemes (e.g. co-production, Shared Lives) will come under increased demand for support and activity.

ON OTHER PARTS OF THE COUNTY COUNCIL

This initiative may impact on attendance at the County Council's day services from people with low level support needs. Any changes in attendance will impact on the requirement for transport.

10. Initial Equality Impact Assessment

People affected by this proposal include older people and people from all the disability groups (mainly learning disability but also physical disability and, to a lesser extent, those with mental health needs), where those people have relatively low level needs for support and inclusion. An Equality Impact Assessment has been undertaken and concluded that in the main the proposal will have a positive impact on these protected characteristics.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

Risk that alternative community options cannot be developed at sufficient scale to provide appropriate long-term support and activities for all the people with low level needs.

Mitigation: The Council will build on its success in supporting innovative alternatives such as the co-production initiative in mental health day services which gives greater control to service users in building and developing flexible community support services.

Risk of challenge from people with low level needs and their families, who do not wish to have their personal budgets reduced as alternative community activities become established.

Mitigation: People will be given greater choice of low level services available to them and will be provided with the opportunity to try alternative community options.

The project will be planned to minimise the likelihood of these risks emerging as the project is implemented. Monitoring will take place to ensure that if the risks do emerge as issues, appropriate actions can be taken.



	Option Ref	C06
1. Service Area	Services for younger adults - residential care	
2. Option Title	Reducing the average cost of residential placements	
3. Summary of Option		
<p>The Council will reduce the cost of care through negotiating with care providers about how we agree fees for individual service users. We will also consider how people's needs are being met currently and how they may be met differently in the future.</p>		
4. Rationale / Evidence Base for the Option		
<p>The Council continues to support the delivery of high quality services that promote people's wellbeing and are flexible and responsive to people's individual needs.</p> <p>The Adult Social Care Strategy emphasises that the Council should be providing support that reduces or delays the long term need for care and should be commissioning services that promote independence as much as possible.</p> <p>The net budget for residential and nursing home care in younger adults is £42m in 2014/15. There is already one savings project underway to reduce costs of residential care by £1.523m (net), which will be achieved by moving 120 people out of residential and nursing care into more cost-effective supported living arrangements.</p> <p>This proposal seeks to reduce the cost of the remaining packages through negotiations with the care providers, rather than by moving people into alternative living arrangements, which takes considerably longer to organise and is not appropriate for many people.</p> <p>Implementation of this option will involve the following.</p>		
<p>1. Carrying out focused reviews for residents with high cost care packages and significant additional support hours</p> <p>The aim of these reviews will be to agree with the provider how they can support people to promote their independence over time and reduce additional support where it is no longer appropriate.</p>		
<p>2. Working with providers to understand their staffing rotas</p> <p>Analysis will focus on whether the hours on the rotas reflect the total amount of individual support that the Council has agreed to buy for all the individuals' in the home. It will also consider how rotas vary when people are using other services during the day in order to ensure that the Council is not paying twice for support to the same person.</p>		

3. Reviewing how the Care Funding Calculator (CFC) is used

When any placement is costed, the Council will take into account what the normal level of staffing in the home is so that it is possible to work out what care and support tasks can be managed on a routine basis, before thinking about whether any additional staffing should be funded. The Council will review the level of allocation for different elements of the CFC formulae on the basis of good practice elsewhere.

4. Developing a culture that expects the promotion of independence over time

Fees are agreed when someone moves into a care home and the fee then remains the same for as long as the person lives in that home. Reviews do not currently consider how a person should be supported to become more independent over time, so that they will need less support within the home. The Council intends to foster a culture of promoting independence, so that all reviews consider how independence can be promoted and fees reduced over time.

5. Strategic review of the residential market for younger adults

The Council intends to carry out the actions listed above (1–4), alongside a strategic review of the residential care market for younger adults. This review will consider:

- the needs of younger adults within Nottinghamshire for support and accommodation, now and predicted, against the current residential market and supported living provision
- how residential care providers could better work alongside supported living providers, to help facilitate a model of increasing independence
- how many smaller specialist homes (and individual units) are needed to support people with complex behaviours, as well as how many homes catering for minority groups are required
- how the size of home and how staff are deployed in the home varies, and what we can learn from this about best value
- any advantages to be gained from block funding arrangements for certain specialist services
- the advantages that might be gained from agreeing set prices based on an average level of care
- whether banded rates for specific homes would be useful.

Working with neighbouring authorities could bring benefit to this option in terms of the approach they take to agreeing fees with providers in Nottinghamshire. Discussions with Derbyshire, Nottingham City, Lincolnshire and Leicestershire will commence at an early stage in order to agree some common principles.

5. What Will the Outcomes of the New Service Be?

Independence will be promoted for people living in long term care.

The cost of some of the higher cost packages will be reduced and the use of shared hours across homes will be maximised, where there are a number of high cost packages.

There will be a change in culture across the younger adults services, so that staff set the expectation that care and support costs will change once the period of transition into a new residential placement is over. Support costs will reduce as independence is maximised.

We will develop a market that better meets the needs of younger adults in Nottinghamshire, with residential services working along-side, rather than in competition with, supported living, to promote people's independence.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	<input type="text" value="51,194"/>	NET £000	<input type="text" value="41,929"/>
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	500	1,000	1,000	2,500
LESS Loss of Income	0	0	0	0
LESS Costs of Reprovision	0	0	0	0
NET SAVING	500	1,000	1,000	2,500
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				<input type="text" value="6.0%"/>

7. Estimated Implementation Costs

Additional staffing is required to provide the necessary capacity to undertake the reviews and negotiations. Discussions are underway with our NHS partners, to seek a contribution of 50% (£76k per annum) towards the total cost of these staff, since they will share in savings made on the high cost packages to which they contribute funding.

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	76	76	76	228

A project manager will also be required to co-ordinate the strategic review and agree proposals for future costing of placements, alongside the staff undertaking reviews of current placements.

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?				<input type="text" value="0.0"/>
	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	0.0	0.0	<input type="text" value="0.0"/>

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

The Council will be promoting the independence of service users by reducing their reliance on support hours that are no longer needed. It is possible that this may be met with resistance from some providers.

ON OTHER ORGANISATIONS / PARTNERS

NHS partners should benefit from more cost effective homes and a market that better reflects the needs of people requiring residential care.

Some residential home providers are likely to see a reduction in their profit margins.

As the authority is promoting independence and supported living, there is likely to be a change in the amount and type of residential homes required over time.

Residential home placements are more likely to be made for either a short term period only (i.e. a year or two, rather than lifelong) or because the person who needs the placement has complex needs that cannot be met appropriately through supported living. This may mean that some homes will decide to change client group, close or seek to de-register to become supported living.

ON OTHER PARTS OF THE COUNTY COUNCIL

None envisaged at this stage.

10. Initial Equality Impact Assessment

This proposal will apply to all younger adults in residential care across all of the following client groups: learning disability, physical disability, autistic spectrum disorders and mental health. It is not possible at this stage to identify if it will have a differential impact on one particular client group more than another. Therefore, a separate equality impact assessment has been undertaken as part of the review process.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

Risk of challenge, either by providers or service users/carers opposed to a change in the size of a residential care package.

Mitigation – the new Adult Social Care Strategy provides the framework for this proposal. Will also be mitigated through early engagement with providers, services users and carers.

Risk of overlap/double counting with other existing/new savings projects.

Mitigation - the project manager has oversight of all the activity in younger adults' residential care and manages the approach along-side the strategic review to ensure key messages are consistent and providers are involved in the process from the beginning.

Risk of other authorities moving people into homes at fees higher than we are agreeing thus undermining the negotiation process and strategic review.

Mitigation – develop partner relationships with neighbouring authorities regarding good neighbour commissioning and involve them in our strategic review.



Option Ref C07

1. Service Area Strategic Commissioning

2. Option Title Review of Contracts

3. Summary of Option

This option involves reviewing contracts relating to: 1) the Smile Stop Hate Campaign; 2) the continence training and awareness package for social care staff and carers; and 3) the provision of advice and information for carers in Nottinghamshire, with a view to jointly commissioning with Clinical Commissioning Groups a new Carers' Information, Advice and Engagement Hub.

1) The Smile Stop Hate Campaign:

This project has run for eight years with the aim of raising awareness of hate crime against people with learning disabilities in order to improve both their safety and independence. It has done this through working with people with learning disabilities and also the wider community. The project has run training in schools, attended community events and provided specifically tailored awareness raising sessions, for example, to the police. It has recently piloted a 'Safe Spaces' initiative which signs up business owners to their shops etc being a place that people with learning disabilities can go to seek help from if required. It has achieved its initial objectives and it is now timely to take this work forward within mainstream community safety work.

2) Continence training and awareness package for social care staff and carers:

A reduced, more focused level of training will be funded for social care staff and carers for one year whilst a full review is undertaken. The Continence Advisory Services (CAS) provided by NHS City Care and Nottinghamshire Healthcare Trust will provide a more targeted interim service, with a view to social care ceasing funding from April 2016.

3) Carers' Information, Advice and Engagement Hub:

Outcomes from four existing contracts will be re-commissioned in partnership with Clinical Commissioning Groups (CCGs) to develop a joint specification for a new Carers' Information, Advice and Engagement Hub, with the new service starting in August 2015. This will provide fairer and wider coverage of carer support, as well as being more cost effective. The CCGs and Nottinghamshire County Council will jointly consult and engage with carers, leading to less duplication and more coherent communication.

4. Rationale / Evidence Base for the Option

1. The Smile Stop Hate Campaign has been operating for eight years. The current Nottinghamshire County Council funding for this time-limited project is £20,000 per annum. It was originally funded by the Learning Disability Partnership Board on a grant basis, using the Learning Disability Development Fund. This specific ring fenced Learning Disability Development fund has now ended and the service is currently fully funded by adult social care.

It is recognised that this has been a valuable project in raising awareness of hate crime within both the learning disability population and the wider community, through training in schools and attendance at community events as well as training of the police. It has recently included a 'Safe Spaces' development, where staff working in shops, pubs etc. get basic awareness raising regarding the needs of people with learning disabilities, and are then able to offer help when people are out and about in their communities should they require it.

Since the work began there has been an increase in the amount of hate crime reported against people with learning disabilities in Nottinghamshire, showing awareness raising amongst people with learning disabilities is working. It is now timely to embed this work within other Community Safety approaches, rather than to continue as a discreet project. It is not a statutory duty of the Local Authority and there is no evidence of a direct impact of it stopping people needing social care or reducing their level of need. It does not therefore meet with social care's prevention priorities within the new Adult Social Care Strategy or Care Act.

Discussions with the Council's Community Safety Team, District Councils and the police have started to plan how the objectives of the work could potentially be delivered through other means as part of the wider Community Safety agenda. Temporary funding has been identified by the community safety partnership to enable work with the current provider to continue until the end of June 2015 to develop and implement this plan.

In addition, it is proposed to include the remaining uncommitted money from the Learning Disability Development Fund Funding (£20,000) as part of the overall saving.

2. Continence training and awareness package for social care staff and carers

The Continence Advisory Service (CAS) is currently funded by social care to provide training and awareness raising sessions for social care staff (Council and independent sector) as well as for family carers. The Council purchases this for South Nottinghamshire from NHS CityCare and in the North from Nottinghamshire Healthcare Trust. The total budget for this is £62,873 p.a.

The service provides information, advice, support, and training regarding continence issues. The services support both quality of care, whilst also giving staff and carers the knowledge to be able to identify, refer and prevent illness. Continence can have direct impact on the level of social care an individual requires and is one of the significant factors in people moving to residential care.

Whilst the Continence Advisory Services offer good advice and support, their courses now often run with high vacancy levels and means the service in its current form does not offer value for money. In addition, the current Service Level Agreements do not allow a targeted approach where individual providers / teams can access bespoke training. In addition, whilst continence is a significant issue, responsibility for continence promotion is a health, rather than social care responsibility. Discussions have therefore begun with the Clinical Commissioning Groups' contract lead as part of the current review of community services in the county.

It is recommended that:

- a reduced service continues to be funded during 15/16, but is targeted to support people most in need, pending further discussion on responsibility for continence training and awareness raising. The total cost of this would be £17,000, releasing savings of £45,873.
- the remaining budget of £17,000 is removed in 16/17, following discussions with the Clinical Commissioning Groups through their continence services contract lead.

3. Carers' Information, Advice and Engagement Hub

Currently the Council's social care service funds three separate contracts for the provision of advice and information for carers across the county, at a total cost of £150,477:

1. Universal Services for Carers - the Carers Federation is the present service provider
2. Giving a voice to carers of people with a learning disability - Independent Voices for Engagement is the present service provider
3. Support Service for carers of people with a learning disability - Mencap is the present service provider

In addition, the Clinical Commissioning Groups (CCGs) also fund carer support for the health related referrals into the Adult Carer Support Service. The current situation means that there is overlap between all the services provided, an unequal distribution of resources for carers and scope for more joined up working across health and social care. The proposal is to jointly commission with CCGs one new Carers' Information, Advice and Engagement Hub which will provide all of the above services.

5. What Will the Outcomes of the New Service Be?

1. Smile Stop Hate Campaign – the outcomes of project will be mainstreamed.
2. Continence Advisory Training - a reduced, more focused level of training which is in line with current demand will be provided for one year to social care staff and carers by the current providers. Running a reduced service for a year will enable key staff requiring the training and carers to continue to receive this pending the wider review of continence advisory services which is being led by Public Health.

3. Carers' Information, Advice and Engagement Hub will:

- provide a one stop shop for provision of information and advice for carers, signposting to appropriate services and facilitating onward referral
- provide assistance to carers to carry out online Carers Assessments
- provide personal development opportunities for carers including training group/community development
- facilitate engagement and involvement opportunities for carers with the local Clinical Commissioning Groups and the County Council.

The overarching outcome that this will deliver is to support carers in their caring role, with increased:

- number of carers identified
- number of carers assessed
- number of carers accessing information and advice
- number of carers being supported
- number of carers who are engaged and involved in shaping the future CCG and Council's carers' agenda
- satisfaction of carers with the information and advice they receive.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?

GROSS £000 NET £000

WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	86	43	0	129
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
NET SAVING	86	43	0	129

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	0	0	0	0

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

0.0

2015/16 2016/17 2017/18

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

0.0 0.0 0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

(incl. considerations relating to vulnerable people and communities & equality)

1. Smile Stop Hate Campaign. The project focuses on improving the safety of people with a learning disability. It is difficult to accurately measure its direct impact, but generally people say that they feel more aware of how they should be treated and are more likely to tell someone if they have not been treated well. Hate crime figures reported to the police have seen an increase since the project started. Any negative impacts of ceasing the project will be minimised by taking forward the work and embedding the learning from it, within mainstream community safety services.

2. Continence Advisory Service. The aim is to initially offer a reduced service, so there may be some staff or carers who may have to wait longer to be able to access training and/or advice, support and information about continence. Discussions are taking place with the aim of continuing to offer this service as part of the CCG overall specification for continence services from April 2016.

3. Carers' Information, Advice and Engagement Hub. The aim is for these contracts to be combined in order to provide a better service, offering fairer and wider coverage of support to carers. The savings will be delivered through economies of scale from joining together the existing separate contracts.

ON OTHER ORGANISATIONS / PARTNERS

1. Other community safety partners (e.g. Police, District Councils) will not receive the continued specific input that has been provided by the scheme, e.g. helping the police to develop user friendly hate crime reporting sheets and will need to ensure that learning from the project is fully embedded within their services.

2. The reduced budget will have an impact on the two organisations currently commissioned to provide the Continence Advisory Services, as they will receive less funding. This may also have an impact on Clinical Commissioning Groups (CCGs).

3. The new Hub will be more sustainable and provide a more consistent level of support to all carers. A joint approach to consultation and engagement of carers by health and social care will mean less duplication for carers, better communication and use of the information provided.

ON OTHER PARTS OF THE COUNTY COUNCIL

1. This project has contributed to the wider corporate community safety agenda

and could therefore have an impact on the community safety team within the Council.

2 & 3. Not applicable.

10. Initial Equality Impact Assessment

- 1. Smile Stop Hate Crime:** The beneficiaries of Smile Stop Hate Crime are people with a learning disability, who could therefore, be disproportionately affected by changes. Adult Social Care is working with the Community Safety Partnership to look at how the work of this project can be continued, either as a discrete project or as part of the wider hate crime agenda, and therefore it is anticipated that there will be no significantly negative impact on this protected group. The work of the project to date in raising the profile of hate crime against people with a Learning Disability is likely to continue to have a positive effect, due to more general awareness of this issue.
- 2. Continence Advisory Services:** As this is a reduced service for 2015-16, there may be some staff who may have to wait longer to be able to access training, and/or advice, support and information about continence. In the following year, from April 2016, unless the local NHS picks up the support provision of the service, the services will cease. This will have an impact on Social Care staff who will be unable to access Continence training and advice through the current route. This in turn may have an impact on the service users and carers in contact with social care staff who may not receive the most up to date and accurate advice about continence. It is possible that these carers and service users may have some degree of disability, either mental or physical, or are older adults (and therefore be in some of the protected categories) and may be disproportionately affected by changes. However, it is not expected that the impact will be significantly negative on these protected groups. Adult Social Care is working in partnership with Public Health and local Clinical Commissioning Groups to consider how this work can be picked up through the NHS. In particular, continence has been identified as an area for consideration under the NHS's Community services Review.
- 3. Carers' Information and advice :** Overall this will be an enhanced service, enabling a fairer and wider coverage of support to carers. Therefore the impact will be a positive one. With the merging of the 3 contracts, potentially carers of people with a learning disability may feel the loss of the Mencap and the Independent Voices for Engagement services, which will be decommissioned. Also these 2 organisations will experience a reduction in their funding.

The Carers Commissioning Manager has already been in conversation with the Learning Disability Carers Group, who were generally in favour of the proposal; and with the Carers Federation. The Learning Disability Commissioning Officer has been liaising with Mencap and the Independent Voices for Engagement to keep them informed.

The specification for the new service includes provision for carers of people

with a learning disability, and ensures a comprehensive and local service for all adult carers.

Overall the impact of the new contract will be a positive one, as the contract will ensure a more equitable coverage for all carers e.g. carers of people who misuse substances and seldom –heard carers.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

1. Smile Stop Hate Campaign: Sufficient co-ordination of the safe spaces and time to embed the concepts will help mitigate the risk that the project does not have on-going impact in Nottinghamshire. This would aim to ensure that more people with a learning disability are able to feel safe going out and about on their own and leading independent life-styles.

2. A reduced level of training in continence advice will continue for one year whilst the overall review of Continence Advisory Services funded by Clinical Commissioning Groups is undertaken. There is a risk that following review, it is not agreed to include this element of service within the wider set of continence services. It is anticipated that negotiations will take place to look to include targeted training and awareness raising as a part of the new service offer.

3. Initial discussions with the Learning Disability Carers Group were generally positive. Contracts are due to expire and go out to tender, so current providers would experience the impact of this anyway. The Council routinely offers support to existing providers following the outcome of any tender process. All providers have been notified of this proposal.

The key mitigation is to work with the new provider to ensure that new service includes appropriate provision for carers of people with a learning disability and ensures a comprehensive and local service for all adult carers.



Option Ref		C08
1. Service Area	Children's Disability Service	
2. Option Title	Children's Disability Services Review	
3. Summary of Option		
<p><i>A Review of Children's Disability Services received Full Council Approval in 2013-14 as part of business case C19 in the 2013-14 budget consultation. This proposal is to extend the current business case to include a fourth year saving in 2017-18.</i></p> <p>A thorough review of the service has highlighted that savings can be achieved in 2017-18 as the development of the service is likely to be over a 3-5 year period. Consultation will be undertaken on Options around personal budgets / direct payments.</p> <p>Benchmarking data shows that Nottinghamshire spends significantly more than its statistical neighbours (comparable local authorities) on children with disabilities. A 30% savings target has been set over 4 years.</p> <p>A number of initial work streams have been identified, including:</p> <ul style="list-style-type: none">• Understanding current need and forecasting future demand for services• Consideration of options around personal budgets / direct payments• Providing more flexibility and choice for parents and carers• A comprehensive review of current service provision <p>The next stage will be detailed business planning including key milestones, reporting and monitoring arrangements, risk management and financial analysis for the individual work streams. Detailed consultation will take place throughout each phase.</p>		
4. Rationale / Evidence Base for the Option		
<p>The Children's Disability Service sits within Children's Social Care and provides support to children with a disability and their families who require both the services of a specialist social worker and specialist disability services. The Children's Disability Service brings together social work services with residential homes for children with a disability, homecare, sitting and befriending, occupational therapy, short breaks and direct payments. The catalyst for this project is to provide better flexibility for young people and their families, who are in need of specialist disability services.</p>		

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

227.2

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

2015/16 2016/17 2017/18

0.0

To be confirmed

0.0

To be confirmed

It is important to note that this options for change was previously consulted on, but for 3 years only. This proposal is to factor in a fourth year saving.

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES (incl. considerations relating to vulnerable people and communities & equality)

It is expected that any proposed changes to the way the Children's Disability Service is run will require an Equality Impact Assessment and consultation with relevant groups.

The potential introduction of personalisation over time is likely to have a positive impact on service users. This will enable families to have more input and control over how a child or young person is supported. However it is possible that budget reductions may result in a reduced service in some areas.

The detailed development of proposals will enable a full analysis of potential impacts on service users and appropriate action to be identified.

ON OTHER ORGANISATIONS / PARTNERS

This will be considered as part of proposal development.

ON OTHER PARTS OF THE COUNTY COUNCIL

This will be considered as part of proposal development.

10. Initial Equality Impact Assessment

Children's Disability Service - it is expected that an Equality Impact Assessment will be required due to the potential impacts on children with disabilities and their families of any changes to the way the Children's Disability Service is run. This will be completed once detailed options for change are developed.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

Y

11. Risks and Mitigating Actions

Risk: Timescales to deliver savings could lead to risk of limited time to consult with parents, interest groups and other stakeholders.

Mitigation: Robust project management is in place, which involves mapping out timelines and key consultation and decision points.

Risk: It may not be possible to identify sufficient savings to meet the proposed savings target by 2017-18.

Mitigation: Further options scoping will determine the deliverability of these savings.

Risk: Nationally, it is unclear whether the personalisation agenda has achieved any efficiencies and implementation of personalisation may result in increased costs in the short term.

Mitigation: Close consultation has been undertaken and is ongoing with other local authorities to learn lessons from their approach.



Option Ref

C09

1. Service Area

Transport and Travel Services

2. Option Title

Reducing Local Bus Service Costs

3. Summary of Option

The reduction will be achieved by withdrawing low performing services based on cost, usage and a number of socio-economic factors. In addition the frequency of some services would need to be reduced from hourly to two hourly and increased use of connecting services rather than direct services.

To review and reconfigure the local bus service network to reduce expenditure by £720k between April 2015 and March 2017. This will be achieved through:

- reviewing bus networks which were not part of the 2014 review (46 contracts with a value of £2m) to be completed by April 2015
- monitoring the new contracts under a revised performance criteria (set out in the Transport & Highways Committee Report October14) to identify poor performance and consider withdrawal of these services by August 2016
- provision of more connecting (rather than direct) demand responsive services or taxi bus especially in rural areas, (rolling programme), including Community Transport.
- further use of the internal fleet to jointly operate local bus, social care and education transport, building on the successful integration of services this year
- targeted marketing of high performing supported bus services with a view to increasing patronage and income to facilitate these services becoming fully commercial without continuing financial support from the Council. (April 2015)
- introduction of a new North East Bassetlaw network. (April 2015)

This could lead to an overall reduction in the transport network (Nottinghamshire County Council supported and commercially provided).

Bus operators have absorbed some of the current funding reductions but have also taken decisions to vary some commercial services to reduce costs. Further reductions could significantly affect the remaining local bus network with probable reductions and withdrawal of marginal commercial routes in rural areas. The County Council supported services will continue to provide access to essential services in mainly rural areas, however there would be no funding available to replace the commercial reductions or withdrawals. The Council supports around 100 services which are a mix of funding for marginal commercial services and local bus services which are predominantly rural .The changes may involve the following:

- reductions in frequency and operating times (e.g. hourly frequency reduced to two hourly with limited peak hour trips)
- withdrawal of peak hour and daytime commercial services
- the withdrawal of some bus operators from the market limiting the provision of services and reducing competition which could impact on tender prices

4. Rationale / Evidence Base for the Option

The current efficiency programme will reduce the local bus service budget by £1.8m to £4.2m by 2015/16. This has been achieved by service withdrawals £0.7m and reconfiguration £1.1m. The new network commenced in August 2014 and will operate to April 2016. Some £2m of services have not been reviewed and it is intended to do so over the next nine months including a significant area of work in North East Bassetlaw which has already started. Improved monitoring and data management of the services will enable future decisions on service retention to be more rigorous ensuring that service performance determines which services to continue supporting. The recent efficiency work showed that delivering services in a different way can deliver efficiencies.

5. What Will the Outcomes of the New Service Be?

- Continuing to provide access to key services albeit in a different way
- Comparable unit costs to other similar authorities is based on the CIPFA average data
- More robust monitoring and management of performance
- Further integration of services with the internal passenger fleet
- Continuing to provide high quality services maintaining our national recognition.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	<input type="text" value="25,043"/>	NET £000	<input type="text" value="18,416"/>
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WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	300	300	220	820
LESS Loss of Income	0	0	0	0
LESS Costs of Reversion	0	0	0	0
NET SAVING	300	300	220	820

WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?

This includes £100k of staff savings.

The net budget for local bus services in 2014/15 is £4.2m.

7. Estimated Implementation Costs

WHAT ARE THE ESTIMATED IMPLEMENTATION COSTS?

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	0	0	0	0
Revenue Costs	20	15	0	35

Revenue costs will be funded from the Bus Service Operators Grant (BSOG)

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?				50.0
	2015/16	2016/17	2017/18	
WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?	0.0	2.0	2.0	4.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES

The reductions will limit the transport options available to people especially low income households who rely on bus services. In some cases people may not be able to get to health services or work. This could impact on personal health and well-being, independence and mobility. It may require users to alter their travel passes and work arrangements.

ON OTHER ORGANISATIONS / PARTNERS

Service reductions will have an impact for bus operators, business, retail and leisure as well as impacting on development and growth.

ON OTHER PARTS OF THE COUNTY COUNCIL

If the opportunity to integrate is lost or not pursued further then Children Families and Cultural Services and Adult Social Care and Health will incur additional costs.

10. Initial Equality Impact Assessment

The proposals may have a higher impact on people who do not have any alternative travel options such as older people and people with disabilities.

Reduced opportunity for vulnerable people to undertake travel training.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)	Y
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11. Risks and Mitigating Actions

- (a) The loss of services may affect other commercially operated local bus services due to revenue loss for the business.
MITIGATION: Work with the bus operators to agree sustainable solutions to retain the commercial network.
- (b) Changes to frequency and interchange may restrict access to key services.
MITIGATION: Intensive consultation/discussion with communities to identify any key issues and potential solutions.
- (c) Failure to provide new passenger data software leading to poor performance data.
MITIGATION: Ensure that the new software implementation is given priority.
- (d) Costs in the private sector increase above inflation.
MITIGATION: Could increase internal fleet operations or reduce services further.
- (e) Other County Council departments also face budget reductions which may include policy changes which could have unintended consequences for this option, leading to the loss of integrated routes.
MITIGATION: Ensure that all transport proposals are considered collectively.



		Option Ref	C10
1. Service Area	Waste Management		
2. Option Title	Waste minimisation through investment in smaller residual waste bins.		
3. Summary of Option			
<p><i>Fund the purchase and replacement of smaller residual waste bins to reduce waste tonnages, release disposal cost savings, and improve recycling and composting performance. This initiative is potentially to be trialled first in one district to prove the concept before it is rolled out more widely.</i></p>			
4. Rationale / Evidence Base for the Option			
<p>The purchase and supply of wheeled bins to residents is the statutory responsibility of district councils. They predominantly supply 240 litre bins for residual waste to every home in the county. These 240 litre bins produce around 200,000 tonnes of residual waste in a year, for which the County Council has to pay for the disposal.</p> <p>Restricting capacity in the residual waste bins will require residents to better utilise both the recycling bins and any green waste collection services provided by the waste collection authority, improving overall recycling and composting performance.</p> <p>It must be stressed that any change to smaller bins will need to be by agreement with the borough/district councils and be phased across the county, initially being implemented where savings are greatest.</p> <p>It is proposed that a trial is carried out in one district of Nottinghamshire initially.</p> <p>If the scheme proves to be successful, and consequently taken up by the other districts further capital would be required to purchase new bins and additional savings would occur.</p> <p>Around £880k of capital would be required to purchase replacement 180ltr bins for one district council. Assuming a three month replacement programme (delivering new bins and removing the old ones), and a subsequent 10% reduction in residual waste, this could result in a (part) year one gross saving of £297k rising to £330k per year thereafter. If the residual reduction was greater than 10% then the saving would be more, if it was less than 10%, then the saving would be less.</p> <p>If all 240 litre bins in the County were subsequently exchanged for 180 litre capacity (25% reduction) and overall waste reduced by just 10%, once the £6m capital cost of the bins had been recovered it could potentially make revenue savings of up to £1.5m per year.</p>			

5. What Will the Outcomes of the New Service Be?

The option would provide households with a new, uniform bin of the same size for the disposal of residual waste, and potentially allow existing bins to be reused for the collection of green waste. Other than that waste collection arrangements would remain the same.

At the same time, the option should deliver reduced amounts of residual waste, which in turn would deliver savings.

6. Projected Net Savings to the Budget

WHAT IS THE PERMANENT BUDGET?	GROSS £000	33,000	NET £000	30,000
WHAT ARE THE PROJECTED NET SAVINGS TO THE BUDGET?				
	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Gross Saving	297	33	0	330
LESS Loss of Income	0	0	0	0
LESS Costs of Re provision	0	0	0	0
LESS Costs of financing and MRP	-103	0	0	-103
NET SAVING	194	33	0	227
WHAT ARE THE NET SAVINGS AS A % OF NET BUDGET?				0.8%

Note that the savings are indicated as saving against the overall Waste and Energy service budget (£30m including landfill tax of £12m), and not against the direct budget for this service element of circa £18m.

In the case of the example above:

Total Capital Cost : (44,000 bins @ £20)	£880k
Annual Residual Waste Tonnage Reduction: (33,000 tonnes @ 10%)	3,300 tonnes
Annual Savings in Waste Disposal Cost: (3,300 tonnes @ £100 per tonne)	£330k
Net Financial Benefit Annual Savings in Perpetuity: @8%	£2,837k
Therefore payback period: (£880k / £333k)	2.4 years

7. Estimated Implementation Costs

	2015/16 £000	2016/17 £000	2017/18 £000	TOTAL £000
Capital Costs	880	0	0	880
Revenue Costs	0	0	0	0

It is assumed that the capital costs would be repaid with the first three years of revenue savings, with these savings bankable thereafter.

8. Projected Permanent FTE Reductions

WHAT IS THE CURRENT PERMANENT FTE STAFFING?

16.0

WHAT ARE THE PROJECTED PERMANENT FTE REDUCTIONS?

2015/16 2016/17 2017/18

0.0 0.0 0.0

0.0

9. Anticipated Impact

ON SERVICE USERS AND COMMUNITIES (incl. considerations relating to vulnerable people and communities & equality)

All users would have 25% reduced residual capacity, which will make users think more about purchase and disposal decisions they make, promote sustainability and should see increased take up of kerbside green waste collections and improved dry recycling capture rates.

ON OTHER ORGANISATIONS / PARTNERS

This proposal would need agreement from the relevant district councils as it is their statutory responsibility to provide bins, however they budget collectively £300k per year to replace bins so this would be a saving to them. They may also receive more enquiries from residents about the introduction of new bins in the short-term.

ON OTHER PARTS OF THE COUNTY COUNCIL

None

10. Initial Equality Impact Assessment

It is not believed that the proposals will have a disproportionate, adverse or negative impact on people with protected characteristics.

As the new bins would be smaller, lighter and more manoeuvrable this would be more beneficial to a wider range of people. With regards to people producing large amounts of waste due to medical conditions etc, districts already have systems in place to capture these and provide alternative options for capacity disposal.

WILL A FULL EQUALITY IMPACT ASSESSMENT BE REQUIRED? (Y/N)

N

11. Risks and Mitigating Actions

Risk: Payback period

Mitigation: Introduce the changes initially in areas of the County where payback of the capital investment would be made in the shortest period possible.

Risk: Fly-tipping

Mitigation: Capacity reduction is not that dramatic and districts have enforcement teams in place to combat this.

Risk: Contamination of dry recyclable/green waste bins

Mitigation: Could improve capture rates, monitoring and sampling regimes in place, district council enforcement.

Risk: Bin capacity is not fully utilised at present so reduction in tonnage is not realised, therefore cost of bins and ongoing savings not realised.

Mitigation: Trial one district at a time and learn from experience, if savings overstated then reappraise or discontinue option.

Risk: District Councils do not support proposal

Mitigation: This option would save around £300k in bin replacement, reduced waste may allow further rationalisation in vehicles and labour creating further savings and all households would have the same coloured bins for residual waste.

REPORT OF THE LEADER OF THE COUNCIL**STAFFING STRUCTURE FOR PERFORMANCE, INTELLIGENCE AND
POLICY TEAM****Purpose of the Report**

1. The purpose of this report is to seek approval for the staffing structure for the Performance, Intelligence and Policy team which is part of the Corporate Strategy Group in Policy, Planning and Corporate Services Department.

Background

2. The savings proposals that were agreed by Policy Committee on 13th November 2013 included a number of outline business cases that were to deliver savings in performance functions that were dispersed across the council prior to the centralisation of performance. This has resulted in savings equivalent to 9.2 fte's.
3. As part of the development of the Strategic Management Framework it was agreed that performance management functions from across the council would be centralised into a new team, the Performance, Intelligence and Policy Team, with other functions including research, equalities, policy and information. In addition to develop consistent approaches to the access, reporting and management of data it has recently been proposed that the team will now include the report specialist roles that support Frameworki and other systems from ASCH and CFCS.
4. Staff and the Trades Unions have been consulted on the proposed structure in accordance with the employment procedures rules.
5. Through redefining your council a key programme of work on performance management and benchmarking has been established as part of the cross council portfolio for transformation and this will lead to further developments in this area.

The Performance, Intelligence and Policy team

6. It is proposed that the Performance, Intelligence and Policy team will build on existing good practice and work together across three key areas:

Data

Managing the Council's data strategy, data sharing, open & big data and data management, governance and assurance processes;
Managing data and information from NCC systems and partners to provide accurate and relevant business information and dashboards to support detailed analysis and timely business decisions;
Managing the council's data warehouse, data marts, data cubes, technical reports and data rules;

Providing statutory collection / reporting requirements.

Performance and Strategic Analysis

Working with services, leadership teams & partnerships to analyse, understand and respond to business intelligence, benchmarking information, shared data, pressures, demand and progress against plans.

Ensuring informed plans, commissioning, decision making, quality assurance and reporting to manage service, council, partnership and strategic performance risks.

Research and Intelligence

Managing external statistical, benchmarking and partnership research data. Specialist interpretation forecasting, modelling, projections and mapping on the county's population, social condition and economy for use in developing evidence based policies, plans and service commissioning; This is supported by specialist advice regarding the equality implications.

7. The integrated team structure is set out in Appendix A and includes a total of 27.5fte permanent posts. The initial integrated structure may need to have minor adjustments made to it over the coming months as it becomes clearer about emerging service needs and priorities.
8. In addition 6.5 temporary posts are included in the structure. The reason these posts are temporary is that the funding is not permanent. These temporary posts will provide support to the Strategic Analytical Unit, which supports the work of the Safer Nottinghamshire Board; the Troubled Families programme; additional data reporting demands in ASCH and the business reporting and management information project. There are 5 managerial posts within the structure other senior posts refer to the level of expertise and experience required of post-holders. New and changed posts will be subject to job evaluation.
9. The team will have to ensure that there is no reduction in service to key priority areas and partnerships. Resourcing has been designed to allow for a focus on these areas, with less intensive support for non-priority areas. A range of activity that will support the service to operate in this way and build on existing good practice will be implemented through the performance management and benchmarking programme.

Consultation

10. Employees have been consulted and provided with opportunities to input into the development of the Performance, Intelligence and Policy Team. This consultation was open from 26 September 2014 to 13 October 2014 and included a team presentation and consultation at which Trade Union colleagues were present. Feedback received during the consultation period has been incorporated both into the job descriptions and the final team structure.

Other Options Considered

11. A range of options have been considered in developing the Performance, intelligence and Policy Team structure, however these did not achieve the efficiencies and savings identified in the Strategic Management Framework and Outline Business Cases.

Reason/s for Recommendation/s

12. The proposed structure reflects the budget proposals for 2014/15 including a number of outline business cases which were agreed by County Council. The outline business cases

were brought forward to achieve savings that would contribute to the Council's budget challenge pressures and to support the establishment of a new support function, agreed as part of the Strategic Management Framework.

Statutory and Policy Implications

13. This report has been compiled after consideration of implications in respect of finance, the public sector equality duty, human resources, crime and disorder, human rights, the safeguarding of children, sustainability and the environment and those using the service and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

14. The budget savings outlined have already taken place and have come out of the 2014/15 budgets. The structure of this team will be funded from existing budgets within departments. All budgets will be amalgamated in the new team.

RECOMMENDATION/S

It is recommended that:

1. Policy Committee notes the work undertaken in developing the centralised Performance, Intelligence and Policy Team
2. The proposed staffing structure for the Performance, Intelligence and Policy Team as set out in Appendix A be approved.

Councillor Alan Rhodes Leader of the Council

For any enquiries about this report please contact:

Celia Morris, Group Manager, Corporate Strategy, Ext 72043

Constitutional Comments (KK 30/10/14)

The proposals in this report are within the remit of the Policy Committee.

Financial Comments (SEM 30/10/14)

The financial implications are set out in the report.

Human Resources Comments ((MLH 3/11/2014)

The human resources implications are set out in the body of the report. The assimilation of employees into the new structure will be through the application of the Council's enabling procedure.

Background Papers

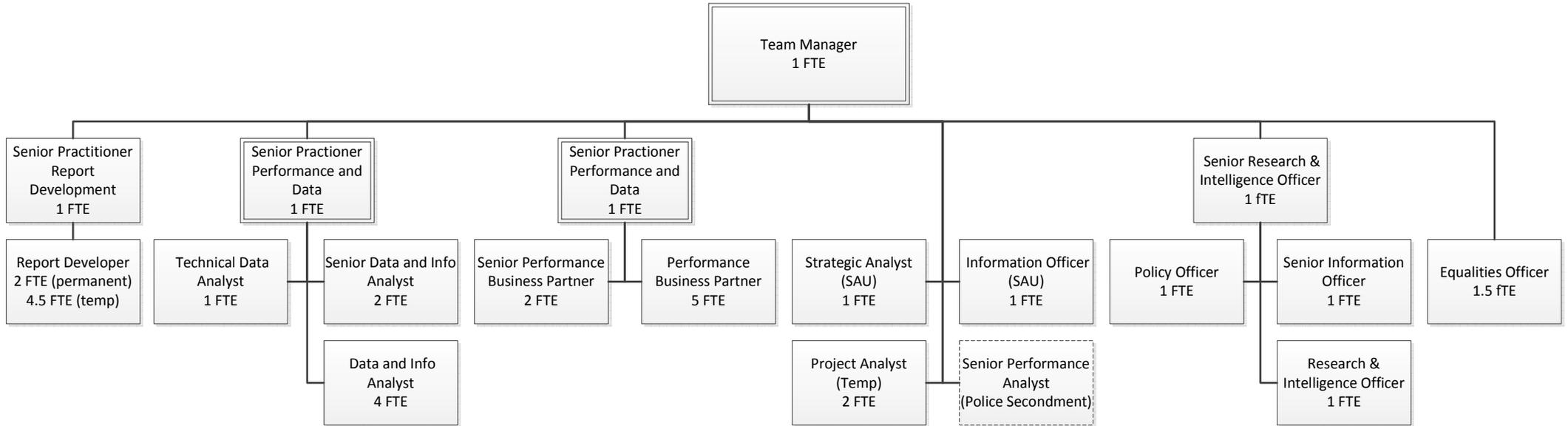
Outline Business Cases A06, A19, A68

Electoral Division(s) and Member(s) Affected:

All

Performance, Intelligence and Policy Team

Proposed Structure October 2014



**REPORT OF THE CORPORATE DIRECTOR, ENVIRONMENT & RESOURCES
& SENIOR INFORMATION RISK OWNER**

INFORMATION STRATEGY 2014-2018

Purpose of the Report

1. To inform elected members of the current situation in respect of the council's interaction with the Information Commissioner's Office, and the consequences that arise from this.
2. To provide a brief overview of information management and governance and how it affects the work of the council.
3. To present the information management strategy 2014 – 2018 which will facilitate the delivery of the information management and data quality policy approved in September 2013.

Information and Advice

4. This strategy has been developed to deliver the Information Management and Data Quality Policy approved by the policy committee in September 2013. Work has been ongoing since the approval was granted in order to identify the activities needed to ensure that the council can comply with its policy commitments. The presentation of this strategy has been delayed to take account of the requirements laid out in the undertaking to the Information Commissioner signed by the Chief Executive

Information Commissioner

5. The Information Commissioner is a government appointed officer responsible for ensuring that organisations comply with the Data Protection and Freedom of Information Acts and other legislation and regulations dealing with how information is collected, used and shared. The Commissioner has wide ranging powers at his disposal where these Acts and regulations are breached.
6. As a result of a previous incident and in response to a request from the Information Commissioner, the Council has signed a formal undertaking committing to taking certain actions to mitigate the risk of data loss occurring.
7. The undertaking, signed by the Chief Executive, commits the council to:
 - Ensuring that all staff who handle personal data as part of their role and use a pc or provide front line care undertake the mandatory data protection and information governance training by the end of December
 - Making a decision about the frequency at which refresher training will be provided by the end of November

- Reviewing policies and procedures to ensure consistency across the organisation within 6 months.
 - Approving and Adopting an Information Governance Strategy (Information Strategy) with defined timescales for implementation by the end of December
 - Implementing other appropriate security measures to ensure that personal data is protected.
8. Work is now in progress to deliver these commitments and the information strategy forms a part of this. The information strategy encompasses both information governance and management to provide a solid foundation for the council's strategic plan and ensure that we protect the information of our citizens and service users.
9. The consequences of failing to deliver the undertaking commitments are significant in that the information commissioner may issue an enforcement notice and has the power to issue a fine of up to £500,000.

Overview of Information Management and Governance

10. As information is an asset to the council it is important that it is afforded the same consideration as other assets and managed to ensure that the maximum value for money is achieved. This means that it needs to be managed through its lifecycle to ensure that the money spent on its storage, protection and accessibility is still appropriate. Where information has no value to the council and is not required for legal or statutory compliance it should be destroyed and the money spent on its management and storage used to pay for more useful activity.
11. Effective information management is a foundation for efficient and effective service delivery as it ensures that the right information is available at the point of need. With the strong drive for services to be mobilised to improve efficiency and customer satisfaction, the right information at the right time in the right place is becoming an essential rather than desirable part of the new work style and service delivery model.
12. Information management establishes the protocols that govern the way that we create, store, share and ultimately dispose of information that the council uses for its day to day delivery of services. This includes procedures relating to information security, how long we keep information for and what information we collect from our service users and how we deal with it.
13. Information Governance provides a framework to bring together all of the requirements, standards and best practice that apply to the efficient handling of records and information, risk management and compliance with legislation.
14. The council has a duty under the Data Protection Act to manage information properly and only use the information we collect about people for the purpose for which it was obtained. To address this duty the council adopted the Information Management and Data Quality Policy last year and at that time committed to a number of actions to protect and preserve the council's information estate. Since then a significant amount of progress has been made:
- Governance structure has been developed and is embedded in the strategy
 - Secure email has been deployed
 - Basic skills training has been designed and deployed and all relevant staff will have been trained by the end of November [Page 246 of 322](#)

- A statement about information confidentiality has been included in the statement of particulars for new staff contracts
- Information Risk register is in place
- Information Asset Register has been designed and deployed and is now being populated

15. This, however, is only the start of the work needed to be completed to bring the council up to the standard expected of an organisation of this size and complexity.

Information Strategy

16. The Information Strategy (Appendix A) builds on the work that has been undertaken over the last 12 months to create a structured regime of information management that reduces the risks related to data loss and ineffective information management for the council and makes valuable information more accessible. The strategy also states the council's specific attitude to risk in relation to information. (See paragraph 3 of the Strategy)

17. The key deliverables of the strategy aim to ensure appropriate and proportionate protection of our information and that of our service users while facilitating flexibility of delivery to support efficiencies. Supporting this will be a regime of bi-ennial training for information governance, management and security to ensure that our staff have the knowledge and skills to protect the information they are responsible for.

18. The strategy also supports the move towards managing information as a valuable and valued asset of the council which has a cost as well as a benefit. It builds in a review of the existing information estate to remove redundant outdated and trivial information which is costing money and has no value to the organisation.

19. Some intangible benefits will accrue to the service delivery aspects of the council through improved access to relevant and timely information at the point of need, but these cannot be quantified at this stage.

20. As part of the implementation of the strategy, work will need to be undertaken to identify the costs for some of the activities needed as part of the ICT delivery. Some of these activities will be covered by the existing ICT Strategy, whereas others may attract additional expenditure. This expenditure will be identified and appropriate business cases will be presented at the relevant time.

21. In addition to ICT costs it has been identified that the current resource applied to the delivery of information management and governance is inadequate to deliver the additional requirements of the strategy. Additional temporary resources will be needed in order to ensure that the timescales are met and the maximum benefit derived in the shortest possible time.

22. The strategy includes a high level implementation plan. A more detailed plan will be presented for approval by the information management group in late November.

Other Options Considered

23. None

Reason/s for Recommendation/s [Page 247 of 322](#)

24. The information strategy supports the delivery of the information management and data quality policy.
25. Effective management of the information estate identifies and protects the more valuable assets whilst making them more accessible to those who need them. It also provides the opportunity for increased productivity through reduction in time spent searching for the correct information.
26. Effective governance ensures that the council complies with legislation and its duty of care to the information held about our citizens and service users.

Statutory and Policy Implications

27. This report has been compiled after consideration of implications in respect of crime and disorder, finance, human resources, human rights, the NHS Constitution (Public Health only), the public sector equality duty, safeguarding of children and vulnerable adults, service users, sustainability and the environment and ways of working and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

Appropriate business cases will be presented for identified additional expenditure needed to deliver the activities of this strategy.

Human Resources Implications

Additional temporary resources will be needed in order to support the existing resource available to deliver this.

Human Rights Implications

The Human Rights Act safeguards the right to a private life, including the right to respect for personal information, under Article 8 of the European Convention on Human Rights. The Council may only interfere with these rights in certain limited circumstances and only where it is necessary and proportionate to do so. The Data Protection Act puts safeguards in place for the protection of personal information. However it also allows the Council, in appropriate circumstances, to share information without consent, for example in relation to the investigation of a crime or a child safeguarding matter; where there is a balance to be struck between the rights of individuals and other competing interests such as the protection of public safety or the prevention of crime. The proposed Information Management strategy is designed to assist the Council to comply with the requirements of the Data Protection Act in line with the requirements of the Human Rights Act.

Safeguarding of Children and Vulnerable Adults Implications

Access to accurate and up to date information may facilitate safeguarding in a timelier manner.

Ways of Working Implications

Allows for an increase in flexibility, through confidence that appropriate and accurate information is available at the point of need.

RECOMMENDATION/S

- 1) That the information strategy is approved and adopted.
- 2) That it is recognised that additional resource and funding will be required to deliver this strategy and that appropriate business cases will be presented in respect of this.

Tim Gregory
Corporate Director Environment & Resources

For any enquiries about this report please contact:

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T: 0115 977 2135

Constitutional Comments (HD – 21/10/2014)

28. The recommendations fall within the terms of reference for Policy Committee [HD-21/10/2014]

Financial Comments (SEM 22/10/14)

29. There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Information Commissioner's Office undertaking signed by the Chief Executive

Electoral Division(s) and Member(s) Affected

- 'All'

Information Strategy 2014 – 2018

Introduction

1. This strategy identifies how the effective governance and efficient management and use of information and data supports the Strategic Plan 2014 -2018. The Council has committed to get best value from our assets, make maximum use of technology and to ensure that our workforce has the right skills. This strategy also facilitates the active contribution of staff to the continuous improvement of services.
2. The Council commitments relevant to Information are set out in the Information Management and Data Quality Policy, approved by Policy Committee on 18 September 2013. These are:
 - To be compliant with all relevant legislation;
 - The creation and capture of accurate business information, data and records;
 - To review and appropriately dispose of information, data and records that are no longer required;
 - To ensure information security;
 - To conform to all legal and statutory requirements;
 - To ensure that all staff have been made aware of their duty of care and appropriately trained in order to deliver the commitments of this policy
 - To ensure accuracy of all information, records and data held by the Council
 - To collect information once and utilise it appropriately to deliver a range of services
 - To only collecting information that is necessary for the delivery of services.
3. Alongside the Council's Information Management and Data Quality Policy the Council has an agreed Risk Management Strategy (November 2011). In relation to Information Governance the Council's risk appetite is to have an open attitude, measuring the risks carefully against potential benefits and options for successful delivery.
4. The Council holds and processes significant volumes of personal and sensitive information which is necessary for the efficient and effective delivery of services. It is therefore essential due to the size and diversity of the Council, that the Information Strategy is flexible and responsive to changes in risks and services delivered.

Information Governance in context

5. Information Governance provides a framework to bring together all of the requirements, standards and best practice that apply to the efficient handling of records and information, risk management and compliance.
6. The need for information governance stems from the Council's responsibility towards its citizens and customers. This is a challenge for all public sector organisations and is becoming an increasingly important issue for the Council. Access to reliable information is an essential component of meeting these responsibilities.

7. The Council is committed to preserving the confidentiality, integrity and availability of all its physical and electronic information systems and records in order to provide assurance that the organisation manages its information risks:
- So that the needs of service users and citizens and the requirements of good governance are met;
 - To establish confidence that partnership arrangements involving the sharing and exchange of information are legal and secure;
 - Design and implement security processes that are effective;
 - Ensure confidence that services and products are provided by our suppliers and partners who manage information risks on behalf of the council in a way which is fit for purpose.
8. The need for a comprehensive information governance framework also arises from:
- Legal (legislation and common law), regulatory and contractual requirements;
 - Corporate governance;
 - Business and service delivery;
 - Protecting the public purse;
 - Business continuity requirements;

Information Management explained

9. Information management deals with the creation, storage, access, protection and lifecycle of information and data. This is now an important issue for the council as there is an increased need to focus on the overall value and accuracy of information, how it is used, stored and protected.
10. Information is central to the council and its decision making processes, it therefore needs to be accurate and accessible to those who need it at the time and place that is required. To make this happen the council needs to ensure that its information is managed to deliver:
- Secure access to information for those who need it
 - Properly structured information and data storage
 - Lifecycle management for both electronic and physical information, data and records
 - Effective security measures both technical and procedural to ensure information and data is protected.
 - Effective governance regimes for the creation and development of information systems and repositories

Information Strategy 2014 – 2018

11. The information strategy outlines our approach to managing our information assets to achieve the right balance between making information accessible to those who need it, whilst ensuring that adequate protection is in place.
12. The aim of this strategy is to ensure that the council meets its information management and security responsibilities ensuring that Nottinghamshire residents, customers, partners and suppliers have confidence that information, both personal and non-personal, is handled and

stored with due regard to its value and risk, where individuals understand the importance of using it correctly, sharing it lawfully and protecting it from improper use.

13. These requirements for security, integrity and accessibility will be met as part of service delivery and the primary means of achieving this is to follow good information handling practices.
14. Although there is an increasing emphasis on the electronic delivery of services and storage of information the Council will continue to retain a significant proportion of its information in more traditional formats which are also covered by this Strategy.

Strategic objectives

15. The Council's Information Strategy will deliver:

Skills

- Provide ongoing training and awareness for all staff to embed a culture of care and responsibility in the handling of all information throughout the council.

Security and ICT Systems

- implement and operate proportionate controls that apply best practice standards to protect information assets whilst facilitating access to them for those who are authorised to use them
- identify and manage information assets corporately and introduce an information risk management regime that balances risks with opportunities.
- work towards creating systems that effectively manage information lifecycles

Accessibility

- ensure that the infrastructure and processes for service delivery can provide the right information to the right people at the right time for the right purpose.
- implement effective information sharing arrangements with partner organisations to support service delivery

Efficiency

- identify and support effective practice in the management of information across all business areas, including preventing duplication of effort and enabling efficient use of resources.
- commit to an approach for the continuous improvement of information governance recognising the rapid changes in the way the Council operates and the introduction of new technologies along with learning from the experiences of others.

Quality

- implement efficient and effective data quality arrangements to ensure information, data and records are accurate, consistent and meets the needs of users.

Compliance

- achieve required standards to comply with legislative, regulatory and contractual obligations and relevant policies.

Reporting, monitoring and reviewing

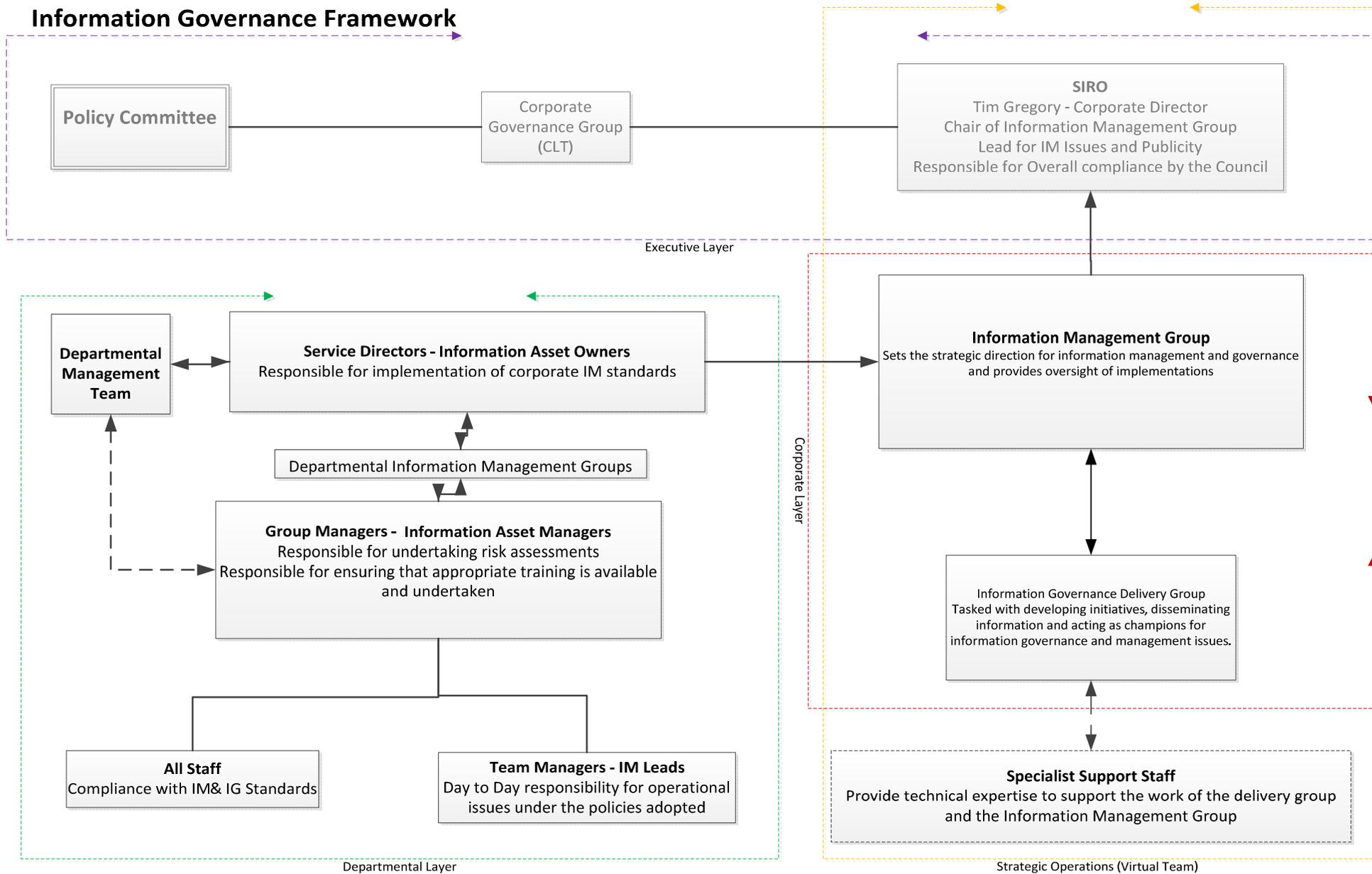
16. The Council's Policy Committee has responsibility for the approval of and changes to the Information Management and Data Quality Policy and the Information Strategy. A report will be produced by the Senior Information Risk Owner (SIRO) on an annual basis to enable members to monitor progress and performance in managing information.
17. The SIRO is responsible for leading and fostering the organisational culture that values, protects and uses information for the public good. In order to achieve this, an information governance and management structure has been developed to provide management oversight and strategic direction. (See appendix A for how this structure is presently enabled). The SIRO chairs a corporate Information Management Group, comprising senior officers from the departments (including the Caldicott Guardians). This group is responsible for setting the strategic direction and provides oversight of implementations. The reporting route for the Information Management Group is through the SIRO to the Corporate Leadership Team and elected members. An Information Governance Delivery Group supports through practical work and is tasked with developing initiatives, disseminating information and acting as champions for information governance and management issues within the departments. The delivery group reports to the Information Management Group.

Implementing the Strategy

18. Implementing this Strategy will occur over the short, medium and long term. A more detailed implementation plan will be approved and monitored by the Information Management Group.
19. In the short-term (March 2015) the Council focus will be on:
 - Staff training and awareness and agreeing the approach to refresher training
 - Developing a regular communications approach to staff about Information Governance issues
 - Desktop review of policies and procedures to ensure consistency across the Council
 - Review the Information Management and Data Quality Policy 2013 and, where appropriate, update.
 - Implementing the Government's Transparency Code 2014
 - Reviewing and updating the Council's Publication Scheme
 - Defining a clear reporting process for information governance and management through the Performance Management and Benchmarking programme
20. In the medium-term (2015 – 2016) the Council focus will be on:
 - Developing the content of the Information Asset Register as a tool to inform decision making and understand risk relating to information which the Council holds

- Record retention and destruction
 - Information management and data quality systems, tools and infrastructure
 - Providing a good consistent quality of information and data
 - Reviewing Information Sharing protocols
- 21.** In the long-term (2017 – 2018) the Council will focus on:
- All Information Governance and Management Policies, Procedures and Guidance being reviewed and, where appropriate updated
 - Developing a resource area for tools and guidance relating to Information Governance
 - Ongoing awareness and training for staff whose roles involve handling sensitive personal data
- 22.** The implementation plan will be reviewed annually and updated as appropriate.

Information Governance Framework





REPORT OF THE DEPUTY DIRECTOR FOR ADULT SOCIAL CARE, HEALTH AND PUBLIC PROTECTION

NEW POLICY FOR PROVIDING PLANNED SHORT BREAKS FOR ADULT SERVICE USERS AND THEIR CARERS

Purpose of the Report

1. To inform Committee about the consultation process on the proposed draft policy for providing planned short breaks for adult service users and their carers and request Policy Committee approval.

Information and Advice

2. The Adult Social Care & Health Committee received a report on 9 June 2014 on the draft policy for providing planned short breaks for adult service users and their carers (appendix 1). The Committee approved the draft policy for consultation between July and September 2014. A report was provided to Adult Social Care & Health Committee on 6 October, to detail the results of the consultation and ask the Committee to agree that the policy could be brought to the Policy Committee for approval.
3. The Policy outlines the:
 - principles and commitments
 - intended purpose of the short break service
 - how which planned short breaks will be funded for eligible service users and carers
 - details about eligibility
 - how the value of the personal budget will be determined
 - details on charging
 - how eligibility and funding will be reviewed
 - process for making a complaint.
4. In summary, the new policy will:
 - provide clarity how planned short breaks can be accessed
 - ensure that the resources available for planned short breaks are allocated in a fair and equitable way, according to service user and carer needs
 - assist the Council to implement the planned changes to Short Breaks, by ensuring that the people who will be affected by these changes will receive a fair and equitable new allocation of planned short breaks, based on agreed policy
 - help the Council to meet its responsibilities towards carers, outlined in the Care Act.

5. As part of the Budget Consultation 2013/14, service users and carers reported they would like to be involved in the discussion of how the allocation of short breaks can be fair and consistent.
6. People responding to the Budget Consultation also said the policy should be fair and consistent across all client groups; that people should be offered the most cost-effective service; and that individual circumstances should be taken into account when allocating short breaks.
7. The draft policy consultation period commenced on the 4 July 2014 and ended on the 1 September 2014.
8. The consultation exercise was promoted via the Nottinghamshire County Council website as news item and also internally as an intranet news item for staff. A letter was sent to a wide range of people and organisations, to explain to them that the policy was out for consultation and how they could access the document and give comments. The policy was sent out to people who asked for further detail but was also available on-line.
9. Letters were sent to over 1200 service users and carers known to the Council who use short break services. Letters were also sent to members of stakeholder groups including
 - the Integrated Commissioning Carers Implementation Group,
 - the Learning Disability Partnership Board,
 - the Involvement Group,
 - the North Notts Learning Disability Carers meeting
 - and the Older Persons Advisory Group.
 - Carers Federation
 - Healthwatch
 - various carers' groups and related organisation (Appendix 2).
10. People could complete a short questionnaire to send back to the Council, write to the Council, speak to the relevant Officer to give feedback, or complete a questionnaire on-line to give their comments.
11. Five separate letters from individuals have been received and 13 people completed the questionnaire on-line. Other comments were given during consultation meetings.
12. Of the people who responded to the questionnaire, 55% (6 people) were carers, 27% (3 people) were friends or relatives, 9% (1 person) an employee and 9% (1 person) a potential service-user. 2 did not answer the question. Most respondents were aged 60-64 (36%) and most were female (73%). All were white British. Results from this feedback was:
 - 92% (11 people) agreed with the Short Breaks Policy
 - 8% (1 person) did not agree with the Short Breaks Policy
 - 83% (10 people) stated there was not something missing from the Policy
 - 17% (2 people) stated there was something missing from the Policy
 - 83% (10 people) agreed with the proposed Carer Assessment criteria
 - 17% (2 people) did not agree with the proposed Carer Assessment criteria.

13. Specific comments given via letters or questionnaires were:

General:

- a. There appears little to disagree with, it seems careful and non-contentious.
- b. I like how you have included the service users opinions here. Not all service users have the same opinions as their carers.
- c. Make sure all eligible people are aware of the policy, and helped to access the breaks. **Response: This will be achieved through public and staff awareness and information through carer networks.**
- d. Rewrite in plain English. **Response: information about short breaks for carers will be described in plain language and included in the new Carers' Information Pack.**

Section 2, Principles and Commitments:

- e. In addition to the aims outlined at section 2a, short breaks also need to play a key role in preparing people for a well-managed transition to full time care. The policy does not recognise this. **Response: policy amended to include.**
- f. The wording at section 2c should be clarified as the meaning of “substitute care” is not clear. **Response: policy amended to clarify.**
- g. There should be a reference to the person’s care plan when considering the needs of the service user. **Response: policy amended to include.**
- h. Include micro-businesses in the range of services that will be able for service users to receive a planned short break. **Response: types of service provider are less relevant than the type of service that can be funded as a planned short break.**
- i. Point 2f seems to ignore the needs of the service user. **Response: this statement is consistent with the Adult Social Care Strategy.**

Section 3, Eligibility:

- j. The policy should be amended to clarify that Shared Lives Carers can continue to receive a short break from caring. **Response: policy amended to include.**
- k. Carers at ‘moderate’ level could still need a break from caring and who, if supported early on, may support the cared-for for longer (3 comments). **Response : it is not Council policy to support service users or carers who have a “moderate” level of need, so this amendment cannot be accommodated.**
- l. Lack of clarity about what the service user is entitled to and about eligibility criteria. **Response: Some people have commented that the policy is not clear enough but others have suggested that it is clear. Therefore, it is proposed that the current wording is retained but that staff are trained to understand the policy before it is implemented, to ensure that they can explain the detail to any carers and service users who need further support to understand the detail.**

Section 4, Allocation:

- m. 42 nights are not enough for people with complex/high level need. **Response: The policy allows for additional breaks to be granted if exceptional circumstances apply.**
- n. The policy does not seem to deal with the allocation process, should overall demands from Carer and Service user reviews not be met by the resources available. **Response: Once the new system of allocating personal budgets has been implemented, it will be possible to report on the allocations and compare this to available supply as well as usage of the allocations.**
- o. Some account should be taken of the long term impact of caring.
- p. About the four bands of personal budget: there needs to be some evidence that budget allocation can be effective in achieving the stated aims of the policy, particularly at the lower end of the scale. i.e. can a payment of £ 150 genuinely help carers or it is money wasted ? **Response; This will be considered as part of the Care Act implementation**
- q. It is difficult to comment on the proposal without understanding how the four bands will be allocated. It is not clear whether those with the greatest need will have their allocation cut in order to be able to accommodate more people at the lower end of the scale, or just cut costs. **Response: The aim of the new allocation system is to allocate resources fairly across all service users and carers, to meet assessed need for each family. There is no mechanism within the system to reduce the breaks for families in greatest need if there is an increase in need for breaks from people at the lower end of the scale.**

Section 6, Review :

- r. I am concerned about the review of eligibility. It says that previous usage will be taken into account. This does not take into account any difficulties in being able to get the dates required in any particular year. **Response: It is proposed that previous usage should be taken into account when reviewing the planned short break allocation, to avoid allocating excessive personal budgets to service users which are not being used in practice. This is consistent with the authorities reviewing policy**

Section 7, Complaints :

- s. The complaints section of the policy should refer to carers as well as service users. **Response: Policy amended to include.**

14. Although we consulted widely, as outlined in sections 8 and 9, the response to the consultation was relatively limited. Therefore, we are proposing that after implementation, we undertake a review of how the policy is working and meeting the principles and commitments set out in the policy. The review conclusions will be fed back to the ASCH & PP Committee in 12 months' time.

15. In summary, the majority of respondents agreed with the policy, felt that it is comprehensive and agreed with the proposed Carer Assessment criteria

16. Implementation of the policy can commence in January 2015 as this will allow sufficient time for new systems to be finalised and assessment staff to be trained to understand the policy and how to apply it when assessing service users and carers.

Other Options Considered

17. There are no other options to outline.

Reason/s for Recommendation/s

18. There is no current policy that describes how adult service users and their carers can access resources to fund planned short break services,.

Statutory and Policy Implications

19. This report has been compiled after consideration of implications in respect of crime and disorder, finance, human resources, human rights, the NHS Constitution (Public Health only), the public sector equality duty, safeguarding of children and vulnerable adults, service users, sustainability and the environment and ways of working and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

20. The budgets available to fund planned short breaks will be allocated to individual service users and carers, as a personal budget specifically to be used for purchasing planned short breaks. This will be a requirement as part of the implementation of the Care Act in 2015. Financial modelling is underway to determine the future financial commitment to meet this legislative requirement

Human Resources Implications

21. Staff will benefit from the clarity provided by the new policy for planned short breaks and the associated staff guidance.

22. The Carers Assessment will be amended to meet the requirements of the new policy and the requirements of the Care Act. There will be a new process on Frameworki to allocate the personal budget for planned short breaks to the service user or carer; this will mean some change to the way that these tasks are completed by staff now.

Public Sector Equality Duty implications

23. The introduction of the new policy will ensure equity and fairness of provision of planned short breaks across all adult service user groups.

Implications for Service Users

24. Service users and their carers will find it easier to understand who is eligible to receive a planned short break, and how resources for planned short breaks are allocated.
25. Once the new policy and allocation process are approved, all current allocations for planned short breaks will be reviewed, using the Community Care Review and review of the Carers Assessment. As a result, it is possible that some allocations will change, to reflect individual circumstances.

RECOMMENDATION/S

It is recommended that Committee:

- 1) note the results of the Short Breaks Policy consultation;
- 2) approve the policy for providing planned short breaks for adult service users and their carers;
- 3) approve the implementation of the policy from January 2015.

JON WILSON

Deputy Director for Adult Social Care, Health and Public Protection

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Constitutional Comments

26. The Policy Committee has delegated authority within the Constitution to approve the recommendations in the report.

Financial Comments

27. The financial implications are contained within paragraphs 24 and 25 of the report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Short Break business cases (ASC417 and C011).
- ASCH Committee Report 9 June 2014 (published)
- ASCH Committee Report 6 October 2014 (published)

Electoral Division(s) and Member(s) Affected

- All.

Organisations and groups consulted

Age UK Notts
Alzheimer's Society
Ashfield Citizens Advice Bureau
Bassetlaw Clinical Commissioning Group
Bassetlaw Community and Voluntary Service
Blind Veterans UK
British Red Cross
CAMHS (Children and Adult Mental Health Services)
Carers Federation
Carers in Hucknall
County Health Partnership (NHS)
Crossroads Care East Midlands
Cruse Bereavement Care
Disabilities Living Centre
East Midlands Advocacy Alliance
Framework
Gedling Community and Voluntary Service
Healthwatch Nottinghamshire
Hetty's
Jigsaw
Mansfield Community and Voluntary Service
NAVO (Nottinghamshire Association of Voluntary Organisations)
NCHA (Nottinghamshire Community Housing Association)
Newark & Sherwood Community and Voluntary Service
Newark Dementia Carers Group,
Nottingham University Hospital Trust
Nottingham West Clinical Commissioning Group
Nottinghamshire Carers' Alliance
Places for People
Practice managers across county
RVS (Royal Voluntary Service) - Home from hospital in Bassetlaw
Bassetlaw Hospice Carers in the Community
Rushcliffe Borough Council
The League of Friends - of QMC
The Maize - Supporting parents of children on the Autistic Spectrum
The Royal British Legion



Policy Library Pro Forma

This information will be used to add a policy, procedure, guidance or strategy to the Policy Library.

Title: Providing Planned Short Break Services for Adult Service Users and their Carers

Aim / Summary:

The aim of this policy is to explain what services are defined as planned short breaks, how eligibility for those services is determined and what level of provision will be provided or funded by the Council.

Document type (please choose one)

Policy	x	Guidance	
Strategy		Procedure	

Approved by:

Version number: 1

Date approved:

Proposed review date:

Subject Areas (choose all relevant)

About the Council		Older people	x
Births, Deaths, Marriages		Parking	
Business		Recycling and Waste	
Children and Families		Roads	
Countryside & Environment		Schools	
History and Heritage		Social Care	x
Jobs		Staff	
Leisure		Travel and Transport	
libraries			

Author: Strategic Review Manager – Day Services

Responsible team: Business Change Team

Contact number:

Contact email:

Please include any supporting documents

1.

2.

3.

Review date

Amendments

Providing Planned Short Break Services for Adults and their Carers Policy

Contents

1. Background information	2
1.1 Definitions used in this policy.....	2
1.2 Context of this policy.....	5
1.3 Scope of the policy	6
2. Principles and Commitments	6
3. Determination of eligibility for the provision of short break services	7
4. Allocation of planned short break service after a decision of eligibility is made	7
5. Charging for short break services	8
6. Reviewing eligibility for short break services and allocation of short break sessions	8
7. Complaints	9
8. Key actions to meet the commitments set out in the policy.....	9

1. Background information

Unpaid carers play a vital role in supporting people to continue to live at home. The 2011 Census Report identified 57,426 carers in Nottinghamshire who were providing between 1 and 19 hours a week of unpaid care for a friend or relative, and 21,680 who were providing over 50 hours a week.

Short break services are an essential part of the overall support provided to unpaid carers and to people with care needs, to help to sustain the caring situation at home and to prevent crises.

1.1 Definitions used in this policy

a) Who is a “carer”?

This is someone who is not paid for caring or who is recognised to be a “volunteer”.

The draft Care Bill states that a carer is any adult who provides or intends to provide care for another adult (an “adult needing care”). An adult is not to be regarded as a carer if the adult provides or intends to provide care:

- under or by virtue of a contract, or
- as voluntary work

But in a case where the local authority considers that the relationship between the adult needing care and the adult providing or intending to provide care is such that it would be appropriate for the latter to be regarded as a carer, that adult is to be regarded as such.

There are some cases where the cared-for person has not agreed for their details to be held on Frameworki, but informal care is still being provided. In these cases, the carer will still be assessed in the same way as for any other carer. The allocation of a personal budget in this situation will need to be discussed with the responsible budget holder.

b) What is a planned short break?

This is a break from the normal routine of caring. It is planned in advance and is not the result of an emergency or crisis in the home, or because of illness e.g. hospitalisation of the carer. Usually the carer is having a break from caring but there may be some circumstances where the service user needs a break from the caring situation (even if the carer is not asking for a break). This could also count as a planned short break.

Examples of services that provide opportunities for a planned short break are:

- residential and nursing homes
- dedicated short break units (e.g. run by the Council)
- the Shared Lives short break scheme
- 'sitting' services provided by Home Care agencies

More creative arrangements are possible as well, perhaps using a direct payment, for example:

- a carer who takes the person they care for away on holiday, and uses Council funding to pay towards support costs of the service user in the holiday location (excluding accommodation and food costs which remain the responsibility of the service user). Note - the Council would only be responsible for funding the normal level of support costs for the service user in equivalent local provision (as if the carer and service user were not on holiday). If there were additional costs due to being on holiday, the service user and carer would be responsible for meeting these. The Council funding could not be used towards any transport costs related to the holiday or any of the costs incurred by the carer
- funding the service user's usual Personal Assistant (PA) to look after the person in his/her home, whilst the carer goes away for a holiday.
- funding the service user's usual PA to look after the person in the PA's home, whilst the carer stays at home.

c) NHS Carer Breaks

Locally, the Nottinghamshire County NHS Clinical Commissioning Groups (except Bassetlaw) fund short breaks for carers. These are available to carers who have a GP in the Nottinghamshire area, unless the GP is based in Nottingham City or Bassetlaw.

Carers are required to have a carer assessment carried out by the Council and meet the relevant eligibility criteria. The person cared for

does not have to have a community care assessment for the carer to benefit from a NHS break. If the carer is eligible for a break, it will be provided free of charge. The carer's needs must be substantial or critical (outcome from the Carer Assessment). The maximum funding amounts are based on the outcome of the Carer Assessment. As at May 2014, the funding levels are:

- Critical Needs = £1,300.00 p.a.
- Substantial Needs = £ 950.00 p.a.

These funding levels may change over time, at the discretion of the NHS.

Access to this scheme will be the first response offered to a carer asking for a break from caring.

Funding is not currently given directly to the Carer, although it is anticipated that there will be more flexibility in the future. The breaks usually take the form of residential or home based services:

- by funding a short break for the service user in a Residential or Nursing home (Care Home), which is on the NHS approved list
- or by funding a 'sitting' service at home (Home Care)

For access to this scheme, please refer to the Staff Guidance.

d) Short term care

Short term care is different to planned short breaks because it responds to the following types of needs:

- i) The caring situation is breaking down and alternative formal care must be arranged urgently for the safety and welfare of the eligible service user
- ii) The caring situation has to change, for a temporary period, due to a change in health of the carer e.g. due to hospitalisation or serious illness (see section e) for information on the Crisis Prevention Service for carers)
- iii) The service user needs some time away from home to stay safe and well – there may not be any informal carer involved
- iv) Intermediate Care - the service user is coming out of hospital but is not well enough to go home or needs further assessment before going home
- v) The service user is having a trial period in a residential home before a permanent move.

There is a standard that short term care is for less than 12 weeks.

The Nottinghamshire Crisis Prevention Service for Carers is another form of short term care available to carers. It is a free service that carers can access when they are in a crisis situation (e.g. an unforeseen or

emergency situation, admission to hospital, illness or death of a relative), in order for the cared-for person to be looked after at home.

e) Holidays

The primary purpose of a holiday away from home is for the service user's own pleasure and enjoyment. A secondary effect could be that the carer has a break from caring, but this is not the main reason why the service user is going away on holiday. Therefore a holiday is not normally classed as a planned short break, and would not be funded by the Local Authority. Although the Council is not responsible for funding holidays, it can "facilitate" (i.e. support) a person to organise going on holiday and any normal care costs could be maintained during this period.

However, it is recognised that there might be situations where it is difficult to decide if a trip away is a holiday or a short break. For example, a husband (who is a full-time carer) takes his wife away to Blackpool, where she stays in a residential home with full care provided and he stays in a B & B locally. They meet during the day to enjoy each other's company and the time away from home, but the husband has a break from caring for his wife. This situation would be classed as a short break, where the husband chooses to have alternative planned care from a residential home in Blackpool.

1.2 Context of this policy

Carers' rights in community care law are mainly contained in four statutes and one set of directions:

- **Disabled Persons Act 1986** – section 8 states that consideration must be given to whether a carer is able to continue to care when assessing the needs of a disabled person
- **Carers (Recognition and Services) Act 1995** – this gives the carer a right to request an assessment
- **Carers and Disabled Children's Act 2000** – includes a duty to inform carers of their right to request an assessment and the power to provide services directly to the carer
- **Carers (Equal Opportunities) Act 2004** states that carers assessments should always consider a carer's outside interests when carrying out an assessment, for example work, study or leisure
- **Community Care Assessment Directions 2004** – includes a duty to involve and consult carers in social care assessments.

Eligibility for carers is contained in the Carers and Disabled Children's Act 2000 and gives a power, rather than a duty, to Local Authorities to meet eligible needs.

However, the new **Care and Support Bill**, which is currently going through Parliament, will give carers their first ever legal entitlement to public support, putting them on an equal footing with the person they care for.

1.3 Scope of the policy

This policy is concerned with the issue of eligibility for and access to resources that support carers and service users to have a planned short break.

Eligibility for, and access to, short term care (including emergency breaks) is not covered by this policy.

2. Principles and Commitments

a) Planned short break services will be:

- focused on prevention; they will be designed to help people to stay at home, sustaining caring relationships and preventing crises
- designed to avoid social isolation for carers, so that they are not housebound by their caring role.
- **Provided as part of a coordinated programme to prepare people for a transition to full time formal care and support, where and when appropriate for each person**

b) Service users and carers assessed as eligible for planned short break services will be offered a personal budget for provision of planned short breaks. The budget will be determined as part of the support planning. This can be taken as a managed service or direct payment but cannot be spent on any other form of service unless that is to give the carer an agreed additional break (e.g. extra day service).

c) The most cost-effective form of short break will be offered to the carer, to meet the **individual** care and support needs of the service user during the period of the short break, **based on requirements in the person's support plan and information provided by the carer and service user.**

d) All carers requesting a planned short break allocation will be expected to make use of the NHS Carers Break scheme in the first instance, once eligibility has been established. However, there may be exceptional circumstances for individuals where it is agreed by the responsible budget holder that the services available through this scheme are not appropriate to meet the service user's needs, or the scheme does not apply to the person because of where they live or because their GP is not based in Nottinghamshire.

e) There will be a range of short break service options available, for purchasing with the planned short break personal budget, including residential short breaks, 'sitting' services, Shared Lives short break, support provided in the home or to take the service user out and about. The Council will also consider funding some or all of the support needs of a service user, if the person goes away on holiday with or without their carer; in this situation, the holiday must be clearly linked to an outcome in the service user's support plan. Note – the Council will not pay towards any other costs of the holiday itself, for example, accommodation, travel or food. The Council will support carers and service

users to understand and access the range of options available, as appropriate.

- f) At the point when the cost of the service user's personal budget (including short break care during the year) exceeds the expected cost of supporting that person in another form of service package (e.g. residential care or supported living), then discussions will be held with the family to consider the options- for example, moving the service user out of the family home, or the family contributing more towards the overall cost or changing the short break service package.

3. Determination of eligibility for the provision of short break services

All the following should apply:

- The service user (person cared for) is eligible for service from the Council (under Fair Access to Care Guidance), or would be assessed as eligible, if the carer did not provide the current level of informal care on a regular basis.
- The service user is not living in a formal care arrangement funded by the Council e.g. Supported Living, residential or nursing home care. The exception to this rule is that **Shared Lives carers who provide long term care arrangements for service users will be eligible to receive planned short break, in line with the Shared Lives carer agreement.**
- The service user has at least one carer who provides regular informal care. The carer (or carers) has/have had a Carers Assessment and is/are eligible for service from the Council (i.e. has a substantial or critical need for service to be provided). See note below
- The carer or service user is requesting a break from the caring situation, in addition to the services normally provided to the service user
- The need for a break cannot be met entirely by the NHS Carers Break scheme.

4. Allocation of planned short break service after a decision of eligibility is made

The allocation of a personal budget for planned short breaks will be based on a combination of a) the service user's level of needs and b) the impact of caring on the carer themselves.

The level of need for the service user is determined by the completion of the Community Care Assessment. The impact of caring on the carer is determined by the completion of the Carers Assessment, by asking the carer questions about:

- Willingness and ability to provide care to the cared-for person (Care Act requirement)
- Hours of care provided in the daytime and night
- Ability fully to maintain other family or personal relationships (Care Act requirement)
- Ability to obtain or remain in employment, education or training (Care Act requirement)

- Ability to carry out some or all basic household activities (Care Act requirement)
- Ability to access necessary facilities or services in the local community (Care Act requirement)
- Ability to participate in recreational activities (Care Act requirement)
- Whether the carer was alone or had a partner who shared the caring role
- The carer's own health and wellbeing, including mental and emotional health (Care Act requirement)
- Other caring responsibilities, including the ability to fully care for any child for whom the carer is responsible, and the ability to provide care to other persons for whom the carer provides care (Care Act requirement).

The combined results will allocate one of four bands of personal budget to the service user or carer:

1. £150 - £200 p.a. Carers Personal Budget
2. Sufficient to fund up to 1 week of residential care p.a. (7 nights)
3. Sufficient to fund up to 3 weeks of residential care p.a. (21 nights)
4. Sufficient to fund up to 6 weeks of residential care p.a. (42 nights)

Note – this will be in addition to breaks provided by the NHS Carers Break scheme.

Exceptional circumstances will also be considered during the Carer Assessment and the following factors may lead to additional sessions being allocated to any carer, after agreement by the authorised budget holder:

- the context of the family situation e.g. intensity of the caring situation
- the carer's individual needs e.g. related to age, or any ill health or disabilities

5. Charging for short break services

Service users and carers will be asked to make a contribution towards their personal budget for short breaks when they spend their budget, in line with the Council's Fairer Contributions Policy.

6. Reviewing eligibility for short break services and allocation of short break sessions

The provision of short break services and allocation of sessions will be reviewed at least annually. Previous usage of the allocation will be taken into account. If a decision has been made to change the provision of short break following a review, notice of this decision will be given in writing, at least 28 days in advance of the withdrawal.

7. Complaints

If any service user or carer is not satisfied with the process that has been followed or the way that his/her case has been handled, he or she can make a complaint under the Council's [complaints procedure](#).

Staff must ensure that service users and their representatives are informed of their rights. See the Publications Directory for the fact sheet "[Have your say about our services](#)". There is also an [easy read version](#).

8. Key actions to meet the commitments set out in the policy

The Council will:

- Amend the Carers Assessment to ensure that the impact of caring can be fully assessed and used as an indicator of the appropriate short break allocation required
- Develop a costing methodology so that a carer can be allocated with a personal budget equivalent to the value of the short breaks that is required to meet needs.

ASCH 50

REPORT OF THE CORPORATE DIRECTOR FOR CHILDREN, FAMILIES AND CULTURAL SERVICES

SCHOOL FUNDING: AGREEMENT OF THE LOCAL FUNDING FORMULA FOR 2015-16

Purpose of the Report

1. This report seeks approval for the adoption of the Nottinghamshire Schools Budget local funding formula, as recommended by the Schools Forum, for the financial year 2015-16.

Information and Advice

2. Since April 2013, all local authorities have been required to use a new simplified local funding formula to distribute the notional Schools Block of funding to all mainstream primary and secondary maintained schools and academies. Following a review of the 2014-15 arrangements conducted by the Department for Education (DfE), the arrangements for 2015-16 were published in late July 2014.
3. In accordance with the School Finance (England) Regulations 2013, the responsibility for determining the local funding formula for schools lies with the local authority. Prior to agreeing the formula, the local authority must first consult with the Schools Forum and all schools on the proposed changes. The Schools Forum is a representative body from the Nottinghamshire schools and early years community which is constituted to make decisions and give guidance to the Council about the Schools Budget.
4. The Schools Forum were presented with a paper and models showing the effects of the arrangements and proposals for the local funding formula for consultation with all parties affected by the changes. The models and consultation document were agreed by the Schools Forum on 15 September 2014, and a formal consultation on the proposals was held from 22 September to 10 October 2014.
5. The Schools Forum met on 23 October 2014 to consider the consultation responses and decide on how the formula should be implemented for 2015-16.
6. As part of the consultation, schools were provided with an estimate of the impact of the proposals, modelled using 2014-15 pupil data.
7. A full analysis of the consultation responses is available as a Background Paper. This was reported to members of the Forum at their meeting on 23 October 2014. In the majority of cases, the consultation responses showed a clear indication of if and how individual formula factors should be applied in the local funding formula for 2015-16.

Where this was less clear more detailed discussions took place. In particular, discussions centred around the sparsity and lump sum factors.

8. A full response to the consultation, outlining why the Schools Forum has made the recommendations that it has for 2015-16 will be made to available to schools via Wired in the coming weeks.
9. A summary of the factors as they were for 2014-15, changes to them, and the recommendation of the Schools Forum on how these should be applied in 2015-16, is shown in **Appendix 1**.

Application of a gains cap

10. To minimise the impact of changes to school budgets caused by the changes to the local funding formula required by Government, and to allow schools time to plan for any changes in the level of funding they receive, a national minimum funding guarantee (MFG) continues to operate at a value of minus 1.5% per pupil in 2015-16. This is to ensure that no school loses more than 1.5% per pupil in delegated pupil led funding in comparison to the previous financial year's budget.
11. The cost of the MFG protection has to be funded from the overall funding available for distribution through the local funding formula. As there could be significant amounts of protection required in some areas as a result of formula simplification, local authorities are able to apply a gains cap so that schools cannot gain more than a certain amount per pupil as a result of the new formula. A gains cap works on the same principles as the MFG; however, instead of providing a 'top-up' to formula budget it makes a reduction on any per pupil gains over a certain level. The amount generated by a gains cap is then redistributed through the basic per pupil entitlement of the local funding formula.
12. The application of a gains cap was considered by the Schools Forum as part of the 2013-14 consultation and it was agreed, in principle, that a scaled gains cap should be applied over a period of three years against the budgets schools received in 2012-13. The intention behind this transitional support was to allow schools that would lose funding under the new formula arrangements sufficient time to plan for this reduction and also provide assurance to those schools that would gain funding that this would eventually be fully realised. A gains cap of 5% per pupil was applied in 2013-14 and it was agreed, in principle, that this should be increased to 7.5% in 2014-15, and 10% in 2015-16.
13. It is the Forum's recommendation that this is applied, as previously agreed.

De-delegated Funds

14. The DfE continues to require that any funding that was subject to de-delegation in 2014-15 should be re-approved by Schools Forum if the de-delegation is to continue in 2015-16 along with any new items. Maintained schools in each phase agreed collectively, through the Schools Forum, to continue to de-delegate funding to the Local Authority to meet the below permitted categories of expenditure centrally. The rationale for de-delegation is to achieve economies of scale and to pool risk across schools for these costs. For 2015-16 the Forum recommends that the following items are covered by de-delegated funds:

- contingency for pre-agreed amalgamation transitional support
- Free School Meals eligibility assessment
- staff costs/supply cover for trade union facility time
- support to underperforming ethnic minority groups and bilingual learners
- contingency for crisis communications (a new de-delegation for 2015-16).

Pupil Growth Fund

15. The growth fund must be agreed by the Schools Forum and is deducted from the Schools Block before calculating budget shares. In 2014-15, the growth fund was set at £750,000 to provide a contingency of £600,000 to support the maintenance of infant class sizes, and of £150,000 to support basic need provision, both subject to schools meeting the agreed criteria.
16. Based on the latest data from the Children's Place Planning and Admissions Team, it was proposed to increase the growth fund held to support the maintenance of infant class sizes to £800,000 and the fund for basic need to £200,000 to meet anticipated demand based on the criteria agreed for 2014-15. The Schools Forum supported this recommendation.

Other Options Considered

17. Other financial models were considered as part of the consultation. The majority view of the Schools Forum was that the recommended option minimises change as far as possible from the principles agreed for the 2013-14 local funding formula.

Reason/s for Recommendation/s

18. Council is required to decide upon the redistribution of the schools budget through a new funding formula which complies with current regulations and must have regard to the consultation with schools and the recommendations of the Schools Forum.

Statutory and Policy Implications

19. This report has been compiled after consideration of implications in respect of crime and disorder, finance, human resources, human rights, the NHS Constitution (Public Health only), the public sector equality duty, safeguarding of children and vulnerable adults, service users, sustainability and the environment and ways of working and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

20. The quantum of funding distributed to schools overall is unaffected by changes in the formula. However, there are financial implications for individual schools and the effect of these has been minimised as outlined in the report.

RECOMMENDATION/S

- 1) That the Committee approves the recommendations of the Schools Forum, as outlined in **Appendix 1** and paragraphs 13, 14, and 16, to distribute available funding between Nottinghamshire schools and academies in 2015-16.

Anthony May
Corporate Director, Children, Families and Cultural Services

For any enquiries about this report please contact:

Katy Adamson
Senior Finance Business Partner – Children Families & Cultural Services
T: 0115 977 3439
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Constitutional Comments (KK 30/10/14)

21. The Policy Committee has delegated authority within the Constitution to approve the recommendations in the report.

Financial Comments (KLA 23/10/14)

22. The financial implications of the report are set out in paragraph 20 above.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

Fairer schools funding – arrangements for 2015 to 2016 (DfE, July 2014)
Schools Revenue Funding 2015 to 2016 – operational guide (DfE, July 2014)
Schools Revenue Funding 2015 to 2016 – technical note (DfE, July 2014)
Consultation on fairer school funding for 2015 to 2016 – Government response (DfE, July 2014)
School Funding 2015-16; consultation with schools on the local funding formula - responses

Electoral Division(s) and Member(s) Affected

All.

C0509

APPENDIX 1

Factor	2014-15 Guidance	2015-16 Changes to DfE Guidance	Schools Forum recommendation for application of the factor in 2015-16	
Pupil Led Factors				
1	<p>Basic per pupil entitlement - age weighted pupil unit (AWPU)</p> <p>(Compulsory factor)</p>	<p>Single unit value for primary – the value of the primary AWPU must be greater than £2,000</p> <p>Single unit value for each of KS3 and KS4 – the value of the KS3 and KS4 AWPU must be greater than £3,000</p>	None	<p>That the AWPU rates be proportionally adjusted in order to maintain the overall primary to secondary funding ratio of 1:1.265 for 2015-16</p>
2	<p>Deprivation</p> <p>(Compulsory factor)</p>	<p>Continues to be measured by free school meals (either single year or Ever6 indicators) and/or Income Deprivation Affecting Children Index (IDACI).</p> <p>Separate unit values for primary and secondary phase are still permitted.</p> <p>Local authorities and Schools Forums are requested to determine an appropriate proportion of schools block funding to allocate through this factor.</p>	None	<p>That the same percentage of total funding, deprivation indicators, and weightings should be used to allocate deprivation funding in 2015-16 as were used in 2014-15.</p>
3	<p>Prior attainment (Low Cost, High Incidence SEN)</p> <p>(An optional factor that</p>	<p>Primary pupils continue to be identified by Early Years Foundation Stage Profile (EYFSP). Pupils aged 2 to 5</p>	None	<p>That the factor continues to be included, and that we retain the current proportion of funding and method for distributing that</p>

Factor	2014-15 Guidance	2015-16 Changes to DfE Guidance	Schools Forum recommendation for application of the factor in 2015-16
Nottinghamshire chose to adopt for 2014-15)	<p>5 will be identified by a score of less than 78 or 73 points on the old EYFSP. Pupils in Year 1 will be identified as those not achieving a 'good' level of development.</p> <p>Secondary pupils continue to be identified by Key Stage 2 assessments, but will now be identified as achieving Level 3 or below in English OR Maths.</p> <p>Separate unit values for primary and secondary phase are still permitted.</p>		funding as in 2014-15
4 Looked after children (An optional factor that Nottinghamshire chose to adopt for 2014-15)	<p>A single unit value for both phases will remain.</p> <p>A single indicator will now be provided, covering all pupils who have been looked after for one day or more on 31 March 2013.</p>	None	That the factor continues to be included, and that a fixed unit value of £3,000 should continue to be used to allocate this funding in 2015-16
5 English as an additional language (EAL) (An optional factor that Nottinghamshire chose to adopt for 2014-15)	<p>Pupils will continue to attract funding for a maximum of three years after the pupil enters the statutory age school system.</p> <p>Separate unit values</p>	None	That the factor is retained, and that the same percentage of total funding should be allocated through the EAL factor with a single unit value in 2015-16

Factor	2014-15 Guidance	2015-16 Changes to DfE Guidance	Schools Forum recommendation for application of the factor in 2015-16	
		primary and secondary phase are still permitted.		
6	<p>Pupil mobility</p> <p>(An optional factor that Nottinghamshire chose to adopt for 2014-15)</p>	<p>Pupils starting school at non-standard start dates (i.e. not August, September or January for Year R) in the last three academic years. A 10% threshold will now apply to attract funding.</p> <p>Separate unit values for primary and secondary phase are still permitted.</p>	None	That the factor is retained and that the same percentage of total funding should be allocated through the Pupil Mobility factor in 2015-16, with a single unit value
Non Pupil Led Factors				
7	<p>Sparsity</p> <p>(An optional factor that Nottinghamshire chose not to adopt for 2014-15)</p>	<p>A fixed or variable amount to a maximum of £100,000 may be applied to small schools where the average distance (as the crow flies) to pupils' second nearest school is</p> <p>>2 miles primary >3 miles secondary</p> <p>To be classed as a small school, primary schools must have a maximum of 150 pupils on roll and secondary schools must have a maximum of 600 pupils on roll to qualify.</p>	<p>For 2015-16, the average size of year groups within the school will determine eligibility.</p> <p>Schools will only qualify if total pupils divided by the no of year groups are below the threshold for the phase, which are:</p> <ul style="list-style-type: none"> • Primary: 21.4 • Secondary: 120 	That Nottinghamshire does not adopt this factor for 2015-16

Factor	2014-15 Guidance	2015-16 Changes to DfE Guidance	Schools Forum recommendation for application of the factor in 2015-16	
		<ul style="list-style-type: none"> • Middle: 69.2 • All-through: 62.5 		
8	<p>Lump sum</p> <p>(An optional factor that Nottinghamshire chose to adopt for 2014-15)</p>	<p>Lump sum value may be different for primary and secondary phase, with an upper limit of £175,000.</p> <p>The value used for <u>each phase</u> must be applied to all schools in that phase.</p> <p>Merging schools will be permitted to keep 85% of the two lump sums for the next financial year in which they merge.</p>	<p>Local authorities may apply for an exceptional factor to pay a further allowance to amalgamating schools in the second year after amalgamation.</p> <p>Local authorities may also wish to apply to exclude the exceptional factor payment from the MFG baseline.</p>	<p>That the factor is retained, with both primary and secondary phases receiving £100,000 per school, as in 2014-15 and that Nottinghamshire does not apply for an exceptional factor for amalgamating schools</p>
9	<p>Split sites</p> <p>(An optional factor that Nottinghamshire chose to adopt for 2014-15)</p>	<p>The criteria used for this factor can continue to be determined locally but must clearly define what constitutes a split site and how much is paid.</p>	<p>None</p>	<p>That the factor be retained and that we continue with the current methodology and funding for split site schools</p>
10	<p>Rates</p> <p>(An optional factor that Nottinghamshire chose to adopt for 2014-15)</p>	<p>Rates will continue to be funded at the latest estimate of cost.</p>	<p>None</p>	<p>That we continue with the current arrangement to pay rates centrally</p>

Factor	2014-15 Guidance	2015-16 Changes to DfE Guidance	Schools Forum recommendation for application of the factor in 2015-16
Exceptional Factors			
11	Joint Use and Rental	In 2013-14 Nottinghamshire was successful in its application to use exceptional factors for joint use arrangements and rental of premises	Approved factors can continue to be applied, but any new ones must be approved by the Education Funding Agency (EFA)
That we continue with the exceptional factors for joint use and rental only			

REPORT OF THE LEADER OF THE COUNTY COUNCIL

APPOINTMENT TO OUTSIDE BODY

Purpose of the Report

1. To seek approval to add the Nottinghamshire Advice Network Charitable Board to the Council's Outside Body appointments list and to appoint Councillor Darren Langton to act as a Trustee on that Board.

Information and Advice

2. A letter was received from the Nottinghamshire Advice Network on 11th September 2014 requesting the Council to appoint Councillor Darren Langton as Trustee.
3. The organisation state in their letter that they have made this request as, "we are keen to establish a clear link between our own work and that of Nottinghamshire County Council in the hope we may jointly find ways to improve the lives of those most vulnerable to suffering social and financial exclusion in this changing landscape."
4. Nottinghamshire Advice Network is a Company limited by guarantee and a registered charity. Their advice hub is based in Mansfield.
5. The aims of the organisation are in line and complement the Strategic Plan of the Council.

Other Options Considered

6. Policy Committee could decide not to make an appointment

Reason/s for Recommendation/s

7. To respond to the request made by Nottinghamshire Advice Network.

Statutory and Policy Implications

8. This report has been compiled after consideration of implications in respect of crime and disorder, finance, human resources, human rights, the NHS Constitution (Public Health only), the public sector equality duty, safeguarding of children and vulnerable adults, service users, sustainability and the environment and ways of working and

where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

9. None arising from the report.

RECOMMENDATION/S

- a) That Nottinghamshire Advice Network Charitable Board is added to the Outside Body appointments list.
- b) The Councillor Darren Langton is appointed to serve on the board on behalf of the Council until May 2017.

COUNCILLOR ALAN RHODES LEADER OF THE COUNCIL

For any enquiries about this report please contact: Jayne Francis-Ward Corporate Director for Policy, Planning & Corporate Services (0115 9773478)

Constitutional Comments (SLB 31/10/14)

10. Policy Committee is the appropriate body to consider the content of this report. It has responsibility for making changes to the organisations on the list of Outside Bodies.

Financial Comments (SEM 4/11/14)

11. There are no specific financial implications arising directly from this report.

Background Papers and Published Documents

- a) Letter from Trust - 11th September 2014
- b) Business Plan for the Trust.

Electoral Division(s) and Member(s) Affected

All

REPORT OF THE LEADER OF THE COUNCIL**EUREKA! 12-MONTH REVIEW****Purpose of the Report**

1. To note the findings of the review of the online staff ideas platform called Eureka! which has supported the delivery of £849,000 of savings in its first 12 months.

Information and Advice

2. Eureka! was introduced in October 2013 to increase employee engagement and collaboration opportunities by providing employees with a greater opportunity to share their ideas and suggestions in an open forum.
3. The system replaced the former paper-based Bright Ideas scheme which had proved difficult to manage and operated in a more closed environment without the opportunity for peer-to-peer comment.
4. Eureka! uses some innovative solutions to encourage participation, including crowd-sourcing, where ideas can be developed by a number of individuals or groups, and game play, where users can either vote for or against a particular idea.
5. The use of crowd-sourcing is a relatively new concept in terms of employee ideas schemes in the public sector although the Eureka platform is used by a number of major UK-based firms including the BBC, NHS, Aviva and the Ministry of Justice.

The challenge process

6. The online platform works on the basis of setting challenges with clear boundaries and time limits set. The challenge is publicised through the intranet, a broadcast email, Team Talk and through ongoing intranet stories to maximise interest.
7. In response to the challenge, employees are encouraged to suggest ideas and the Eureka! community can express their opinion by responding with additional comments and/or voting for or against the idea put forward.
8. Once the challenge has closed, a summary report on the ideas raised is taken to the Corporate Leadership Team, who provide feedback on which ones to take forward for investigation and action. The feedback is shared with the Eureka! community and highlighted on the intranet and within the staff briefing channel, Team Talk.

Analysis

9. Since the introduction of Eureka!, there have been nine challenges covering topics as diverse as budget savings, innovation, car parking and channel shift.
10. To date, 1,772 employees have registered as Eureka! members which represents 19% of the total directly employed workforce and 35% of those with online access through individual email accounts.
11. In total, since October 2013, 143 suggestions have been made by employees and 28 ideas have been taken forward as CLT recommendations for further work and investigation by the challenge owner.
12. As part of the Eureka! first-year review process, individual challenge owners were contacted to identify what actions had been implemented and the potential savings identified. This approach was to help highlight the return on investment achieved by the implementation of Eureka! The information is highlighted below.
13. A full list of CLT recommendations, action to date and costs savings achieved is listed in Appendix 1. It is important to emphasise that many of the ideas supported the delivery of savings that were already in progress. Eureka! has supported the delivery of savings of £849,000 over the past 12 months. Summary highlights are shown in the table below.

Eureka! Challenge	Number of employee ideas	Ideas taken forward by Challenge owner after CLT approval	Actions to date	Savings achieved/ potential savings
Car parking	48	9	7 ideas taken forward 2 outside scope of car parking project	None – investment required for all ideas
Delivering services and communicating better online	15	3	2 ideas taken forward	TBC
Encouraging innovation	18	Ongoing challenge	N/A	N/A
Service merger challenge	7	5	5 ideas taken forward	N/A
Support groups	10	4	4 ideas taken forward	N/A
Learning and development	7	6	6 ideas taken forward	N/A
Money saving ideas	17	4	2 ideas taken forward	£669,000
Energy saving behaviour change	16	3	3 in progress as this was a recent challenge	Up to £180,000 if universally adopted
What would help you to work more flexibly?	6	Ongoing challenge	N/A	N/A
TOTAL	143	28	23	£849,000

Employee survey

14. As part of the review of Eureka! an online survey was launched on the intranet to gain insight into employee understanding and perceptions of the system.

15. Ninety employees have responded and the results show:

- 100% of respondents are aware of Eureka!
- the intranet and Team Talk help to inform people about Eureka!
- 100% of respondents are aware of the collaborative opportunities offered through Eureka!
- 78% of respondents use Eureka to see what other people are saying about an issue
- 60% of respondents log on daily/weekly/or several times a month
- 65% of respondents state time availability restricts their use of Eureka! at work
- 41% of respondents believe Eureka! provides an effective way to submit their ideas
- 23% of respondents believe Eureka! helps them to collaborate with other colleagues
- 60% of respondents do not understand what actions have been taken following a Eureka! challenge
- 54% of respondents believe that their manager does not encourage them to get involved in Eureka!
- 50% of respondents do not believe that senior management get involved in exploring ideas in online discussions in Eureka!

Renewal costs

16. Wazoku, the supplier of the Eureka! platform, has agreed to hold the contract price at the existing fee. This includes unlimited end user licences, system maintenance and support, site customisation and single sign-on. The total 12-month renewal cost will be £7,000.

Other Options Considered

17. Alternative staff ideas schemes were looked at but Eureka! was judged to offer the best solution and the best value for money.

Reason/s for Recommendation/s

18. To promote the contribution that employees have made to supporting the overall savings target of the Council.

Statutory and Policy Implications

19. This report has been compiled after consideration of implications in respect of crime and disorder, finance, human resources, human rights, the NHS Constitution (Public Health only), the public sector equality duty, safeguarding of children and vulnerable adults, service users, sustainability and the environment and ways of working and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

Financial Implications

20. The financial implications are set out in paragraph 16 of this report.

Human Resources Implications

21. The Eureka! employee suggestion scheme is one of a range of provisions which facilitates organisational transformation, by enabling County Council employees to contribute their own ideas to shape the change and improvement necessary to support organisational transformation.

RECOMMENDATION/S

1) That the progress made to date with Eureka! be noted.

Martin Done
Service Director, Communications and Marketing

For any enquiries about this report please contact:

Constitutional Comments

22. As this paper is for noting, no constitutional comments are required.

Financial Comments (NS 4/11/14)

23. The financial implications are as stated in the report.

Background Papers and Published Documents

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

- Full list of Eureka! challenges and the feedback

Electoral Division(s) and Member(s) Affected

- All

Appendix 1

Completed Eureka! challenges, CLT recommendations, actions to date and savings supported

Car Parking challenge

Challenge owner: Kevin McKay

CLT Recommendations	Progress to date	Cost savings achieved
Offer more incentives to cyclists, adequate changing and shower facilities, lockable well lit bike stores	Facility provision in County Hall underway with the likely closure of existing facilities in the Clasp Block. Cycle store been erected at LVH. No other plans for introduction of facilities	Not applicable
Open up Members' Parking area when on non-major council / committee days)	This is already happening	Not applicable
Short Stay Parking areas (max 3.5 hours) for business users	Achieving this requires an investment in Automatic Number Plate Recognition (ANPR). Proposals are being considered in line with the review of security & building access systems that require replacing due to a current Windows XP system being unsupported from April 2015	Not Applicable
Better car park permit issue and controls (such as stopping those who have left the council from using County Hall)	As above	Not applicable
Tell staff about the Masons car park £2.50 a day offer (Comms has just done this)	A number of staff have taken this offer up	Not applicable
Working from home – allow more staff to do so	Outside of the Car Parking issue scope	Not applicable
Re design and re-paint car parking spaces to fit more in and remove obstructive flower beds (County Hall)	Some work in reducing beds and site management at County Hall taken place. Remarketing will take place when an enforceable system is in place	Not applicable

Workbase Reshuffle – staff work from base closest to home, so don't need to use cars so much	Outside of car parking issue scope	Not applicable
Rationing – limit days of access / Rota System	Will be subject to an options for change report from C&FM	TBC

Delivering services and communicating better online

Challenge owner: Martin Done

CLT Recommendations	Progress to date	Cost savings achieved
ICT to pick up the problem of internal legacy systems as part of its work programme to replace equipment and mobilise the workforce	In progress	Ongoing
Channel shift project board to review all requests for e-payment project following the completion of the pilot	e-Payments has been moved into the Digital First programme with implementation over the next few months.	This is likely to be an enabler of savings rather than direct delivery as it will allow more of our customers to transact online which will reduce demands on the back office. It is also likely to deliver increased income although this has yet to be calculated.
Feed the ideas submitted about improving the website and customer experience in to the Digital Development Plan for further consideration	Digital First project is looking at the ideas on improving the website and customer experience with a new website expected in April 2015.	This is likely to be an enabler of savings rather than direct delivery as it will allow more of our customers to transact online.

Service Merger challenge

Challenge owner: Jayne Francis-Ward

CLT Recommendations	Progress to date	Cost savings achieved
The Strategic Management Framework Business Intelligence project to review the examples around citizen based services	This idea is about working with partners to understand the person/ family and targeting help to meet their needs (rather than agencies providing isolated services to address single issues) and is in keeping with new approaches being	Not applicable

	considered as part of redefining your council and demand management	
As part of the work to develop a revised operating model the work of other councils is taken into consideration	This is now regularly considered through the Council's transformation work as well as possible learning from other public service providers and businesses. A new dashboard being developed for CLT will ensure that senior managers are aware of positive opportunities and best practice from elsewhere alongside challenges and performance risks faced in Nottinghamshire.	Not applicable
The Libraries service to work with ASCHPP to see if any opportunities exist to co-host day services	The group manager libraries, archives, information & learning is exploring whether there are any potential opportunities for this	Not applicable
Review the possibilities of sharing with other public bodies including financial services, the BSC and buildings	<p>The Council is sharing Cipfa Trainees through a joint scheme with districts, fire, police, health, Grant Thornton.</p> <p>Authorities in Nottinghamshire, including the City Council, are currently exploring the possibility of sharing internal audit functions.</p> <p>The Business Support Centre provides a number of sold services to other organisations which generate income, for example, we provide,</p> <p>An extensive external payroll</p>	TBC

	<p>bureau service for schools, academies and other organisations including providing a payroll processing service for Nottinghamshire Fire and Rescue; Disclosure and Barring Service which provides criminal records checks for a wide range of organisations; Recruitment advertising services.</p> <p>The Council already has examples of sharing buildings with other agencies and local authorities.</p>	
To align transformation governance arrangements	The Council's improvement programme has been restructured and a new transformation framework and board put in place. Work is continuing to develop the ICT Design Authority, new change control and assurances arrangements for data and information needs and to ensure that projects and programmes are linked to the Council's plans, strategies and priorities.	Not applicable

Support Groups challenge

Challenge owner: Jayne Francis-Ward

CLT Recommendations	Progress to date	Cost savings achieved
Promote the role of the groups through drop-in sessions or by featuring on	Chair of the Corporate Equalities Group met with the groups to consider an	Not applicable

the equality calendar	additional combined 'drop in session' linked to national anti-bullying week. Report taken to Corporate Equalities Group in August and CLT on 2 September to agree	
Reminder to managers to allow employees to attend meetings	Chair of the CEG met with the groups to discuss. Increased promotion of the groups through articles / publicity materials which now include management support to reinforce this.	Not applicable
Training to raise awareness amongst managers of the groups is being provided through the Leadership Development Programme	The leadership development programme for Team Managers is under way	Not applicable
Provide support to groups to undertake virtual meetings using Lync/Yammer	The merits and opportunities of virtual meetings have been highlighted to groups. This offer has been repeated with support available from Communications and Equality officers	Not applicable

Learning and Development Challenge

Challenge owner: Marje Toward

Draft CLT Recommendations	Progress to date	Cost achieved	savings
Prioritising training on employee wellbeing to help people handle issues like stress, anxiety and depression more effectively and make staff feel more supported and valued at work	Training launched in November to enable managers to support employees to improve their personal psychological wellbeing and remain productive at work.	N/A	
Providing a 'salary sacrifice' option for employees to pay for training courses at source to encourage more employees to self-fund professional development	Salary sacrifice schemes are being considered as part of the Council's Pay and Reward Package. This and mechanisms to ensure that employees have the required knowledge and skills will	TBC	

	be included within the new Workforce Development Strategy.	
Making sure training is always relevant and targeted at the right audience	This related to feedback on a particular generic training programme (Information Management) which is being reviewed. Generally training needs are identified and agreed by employees and managers as part of the EPDR process.	N/A
Joint commissioning of training courses with other public sector bodies to achieve better value for money	This is part of the new operating model for the Workforce and Organisational Development team and we are currently working with partners on this.	Any savings are part of an existing business case
Make e-learning easier to find and use – including technical, cultural and communication issues	Work is underway to resolve some of the issues raised. The roll out of the new system (see below) will be used as the opportunity to re-launch e-learning and improve communication about this with suggestions such as an e-learning newsletter.	N/A
Resolving ICT difficulties experienced when people try to use Skillport.	Skillport has been replaced by a new system which is being rolled out across the Council Nov/Dec 2014	N/A

Money saving challenge

Challenge owner: Mick Burrows

CLT Recommendations	Progress to date	Cost savings achieved
Use appropriate technology to reduce staff travel costs/time out of the office	<p>Mobilisation Pilot – hand held devices for mobile staff.</p> <p>Potential savings could be achieved as a result of this project based on following assumptions: Using handheld devices to communicate thereby reducing the need for</p>	Potential circa £496k

	face to face meetings and travelling across the county – three members of staff travelling across the County for two meetings per day – potential savings would be officer time and travel costs to and from venues	
Reuse existing stationery and consider the option to remove the option to re-order stationery from the BMS system	In hand prior to suggestion	Total budget savings on reducing expenditure on stationery is estimated to be between £20k to £150K by reducing non-essential spend and encouraging greater re-use of existing products.
Investigate sites for property development to raise income	TBC	TBC
Review the possibility of using solar panels to generate electricity at County Council buildings	The Council has a capital allocation over the next few years to support the further installation of solar panels on suitable roofs of its non-school buildings. When complete this will represent a £1.6million investment.	In 2013-14, the solar panels installed under phase 1 of the SunVolt programme generated an income of £72,507 from Feed in Tariff (FiT) payments, and saved £22,695 in electricity costs.

Encouraging energy saving behaviour

Challenge owner: Phil Keynes

CLT Recommendations	Progress to date	Cost savings achieved
Encourage managers to be energy champions	Attend each departmental management team to highlight opportunities	None
Consult staff on ideas to turn the heating down by 1 degree	Commenced work with Property to look at potential pilot sites for engaging with staff around heating temperatures/timings and communicating the value of cumulative small actions, as these will represent our bigger, 'county' offices, where we will have smart metering	Turning down the temperature on heating controls by one degree can save around 8% of heating costs – potentially a £80,000 a year saving across our non-school sites, if universally adopted.

	for gas and electricity supplies and hopefully someone in a suitable capacity on site with whom we can work with.	
Communicate energy usage and energy saving opportunities to staff based within buildings - pilot	As above	Potential to reduce our electricity costs by 5% saving up to £100,000.

REPORT OF CHAIRMAN OF FINANCE AND PROPERTY COMMITTEE
COMMUNITY ASSET TRANSFER POLICY

Purpose of the Report

1. To seek approval to the Community Asset Transfer Policy.

Information and Advice

2. Background

National Policy Context

- 2.1 Since 2007 a number of reviews and legislative provisions have been issued by Central Government with the stated aim of creating strong prosperous communities and delivering better public services. Governments view is that this can be achieved through a re-balancing of the relationship between Central Government, Local Government and local people by giving residents a greater say over local services.
- 2.2 Initially the Local Government White Paper "Strong and Prosperous Communities" was published in 2006, one element of which touched upon the transfer of property assets to the community. Asset Transfer is defined by the Department of Communities and Local Government as "*passing ownership or management of a building or piece of land from a public sector body to a third sector organisation*".
- 2.3 A subsequent review instigated by the government (called the Quirk review) considered issues around asset transfer and concluded that the transfer of assets to the community can work, by being clear as to the risks associated with the process and learning to manage them effectively, it can open up new sources of finance and extend the use of existing facilities to a wider community. The clear lead from Government was that local management and ownership of assets makes for strong communities with the objective being greater community empowerment.
- 2.4 This was followed by the 2011 Localism Act which contained provisions that relate to assets of community value. These provisions came into force on 21 September 2012. The legislation provides communities with a right to bid for land or property which has valuable community use. The aim of these provisions is to give an opportunity for local community groups and social enterprises to be informed when an important local amenity/building comes up for sale and to provide time for local people to organise themselves so that they can bid to purchase the property,

thereby preventing the loss of a facility/service that is considered important to that community.

2.5 The 2011 Localism Act provides a framework for administering the scheme and the Regulations provide further details, a summary of these are set out in the attached Draft Policy at Appendix 1.

3 Purpose of this Policy

3.1 The use and occupation of Council owned premises by community groups is not new. The Council currently have a variety of organisations ranging from voluntary support groups to sporting and youth groups based in Council owned buildings. The purpose of this policy is to build upon current experience and best practice and provide a transparent framework for responding to any requests for asset transfer including a set of criteria against which applications can be considered.

3.2 The objective is to enable applications from potentially a wide variety of organisations to be assessed and decide whether asset transfer supports Council and wider community objectives.

4 Principles of the Asset Transfer Policy

4.1 The policy is underpinned by the following principles:-

4.1.1 Any proposed transfer must support the aims and priorities of the Council

4.1.2 The Council will take a strategic approach to Corporate Asset Management Planning by reviewing its portfolio and undertaking option appraisals which will include examining the transfer potential of its assets.

4.1.3 The Council will adopt a transparent corporate process for asset transfer which will include a clear point of first contact and clear stages and timescales for each party.

4.1.4 The Council will adopt an agreed method of assessing the benefits of the transfer (linked to corporate priorities).

4.1.5 The presumption is that all disposals will be at market value. The priority will be to obtain the best outcome to support the delivery of Council objectives.

4.1.6 The Council however does have the opportunity under the General Disposal Consents 2003 to sell or lease assets at less than best consideration in cases where it can be demonstrated that wellbeing benefits arise. This will require balancing the best price reasonably obtainable to support the capital programme against the benefits being offered through alternative use. Where the sale price is £2 million or more below best consideration it will require Secretary of States consent. Councils are still required to meet their general fiduciary duty.

4.1.7 If any disposal at less than best consideration is pursued, it will need to be accompanied by a legally binding service level agreement (SLA) or other

appropriate agreements identifying the benefits and how these will be monitored and measured.

5 Proposed Policy Framework

- 5.1. The *attached* policy framework sets out the criteria the Council will apply to assess requests for the transfer of Council owned assets.
- 5.2. Due to the diverse nature of the Councils property holdings which includes land, buildings, structures, and monuments, it is unlikely that one policy will fit all circumstances. However a number of common themes will apply. The nature of the applicant's their track record and capability to manage an asset. An assessment of their financial status, financial implications to the Authority, assessment of risks, contribution to corporate objectives, community benefits and sustainability of the business case will be required.
- 5.3. The Council's policy will be that asset transfers will be by means of leases and licences. Freehold transfer will only be considered in exceptional circumstances. The nature of tenure offered and whether to charge an open market consideration will be determined on a case by case basis.
- 5.4 In all cases involving transfer of ownership / occupation appropriate legal mechanisms will be put in place to protect the Council's financial position.
- 5.5. An evaluation appraisal will be carried out in each case by the Council's Corporate Asset Management Group (CAMG) to determine if one of the viable options for the asset is community transfer.
- 5.6 Asset transfer proposals will subsequently be taken to Finance and Property Committee in each case for approval.

Reason/s for Recommendation/s

6. To provide a clear policy framework to consider and support asset transfer from Nottinghamshire County Council to the Community and Voluntary sector organisations.

Statutory and Policy Implications

7. This report has been compiled after consideration of implications in respect of crime and disorder, finance, human resources, human rights, the NHS Constitution (Public Health only), the public sector equality duty, safeguarding of children and vulnerable adults, service users, sustainability and the environment and ways of working and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION/S

1) That Committee approves the *attached* Community Asset Transfer Policy.

**Councillor David Kirkham
Chairman of Finance and Property Committee**

For any enquiries about this report please contact: Andrew Stevens

Constitutional Comments (CEH 29.10.14)

8. The recommendation falls within the remit of Policy Committee.

Financial Comments (TR 21.10.14)

9. There are no immediate financial implications as a result of this report.

Background Papers and Published Documents

None

Electoral Division(s) and Member(s) Affected - All

File ref.: /SB/SB/09997
SP: 2743
Properties affected: 09997 – Policy

Appendix A

Community Asset Transfer Policy

1. Introduction and National Policy Context

- 1.1. Since 2007 a number of reviews and legislative provisions have been issued by Central Government with the stated aim of creating strong prosperous communities and delivering better public services. Governments view is that this can be achieved through a re-balancing of the relationship between Central Government, Local Government and local people by giving residents a greater say over local services.
- 1.2. Initially the Local Government White Paper “Strong and Prosperous Communities” was published in 2006, one element of which touched upon the transfer of property assets to the community. Asset Transfer was defined by the Department of Communities and Local Government as *“passing ownership or management of a building or piece of land from a public sector body to a third sector organisation”*. This was followed in 2007 by the Quirk Review which looked at the issues around asset transfer and concluded that the transfer of assets to the community can work, by being clear as to the risks associated with the process and learning to manage them effectively, it can open up new sources of finance and extend the use of existing facilities to a wider community. The clear lead from Government was that local management and ownership of assets makes for strong communities with the objective being greater community empowerment.
- 1.3. This was followed in 2011 by the Localism Act which contained provisions that relate to assets of community value. These provisions came into force on 21 September 2012. The legislation provides communities with a right to bid for land or property which has valuable community use. The aim of these provisions is to give an opportunity for local community groups and social enterprises to be informed when an important local amenity/building comes up for sale and to provide time for local people to organise themselves so that they can bid to purchase the property, thereby preventing the loss of a facility/service that is considered important to that community. The act provides a framework for administering the scheme and the Regulations provide further details, a summary of these are set out in Appendix 1.

2. Purpose of this Policy

- 2.1. The use and occupation of Council owned premise by community groups is not new we currently have a variety of organisations ranging from voluntary support groups to sporting and youth groups based in Council owned buildings. The purpose of this policy is to build upon current experience and best practice and

provide a transparent framework for responding to any requests for asset transfer including a set of criteria against which applications can be considered.

2.2. The objective is to enable applications from potentially a wide variety of organisations to be assessed and decide whether asset transfer supports Council and wider community objectives.

3. Principles of the Asset Transfer Policy

3.1. The policy is underpinned by the following principles:-

3.1.1. Any proposed transfer must support the aims and priorities of the Council

3.1.2. The Council will take a strategic approach to Corporate Asset Management Planning by reviewing its portfolio at appropriate times and undertaking option appraisals which will include examining the transfer potential of its assets.

3.1.3. The Council will adopt a transparent corporate process for asset transfer which will include a clear point of first contact and clear stages and timescales for each party.

3.1.4. The Council will adopt an agreed method of assessing the benefits of the transfer (linked to corporate priorities).

3.1.5. The presumption is that all disposals will be at market value. The priority will be to obtain the best outcome to support the delivery of Council objectives.

3.1.6. The Council does have the opportunity under the General Disposal Consents 2003 to sell or lease assets at less than best consideration in cases where it can be demonstrated that wellbeing benefits arise, this will require balancing the best price reasonably obtainable to support the capital programme against the benefits being offered through alternative use. Sales where the consideration is £2 million or more below best consideration, however, require Secretary of States consent. Councils are still required to meet their general fiduciary duty.

3.1.7. If any disposal at less than best consideration is pursued, it will be accompanied by a legally binding service level agreement (SLA) or other appropriate agreements identifying the benefits and how these will be monitored and measured.

4. **Criteria to be Adopted for Considering Requests for Community Asset Transfer**

4.1. Requests for the transfer of Council owned assets will be considered where the following criteria are met:-

4.2. The Applicant must:

4.3. Be community led organisation. i.e. its governance must ensure that it has strong links with the local community and that members of the community are able to influence its operation and decision-making processes;

4.4. Be a Voluntary and Community Sector organisation – i.e. it must be a legal entity which:-

4.4.1. Exist for community / social / environmental benefit

4.4.2. Be non-profit making it must reinvest any surpluses to further its social aims / community benefits

4.4.3. Have community benefit objectives

4.5. Be appropriately constituted, for example a registered charity, a community interest company, or charitable trust, a not for profit company. Such constitution allows for the management of buildings and provision of services.

4.6. Can demonstrate good governance by operating through open and accountable processes, with adequate monitoring, evaluation and financial management systems

4.7. Can demonstrate it has the skills and capacity within or available to its managing body to effectively deliver services and manage the asset

4.8. Embrace diversity and work to improve community cohesion and reduce inequalities

4.9. Engage in economic environmental or social regeneration in Nottinghamshire or is providing a service of community benefit in line with the Council's core priorities.

4.10. Demonstrate experience in building management or a way of acquiring this

4.11. Include a specific plan on health and safety issues and compliance with legislation and any statutory requirements arising from management or ownership of the building and or running the service

- 4.12. Demonstrate how they will address any capacity building requirements within the organisation
- 4.13. Provide copies of accounts of the organisation
- 4.14. Details of the number of years they have been established and or details of their track record in delivering services
- 4.15. Be clear about what activities it wishes to deliver

5. The Asset

- 5.1. The asset is in the freehold ownership of the council.
- 5.2. An options appraisal has been carried out and approved initially by the Corporate Asset Management Group (CAMG) to identify that one of the viable options for the asset is community transfer. This process will be adopted in response to requests for properties identified through internal reviews.
- 5.3. The asset is not currently needed or identified for future investment or use for direct service delivery.
- 5.4. The Council considers that service delivery can best be provided through asset transfer and the transfer will support delivery of the strategic priorities of the Council.

6. Proposed Use

- 6.1. The proposed use will demonstrably help in the delivery of the council's community, corporate, needs and facilities for use by the people of Nottinghamshire
- 6.2. The proposed use would ensure extensive and inclusive reach into the community and will be open to all
- 6.3. The proposed use will maintain a wide variety of use in line with community needs and in the case of competing proposals, will best meet identified community needs. The decision of what is best will be judged by NCC.
- 6.4. The applicant has established how much space it requires to deliver its proposals and how they will make good use of such facilities.
- 6.5. Clear management structure demonstrating how of the premises will be managed on a day to day basis

7. Business Plan and Finance

- 7.1. Fundamental to the success of any transfer is the applicant (s) demonstrating to the council that they have a clear rationale backed by a robust business case of their ability to manage the asset effectively. This needs to include an assessment of the financial and organisational capacity of the organisation.
- 7.2. In putting forward proposals any applicant will need to:
 - 7.2.1. Provide a viable business plan for their use of the asset including clear proposals, with identified funding plans and projections for at least five years of revenue and or capital funding, for the management and maintenance of the asset.
 - 7.2.2. Clearly identify any sources of funding which the transfer will release or attract. The council will assist in the identification of external funding sources where appropriate.
 - 7.2.3. Clearly identify any revenue or capital implications for the Council.
 - 7.2.4. Clearly identify how it will invest in and maintain the asset, including a specific plan as to how Health and Safety responsibilities will be met.
 - 7.2.5. Clearly identify the planned outcomes and benefits to result from the asset transfer and accepts that they may be expected to enter into agreements that link continued community governance with achievement of such outcomes and benefits.
 - 7.2.6. Demonstrate a community governance structure with capacity to sustain asset transfer and have identified necessary capacity building requirements within their organisation and have identified the role (if any) they see for the council in this.
 - 7.2.7. Indicate whether they would wish the Council to consider a phased transfer of the asset and agree milestones to justify progression to the next phase.
 - 7.2.8. Indicate whether additional assets are required to provide viability to the proposal.
 - 7.2.9. Indicate what support and guidance would be desirable in the management and maintenance of the asset.
- 7.3. Where transfer is requested at less than market value either freehold or leasehold the applicant has justified and quantified the benefits to the community and Council to justify the subsidy. The council will separately need to ensure that any transfer is within its legal and financial powers.

8. Proposed Terms for Disposal

- 8.1. In view of the diverse nature of assets within the Council's ownership, there is no one disposal or methodology that suits all circumstances. However as a general principle the policy will be that transfers will be by means of lease or licence. Freehold transfer will only be considered in exceptional circumstances. The nature of tenure offered will be determined on a case by case basis having regard to the particular circumstances of the project, strength of the applicant and sustainability of the business case etc. It is expected that the security of tenure to the applicant will be subject to improvement over time in accordance with the success of the project and the growing strength of the applicant in terms of community covenant capability.
- 8.2. For the applicant to complete the business plan and the elements above it will be necessary for the applicant and council to negotiate terms for the disposal of the asset. In addition to tenure these will include consideration, the user clause and covenant, responsibility for repairs and insurance, and arrangements in the event that the proposal fails and the property is to return to the council. The terms will define financial liabilities of the applicant for occupation of the property. In addition to guarantee continued provision of services a service level agreement is likely to be required to be entered into, linked directly to the lease such that failure to provide the services leads to lease termination. It is expected that best consideration will be achieved by the council in all disposals.

9. Consideration by the Council

- 9.1. Should an applicant meet all the criteria outlined in 4 – 7 above, then the application will be considered by the council.
- 9.2. Such consideration will include: -
 - 9.2.1. A whole life options appraisal of the different alternative options available to the council weighing community benefit against other criteria
 - 9.2.2. Risk analysis of the proposal
 - 9.2.3. Consideration as to whether any revenue or capital funding requested from the Council will be made available, and whether any capacity building help can be provided.
 - 9.2.4. The acceptability of the proposed terms of the transfer of the asset
 - 9.2.5. Should the application be judged favourably following such consideration, a report will be taken to the appropriate council committee for decision on the proposal.

APPENDIX 1

A GUIDE TO THE LOCALISM ACT 2001 – LIST OF ASSETS OF COMMUNITY VALUE

This legislation places certain restrictions on an owner's ability to sell property which is classed as an "asset of community value." The restrictions mostly affect the **timing** of sales, but the County Council must follow the requirements of the Act when seeking to sell [or enter in to a long lease of 25 years+] on an "asset of community value".

"Assets of Community Value"

An "Asset of Community Value" [ACV] can be **land** or **buildings** or both. It can be in either **public** or **private** ownership.

An asset can be deemed of "community value" if it's existing main use is, or recently has been, to ***"further the social well being or social interests of the local community."***

Examples might include [not an exhaustive list] current or recent:-

- Schools
- Youth and community centres
- Libraries
- Sports fields
- Sports and leisure centres; swimming pools
- Public or community access land
- Theatres
- Museums and heritage sites
- Market halls
- "the village shop"
- "the village pub"
- cinemas
- town, civic and guild halls

Some land and property is exempt – land and buildings which are primarily residential, licensed caravan sites, operational land of statutory undertakers, land or buildings with *occasional* social benefit [e.g. space used for an annual village fete], or assets which might have community value in the future.

Register of Assets of Community Value

There is a statutory duty on local authorities [including District Councils, County Councils [in an area where there are no district councils, Unitary Authorities and London Boroughs] to maintain a **list/register of assets of community value**.

In Nottinghamshire, this will be the City Council in respect of the unitary authority area and the various District Councils for the rest of the County.

Each local authority can determine the format of the List, but it should be made publicly available. The Listings should also feature on the Register of Local Land Charges for any

listed property, so ought to be revealed in a Local Land Charges search.

Nominating an Asset of Community Value

Nominations of assets to be included on the list must come **from the community itself** from an eligible voluntary or community body. These are defined as:-

- An unincorporated group of 21 or more people who appear on the local electoral register
- A legally constituted community interest group e.g. charity, Community Interest Company, an industrial or provident society or other not for profit organisation
- A Parish Council
- A neighbouring parish council if it borders an area without a parish council

Once a nomination is received the local [i.e. District] council has up to eight weeks to decide which assets to list. The eligibility criteria are listed in the Act. The Council must notify the owner and any occupiers of its intention to list.

If the nomination is not approved, the council must write to the nominator, with reasons. There is no right of appeal.

An owner can request a review of a listing decision within 8 weeks of that listing. The owner has a further right to appeal a listing to a First Tier Tribunal if the listing still stands after the initial review.

Once listed, an asset remains on the Register for 5 years, but can be re-nominated at the end of that period.

Attempting to Dispose of a property on the register of Assets of Community Value

Once a property is listed as an ACV, the owner is NOT prevented from marketing the asset, BUT...

... the owner must **notify** the council which keeps the list of its wish to sell the freehold or enter in to a leasehold interest of at least 25 years.

This notification triggers the “**Community Right to Bid**” [see below]

“Community right to Bid”

Once the wish to dispose is notified, any “community interest group” [this is more narrowly defined than the list of bodies who can apply for the listing] will have **six weeks** in which to lodge a **non-binding expression of interest** to bid for the asset.

If such an expression is lodged, then there is a further period of **four and a half months** comes in to play [making a total of **six months** in all] during which time the owner is **PREVENTED** from entering in to any contract for the disposal of the land. [NOTE: the owner is NOT prevented from marketing during that 6 month moratorium, nor from holding negotiations with any other party, but cannot EXCHANGE CONTRACTS for a disposal with any party.

The purpose of the six month moratorium is to give community interest group the time in which to prepare a bid of its own, securing approvals to bid, external funding etc.

Is the owner under any obligation to sell to a community interest group which submits a bid?

NO. The owner is under NO OBLIGATION to sell to any community group which bids, nor any other party for that matter. The owner may choose to sell to the community group within the six month moratorium period but is under no compulsion to do so. The community interest group has no right to buy for less than the market value if the vendor is unwilling to sell.

Any subsequent sale [after the 6 month moratorium] can be under normal market conditions, whether to the community interest group or any other potential buyer. All the normal methods of sale are available to the owner, including private treaty negotiations, formal or informal tender, “best offers” or auction. Thus, the owner would be entitled, for example, to sell the property at auction immediately after the 6 month moratorium closes [but not before] and the community interest group would have to bid at the auction as would any other interested party.

Remaining on the Register of “Assets of Community Value”

A listing, once made, remains in place for 5 years, but an application can be brought for – re-registration after that period.

If the community group has not successfully acquired the asset after the six month moratorium period, then the owner is afforded a “protection period” of 12 months, during which time the owner may dispose of the asset in the open market without recourse to the restrictions of the Act. This is to protect the owner from the danger of repeat [spurious] attempts by community groups to thwart the sale of assets.

Implications for NCC Property Team

For community groups this is NOT a “right to buy” but it is a “right to [prepare/submit] a bid” for certain listed “assets of community value”. As such, these provisions ought not to thwart an intention to sell, but they may DELAY sales and could have timing implications for the receipt of disposal proceeds, budgetary planning etc.



**REPORT OF SERVICE DIRECTOR, TRANSPORT, PROPERTY &
ENVIRONMENT**

PROPOSED SCAPE GROUP REORGANISATION

Purpose of the Report

1. To seek the approval of the Policy Committee to support the reorganisation of the Scape Group of companies.
2. To authorise the County Council's Shareholder representative to vote in favour of the reorganisation of the Scape Group of companies.

Information and Advice

3. Scape System Build Limited (SSBL) is a company limited by shares, whose stakeholders are Derby City Council, Derbyshire County Council, Gateshead Council, Nottingham City Council, Warwickshire County Council Nottinghamshire County Council (the Shareholders). Each Shareholder has the right to appoint a director to the board of SSBL, as its representative. The County Council's Shareholder representative to the Scape Board is Cllr David Kirkham.
4. SSBL is a holding company and has four wholly owned subsidiary companies: Scape Venture Limited, Scape Reinvest Limited, Scape Limited (collectively Subsidiaries) and Scape Group Limited (SGL).
5. SSBL is also a trading company and therefore has or holds, amongst other things, the management structures, contracts and assets to enable it to operate as a business together with liabilities and obligations which are the natural part of being an operating company.
6. At a meeting of the Scape Board, the Scape Management proposed a three stage reorganisation:
 - **Stage One** – establishing SGL as a non-trading intermediate holding company above SSBL. Following Stage One, the Shareholders would hold the issued shares in SGL, SGL will hold the issued shares in SSBL, and SSBL will hold the issued shares in the Subsidiaries.
 - **Stage Two** – transferring the issued shares in the Subsidiaries from SSBL to SGL. Following Stage Two, SGL would hold the issued shares in each Subsidiary and SSBL.

- **Stage Three** – transferring certain assets and liabilities of SSBL to newly incorporated Subsidiaries of SGL.
7. Scape Management are now seeking approval from its Shareholders to transfer the shares they hold in SSBL to SGL in exchange for receiving one share in SGL to implement Stage One.
 8. Each Shareholder is also requested to delegate authority to its shareholder representatives to make any decisions required in relation to the Stage Two and/or Stage Three.
 9. No details have yet been put forward by the Scape Management in relation to the terms of Stage One or Stage Two of the reorganisation. However, the underlying principle is that the “commercial” terms of the relationship between each Shareholder, and between the Shareholder and the “topco” in the Scape Group (currently SSBL and post-reorganisation, SGL) will remain unchanged in real terms.

Rationale of the Proposed Reorganisation

10. The rationale for the proposed reorganisation put forward by Scape Management are summarised below:
 - Managing a diverse range of services essentially in one company is quite complex and doesn't give the necessary agility for products and services to grow and develop
 - The recent management restructure has resulted in dedicated teams that need to manage the products and services under their responsibility. The way that the group is structured currently limits this management process.
 - The products and services reach a maturity they need to operate independently as a commercial entity and develop in order to reach their potential. Being tied to other parts of the business may inhibit this development process.
 - This strategy will also protect the parent company if one part of the business is failing as the Board can decide to close that subsidiary without it affecting the overall business.
 - There are also tax advantages for operating a group structure that could reduce corporation tax
 - It is also easier to demonstrate the continuing contracting authority status of the procurement part of Scape if the more commercial parts of the group are separated out into other corporate entities. Ring-fencing the procurement part of Scape also makes it easier to demonstrate that there is no state-aid being provided to other parts of the business.
 - Putting the procurement part of Scape into a separate subsidiary gives the Shareholders greater flexibility to decide whether to make other trading subsidiaries profit-making or non-profit making.
 - A new group structure enables the ring fencing of assets against litigation risk.

Key Issues for the Authority

11. The primary consideration for the Shareholders is the impact this reorganisation may have on the Council's interest in in the Scape Group's assets. External legal advice has been obtained and the advice is that there should be no impact on the ultimate ownership of assets or liabilities of the Scape Group.
12. Assuming the same number of shares are held in SGL as were held by the Shareholders in SSBL, and that shares of the same class are issued to the Shareholders, the transactions at Stage One and Stage Two should have no impact on the ultimate beneficial ownership of the Scape Group companies.
13. Stamp duty may need to be paid on the purchase of the shares, if their value is £1000 or over although advice would need to be taken on whether relief from stamp duty is available.
14. A number of legal documents will need to be entered into in order to effect the restructure. Further legal advice will need to be obtained. At this stage the Council has not received draft legal documentation relating to the proposals. These documents will need to be reviewed in order to ensure that what is proposed does not have any unforeseen consequences which would affect the merits of the proposals.
15. The recommendations in the report allow for the legal documentation to be considered in greater detail once it has been produced and the proposals are advanced. In order to do this the recommendation in the report proposes that delegated authority is given to the Corporate Director for Environment and Resources to negotiate and approve final details of the terms of the transfer of the Council's shareholding from SSBL to SGL, in consultation with the Group Manager, Legal and Democratic Services and the S151 Officer.

Conclusion

16. On the information available and provided (1) the "commercial" relationships in the Scape Group are not affected and (2) the reorganisation is planned in detail and carried out in accordance with those details plans, there is nothing at this stage which in real terms impacts on the Council's ownership and/or share of control of the Scape Group.

Recommendation

It is recommended that the Policy Committee:

- a) Supports in principle the reorganisation of the Scape Group of companies subject to details referred to in recommendation (c) below being finalised;
- b) Authorise County Council's Shareholder representative to vote in favour of the reorganisation in consultation with the Corporate Director of Environment & Resources and the Group Manager, Legal & Democratic Services;
- c) Give delegated authority to the Corporate Director for Environment and Resources to negotiate and approve final details of the terms of the transfer of the Council's

shareholding from SSBL to SGL as specified in paragraph 7, in consultation with the Group Manager, Legal and Democratic Services and the S151 Officer;

- d) Approves the Council entering in the necessary legal agreements to effect the above recommendations;
- e) Subject to the transfer of shareholding taking effect, that the list of Outside Bodies be updated as necessary.

Jas Hundal
Service Director
Transport, Property & Environment

Constitutional Comments (SLB 29/10/2014)

17. Policy Committee is the appropriate body to consider the content of this report.

Financial Comments (3/11/2014)

18. Assuming the assumption in paragraph 14 is correct and there are no other issues which would affect this, stamp duty relief should be available on this transaction, and there are no immediate financial implications as a result of this report.

Background Papers

None.

Electoral Divisions and Members Affected

N/A



**REPORT OF CORPORATE DIRECTOR, POLICY, PLANNING AND
CORPORATE SERVICES**

WORK PROGRAMME

Purpose of the Report

1. To review the Committee's work programme for 2014/15.

Information and Advice

2. The County Council requires each committee to maintain a work programme. The work programme will assist the management of the committee's agenda, the scheduling of the committee's business and forward planning. The work programme will be updated and reviewed at each pre-agenda meeting and committee meeting. Any member of the committee is able to suggest items for possible inclusion.
3. The attached work programme includes items which can be anticipated at the present time. Other items will be added to the programme as they are identified.
4. As part of the transparency introduced by the new committee arrangements, committees are expected to review day to day operational decisions made by officers using their delegated powers. Such decisions will be included in the work programme on an annual basis and as specific decisions of interest arise.
5. The Policy Committee will be asked to determine policies, strategies and statutory plans developed or reviewed by other Committees of the Council. Committee Chairmen are invited to advise the Policy Committee of any additional policy reviews that are being considered.

Other Options Considered

6. None.

Reason/s for Recommendation/s

7. To assist the committee in preparing and managing its work programme.

Statutory and Policy Implications

8. This report has been compiled after consideration of implications in respect of finance, the public sector equality duty, human resources, crime and disorder, human rights, the safeguarding of children, ways of working, sustainability and the environment and those using the service and where such implications are material they are described below. Appropriate consultation has been undertaken and advice sought on these issues as required.

RECOMMENDATION/S

- 1) That the Committee's work programme be noted, and consideration be given to any changes which the Committee wishes to make.

Jayne Francis-Ward

Corporate Director, Policy, Planning and Corporate Services

For any enquiries about this report please contact: Keith Ford, Team Manager, Democratic Services T: (0115) 9772590 E: keith.ford@nottsc.gov.uk

Constitutional Comments (SLB 30/04/2012)

9. The Committee has authority to consider the matters set out in this report by virtue of its terms of reference.

Financial Comments (PS 2/5/12)

10. There are no financial implications arising directly from this report.

Background Papers

Except for previously published documents, which will be available elsewhere, the documents listed here will be available for inspection in accordance with Section 100D of the Local Government Act 1972.

None

Electoral Division(s) and Member(s) Affected

All

POLICY COMMITTEE - WORK PROGRAMME (AS AT 29 OCTOBER 2014)

<u>Report Title</u>	<u>Brief summary of agenda item</u>	<u>For Decision or Information</u>	<u>Lead Officer</u>	<u>Report Author</u>
10 December 2014				
Nottinghamshire LEADER bids	To update Committee on the outcome of bids for two new LEADER programmes in rural parts of north and south Nottinghamshire.	Information	Jayne Francis-Ward	Celia Morris
Performance against priorities	Summary of actions undertaken during the first six month of 2014-15 to deliver strategic plan priority outcomes and initial indications of impact.	Information	Celia Morris	Matthew Garrard
Economic Development Strategy	Progress Report	Information	Jayne Francis-Ward	Celia Morris
7 January 2014				
Transformation Programme – Progress Update	Quarterly report on the progress of the Council’s Transformation Programme.	Information	Jayne Francis-Ward	Caroline Agnew
Better Broadband for Nottinghamshire	To seek delegated authority for the Corporate Director, PPCS, to enter into a contract with BT for the second phase of the Better Broadband for Nottinghamshire programme.	Decision	Jayne Francis-Ward	Celia Morris
11 February 2015				
Performance against priorities	Progress update of actions underway to deliver strategic plan priority outcomes, potential risks and indications of impact.	Information	Celia Morris	Matthew Garrard
Annual Delivery Plan 2015-16	Consideration of key actions and measures to support delivery of the Council’s strategic plan priorities in 2015-16.	Decision	Celia Morris	Matthew Garrard
11 March 2015				
22 April 2015				
Economic Prosperity Committee	Annual report on the Economic Prosperity Committee which is a joint committee between the County Council,	Information	Jayne Francis-Ward	Matt Lockley

	City Council and Borough/District Councils in Notts.			
Transformation Programme – Progress Update	Quarterly report on the progress of the Council's Transformation Programme.	Information	Jayne Francis-Ward	Caroline Agnew
20 May 2015				
Performance against priorities	Review of final position against the first annual delivery plan and progress against the four year strategic plan.	Information	Celia Morris	Matthew Garrard
20 June 2015				
15 July 2015				
Transformation Programme – Progress Update	Quarterly report on the progress of the Council's Transformation Programme.	Information	Jayne Francis-Ward	Caroline Agnew